GLOBAL ENVIRONMENT FACILITY
INVESTING IN OUR PLANET

GEF/ME/C.53/Inf.04
November 8, 2017

53rd GEF Council Meeting
November 28 – 30,2017
Washington, D.C.

FORMATIVE REVIEW OF THE INTEGRATED APPROACH PILOT (IAP) PROGRAMS

(Prepared by the Independent Evaluation Office of the GEF)

November 2017

TABLE OF CONTENTS

FIGURES AND TABLES

ACRONYMS

ADB	Asian Development Bank
AfDB	African Development Bank
AFIM	African Facility for Inclusive Markets
AGRA	Alliance for Green Revolution in Africa
AML	adaptive management and learning
BRICS	Brazil, Russia, India, China and South Africa
CAADP	comprehensive Africa agriculture development programme
CBD	Convention for Biological Diversity
CCD	Convention to Combat Desertification
CEO	Chief Executive Officer
CGIAR	Consultative Group for International Agriculture Research
CI	Conservation International
CP	child project
CSO	civil society organization
DBSA	Development Bank of South America
DFID	UK Department for International Development
ECOSOC	United Nations Economic and Social Council
ESC	emerging and sustainable cities initiative
FAO	Food and Agriculture Organization
GEB	global environmental benefit
GEF	Global Environment Facility
GEF-6	Sixth Replenishment of the GEF
GHG	greenhouse gas
GPSC	Global Platform for Sustainable Cities
IAP	Integrated Approach Pilot
ICRAF	World Agroforestry Center
IDA	International Development Association
IDB	Inter-American Development Bank
IEO	Independent Evaluation Office of the GEF
IFAD	International Fund for Agricultural Development
IFC	International Finance Corporation
IFI	international financial institution
INRM	integrated natural resource management
LDCF	Least Developed Countries Fund
M&E	monitoring and evaluation
MDB	Multilateral Development Bank
MEA	Multilateral Environmental Agreement
MFA	multifocal area

NEPAD	new partnership for Africa's development
NGO	non-governmental organization
NRM	natural resource management
ODS	ozone depleting substances
OPS-6	Sixth Overall Performance Study of the GEF
PFD	program framework document
PMIS	Project Management Information System
POP	persistent organic pollutant
PPP	public-private partnership
PRF	project results frameworks
REDD	Reducing Emissions from Deforestation and Forest Degradation
SCCF	Special Climate Change Fund
SFM	sustainable forest management
SLM	sustainable land management
SSA	Sub-Saharan Africa
STAP	Scientific and Technical Advisory Panel
STAR	System for Transparent Allocation of Resources
TFA-2020	Tropical Forest Alliance 2020
TTL	task team leader
UFPF	Urban Financing Partnership Facility
UNCCD	United Nations Convention to Combat Desertification
UNCED	United Nations Conference on Environment and Development
UNDESA	United Nations Department of Economic and Social Affairs
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNEP-FI	United Nations Environment Programme Finance Initiative
UNFCCC	United Nations Framework Convention for Climate Change
UN-HABITAT	United Nations Human Settlements Programme
UNIDO	United Nations Industrial Development Organization
USF	urban sustainability framework
WCCD	World Council on City Data
WRI	World Resources Institute
WWF-US	World Wildlife Fund

EXECUTIVE SUMMARY

1. This evaluation is a formative review of the three Integrated Approach Pilots introduced in GEF-6. They were designed to implement integrated programming as a means of achieving systemic change at scale by addressing the major drivers of global environmental degradation in a holistic way. They are:

(a) The Sustainable Cities IAP Program (the Cities IAP; GEF ID 9077) recognizes challenges to rapid urbanization in developing countries, as well as the opportunity this presents. The program will initially engage 23 cities, and later 28 cities, in 11 countries to promote the integration of environmental sustainability in urban planning and management initiatives.

(b) The Sustainability and Resilience for Food Security in Sub-Saharan Africa IAP Program (the Food Security IAP; GEF ID 9070) seeks to support countries in target geographies to integrate priorities to safeguard and maintain ecosystem services into investments improving smallholder agriculture and food value chains. The program targets 10 million ha of production landscapes with 2–3 million beneficiary households in drylands ecosystems of 12 Sub-Saharan Africa countries.

(c) The Taking Deforestation Out of Commodity Supply Chains IAP Program (the Commodities IAP; GEF ID 9072) has been designed through a supply chain lens for each of the three commodities responsible for 70 percent of tropical deforestation globally—soy, palm oil, and beef. It aims to support activities in four producing countries (Brazil, Indonesia, Liberia, and Paraguay) and in demand markets (including local consumption and emerging economies).

2. The three IAPs were designed with the intent to build on existing linkages and connections across focal areas. While developed separately and with their own distinguishing characteristics, they share the common objective of addressing global environmental issues holistically. The IAPs aim to support activities in recipient countries that can help them generate global environmental benefits that correspond to more than one convention or GEF focal area, by addressing the underlying drivers of environmental degradation. Several GEF and non-GEF Agencies and countries are included, with interventions to be integrated across focal areas. The financial resources allocated to the three IAP programs from the GEF Trust Fund total $284 million.

3. Since the child projects have only recently been approved, this report provides lessons from the formative review of the three pilots, and highlights key good practices and areas for improvement that have emerged from the analysis of this pilot experience to date to inform future GEF programs. The review applied a mixed methods approach based on documentation review, interviews and online surveys, coupled with an in-depth portfolio and project cycle analysis.

4. Following are the key findings of this formative review:

Relevance

(a) **In-country stakeholders broadly agree on the potential for the IAP programs to address multiple conventions through an integrated programming approach; this view was not shared by all convention secretariats.** Ninety-three percent of respondents agreed that the IAP programs help to address the Conventions across multiple scales. Interviewees at UNFCCC and CBD secretariats were somehow more critical. In contrast, interviewees at the UNCBD Secretariat fully supported the GEF integrated approach to multiple focal areas.

(b) **Positive examples of alignment with country priorities through adequate entry points are observed, although this strategy risks sidelining some focal areas.** The Commodities IAP child projects align with specific government priorities. The Food Security IAP shows synergies across biodiversity, climate change, and land degradation, with financial allocations clearly favoring the latter as an entry point. Interviews indicated that the biodiversity and climate change were included as more of an afterthought in project design. The major drivers of the Cities IAP connect local urban sustainability priorities to climate change mitigation, biodiversity and chemicals. The initial ambition was for a greater synergy, which was not pursued later in design. Taking deforestation out of commodity supply chains is addressed through interventions in the focal areas of biodiversity, climate change as well as support for sustainable forest management.

Design

(a) **The IAP programs and their component child projects are broadly coherent in terms of their structure and objectives in their respective theory of change, with some exceptions**. The IAPs program and project objectives and M&E systems are aligned with each other. However, alignment between project/program results frameworks and tracking tools in terms of outcomes and indicators does not show an even picture across the three IAP programs. Only two projects in the Cities IAP show alignment between project/program result frameworks and tracking tools. Three out of five child project in the Commodities IAP and five out of 12 in the Food Security IAP align.

(b) **IAPs demonstrate interesting innovative features as compared with previous programs by including emphasis on knowledge exchange through dedicated platforms for collaborative learning, considerable efforts will need to be made to realize their potential.** The main innovation for the three IAP programs is the development of 'hub projects' for each IAP program, that function as capacity building, coordination and knowledge support platforms or networks towards the other child projects. This is a clear improvement as compared with past programs. The success of the IAPs largely depends on the effective functioning of the hub projects.

(c) **Broader adoption has been emphasized in the design of the IAP programs.** Child projects' documentation demonstrates that all child projects have a plan for sustaining

project interventions beyond the project's timeframe. Almost all child project documentation provides evidence of specific measures for planned broader adoption of outcomes by stakeholders such as replication at a comparable administrative or ecological scale, scaling up interventions into larger geographical areas, and measures to help catalyze market transformation.

(d) **IAPs show well-designed M&E strategies, with some exceptions.** M&E, a historically weak area in GEF programs in terms of its capacity to demonstrate program additionality, has been carefully considered in the design of the three IAPs. All child projects have an M&E strategy and show coherence between program and child project M&E frameworks. The GEF-6 Programming Directions indicate that a limited set of outcome indicators will be developed to track achievements. These were expected to replace the traditional tracking tools. A multifocal tracking tool was developed by the Food Security IAP, which is yet to be operationalized.

(e) **There are inconsistencies in the role, expression and measurement of global environmental benefit (GEB) targets, which will adversely affect program-level M&E.** All three IAPs provide targets towards GEBs, but the data is scattered throughout program and project documents, and it is not clear whether these are meant as aspirational goals or as hard targets. PFDs lack targets altogether (Commodities IAP), underestimate (Cities IAP) or overestimate (Food Security IAP) GEB targets, compared to targets reported in child projects' requests for CEO endorsements. Variations exist in child projects' calculations of direct and indirect CO2e mitigated; different periods of influence and poorly substantiated indirect top-down causality factors are being used.

Process

(a) **It took 26 months to bring all child projects to the stage of CEO endorsement from PFD Council approval, and much of the work in the design of the programs is front-loaded and taking place in advance of Council approval of the PFDs.** On average, it took child projects 14-15 months to reach commitment deadlines, and 21 months to reach CEO endorsement.

(b) **Approaches for country selection varied across the three IAPs.** For the Commodities and Food Security IAPs the selection of countries was based on sound criteria, but communication during the selection process was poor. In the Cities IAP, the country selection process occurred via informal consultations between the Secretariat, MDBs, UN agencies, and national governments at design. Participants agree that the Secretariat led critical decisions on which countries/cities to include in the programs.

(c) **There has been some competition for the lead agency position, and the role of the consultations in the lead agency selection process was not always clear.** This was the case both for the Cities and Food Security IAPs, but the agencies selected do have the comparative advantages needed for the lead role.

(d) **The three IAPs draw on the comparative strengths of several agencies and other experienced think tanks.** The three IAPs are characterized by a large number of GEF Agencies and executing partners. All of them are generally individually well qualified, but their number increases the multitude of institutional preferences, and requires greater planning and coordination.

(e) **Set-aside funds provided incentives for countries to commit STAR resources to the program, however, most of the financial resources to the IAP programs were already committed.** GEF grants are complementary to other financial resources, most of which were already allocated to their intended purposes of food security improvements, integrated natural resource management, or urban infrastructure provision. This indicates that a good part of the IAP interventions would have taken place even without the GEF, but efforts are now more integrated, with a strong emphasis on adaptive management, learning and knowledge exchange.

Cross-cutting issues

(a) **Overall, gender has been considered in most child projects, and more than half have a gender mainstreaming strategy or plan in place.** The three IAPs score well on gender in terms of gender analysis at design, gender strategy and gender indicators.

(b) **Resilience considerations—in terms of risk management, as a co-benefit, or integrated into a multiple benefits framework—are embedded in the IAP programs.** The only exception is the Food Security IAP, which aimed to pilot the RAPTA resilience assessment tool, but hasn't succeeded in integrating the tool - or any other resilience assessment tool - across all projects.

5. The above findings led to the following four conclusions:

(a) **Conclusion 1**: Integrated programming to tackle the main drivers of environmental degradation through the IAPs enables addressing the objectives of multiple conventions, while allowing participating countries to address national environmental priorities.

(b) **Conclusion 2:** The IAPs have pursued an innovative and flexible design to address the drivers of environmental degradation, but show a wide variety of indicators and tracking tools, hindering aggregation within each IAP as well as for the three IAPs altogether.

(c) **Conclusion 3**: The IAPs draw on comparative advantages of a variety of GEF Agencies and specialized think tanks, but the involvement of several agencies and institutions in each IAP has added to the programs organizational complexity.

(d) **Conclusion 4**: While in general a positive picture emergences from this review on the IAPs' design and launch process, both were affected by insufficient clarity in terms of rules of engagement between agencies, transparency of selection processes, clarity on the role of the Secretariat, and insufficient communications between some participating GEF Agencies and countries on technical design.

6. The following three recommendations have been derived based on the conclusions:

(a) **Recommendation 1**: Assess the value addition of the knowledge platforms in a mid-term review to ensure they generate the necessary traction and provide overall support to program implementation.

(b) **Recommendation 2**: Standardize the indicators, tracking tools and metrics across the IAPs to demonstrate program additionality through M&E.

(c) **Recommendation 3**: Assess the role of global environmental benefit (GEB) targets, clarifying whether and when they are meant as aspirational goals, or as hard targets, and how aspirational GEB goals will be measured at the program level.

INTRODUCTION

Background

1. The Global Environment Facility (GEF) is a financial mechanism that provides grants to developing countries and countries with economies in transition for projects that address global environmental concerns related to biodiversity, climate change, international waters, land degradation, and chemicals and waste. The GEF governance structure includes an Assembly, a Council, a Secretariat, a Scientific and Technical Advisory Panel (STAP) and an Independent Evaluation Office (IEO).[4]

2. As part of its work program for the sixth replenishment phase of the GEF (GEF-6), and feeding into the Sixth Comprehensive Evaluation of the GEF (referred to hereafter as Overall Performance Studies of the GEF, OPS6), the IEO was tasked[5] to review the GEF integrated approach pilot (IAP) programs, being implemented in GEF-6 and developed building on the GEF partnership's experience in designing and implementing programmatic approaches.[6] Three separate pilots are part of the IAP program, being:

(a) The Sustainable Cities IAP Program (the Cities IAP; GEF ID 9077)[7]

(b) The Sustainability and Resilience for Food Security in Sub-Saharan Africa IAP Program (the Food Security IAP; GEF ID 9070)[8]

(c) The Taking Deforestation out of Commodity Supply Chains IAP Program (the Commodities IAP; GEF ID 9072).[9]

3. Project overviews for the three IAP programs can be found in annex 1, their respective results frameworks are presented in annex 2, and annex 3 provides an overview of global environmental benefits (GEBs) targets by IAP program.

4. This report summarizes the main findings, evidence and learning from a formative review of the three IAPs. These three pilots were built on existing linkages and connections across focal areas, and were designed with the objective to address global environmental issues more holistically, within a complex set of development challenges: *"This integrated approach would be crosscutting, synergistic, and cost-effective, and directed at some of the underlying drivers of environmental degradation globally and within priority regions. The integrated approach pilots would complement GEF focal areas strategies in the up-coming GEF-6 portfolio, and seek to further encourage early*

[4] GEF, Instrument for the Establishment of the Restructured Global Environment Facility, March 2015.
[5] IEO, Sixth Comprehensive Evaluation of the GEF (OPS6) - Approach Paper, May 2016.Council Document GEF/ME/C.50/07.
[6] GEF. GEF-6 Programming Directions, May 2014. GEF Replenishment Meeting Document GEF/R.6/20/Rev.04.
[7] GEF, PFD document of Cities-IAP: Sustainable Cities Integrated Approach Pilot (IAP-PROGRAM), GEF ID 9077, April 2015.
[8] GEF, PFD document of Food Security-IAP: Sustainability and Resilience for Food Security in Sub-Saharan Africa Integrated Approach Pilot (IAP-PROGRAM), GEF ID 9070, May 2015.
[9] GEF, PFD document of Commodities-IAP: Taking Deforestation out of Commodity Supply Chains Integrated Approach Pilot (IAP-PROGRAM), GEF ID 9072, April 2015.

adoption and scaling up of projects and programs that overcome focal area silos and build on the necessary linkages that help achieve sustainable development goals. This systemic, sectoral and crosscutting framework will also include renewed emphasis on private sector, gender equality and women's empowerment".[10]

5. Given that many of the child projects under the three IAP programs have yet to commence implementation by the GEF agencies at the time of this evaluation (see annex 1 for project status), this review has adopted a formative approach and has focused on process and design aspects at the start-up of the pilots, their uptake by key stakeholders in the target countries and the process through which these three IAPs have been and are being launched.

6. A summary of basic and financial information on the IAPs is reported in table 1 and table 2. Annex 1 provides more detailed information on child projects including focal area objectives and project financials.[11]

Table 1: IAP basic information

IAP	**No. of child projects**	**No. of countries involved**	**No. of GEF Agencies involved**	**Average project duration** (years)	**Focal area objectives covered**
Cities	12	11	8	4.5	BD-1 Program 1, BD-4 Program 9, CC-1 Program 1, CC-2 Program 3, CW-1 Program 2
Commodities	5	4	6	4	BD-4 Program 9, CC-2 Program 4, SFM-1 program 1, 2, 3
Food Security	13	12	7	5.4	BD-3 Program 7, BD-4 Program 9, CC-2 Program 4, LD-1 Program 1, 2, LD-3 Program 4, LD-4 Program 5
Total	30				

Note: BD = biodiversity. CC = climate change. CW = chemicals and waste. IAP = integrated approach pilot. LD = land degradation. SFM = sustainable forest management.

[10] *GEF-6 Programming Directions, op. cit.*, p. 173.

[11] Note that the hub projects are calculated as part of the programs' child projects, unless stated otherwise.

Table 2: IAP financial information

IAP	**GEF Trust Fund financing** (mil. $)		**Cofinancing**	
	Total amount	Project average	Total amount (mil. $)	Ratio
Cities	137.2	11.4	2,416.6	18:1
Commodities	40.3	8.1	263.5	7:1
Food Security	106.4	8.2	786.2	7:1
Total	**283.9**	**9.5**	**3,466.4**	**12:1**

Note: Financial figures are based on child project financing data, excluding agency fees.

7. The IEO has recently completed the evaluation of programmatic approaches in the GEF.[12] The main purpose of this thematic evaluation was to assess whether and how GEF support delivered under the programmatic approaches modality delivered the expected results in terms of global environmental benefits while addressing the main drivers of global environmental change. It also compared the performance of projects implemented under programmatic approaches with stand-alone projects. The findings from this evaluation informed the evaluation design of the formative review of the IAP pilots.

Overview by IAP program

Cities IAP program

8. The Cities IAP is summarized in the related program framework document (PFD, GEF ID 9077).[13] Its overall objective is to "to promote among participating cities an approach to urban sustainability that is guided by evidence-based, multi-dimensional, and broadly inclusive planning processes that balance economic, social, and environmental resource considerations".[14] The Cities IAP will initially engage 23 cities, and later 28 cities, in 11 countries with the aim to promote the integration of environmental sustainability in planning and management initiatives at the city level.[15] The program will primarily do so by providing tools, knowledge resources, and services to support local strategic planning processes and implementation efforts in targeted cities.

9. The Cities IAP recognizes challenges to rapid urbanization in developing countries but also the opportunities this presents. Climate change adds to the urgency of sustainable urban planning and management, and to the already broad set of challenges for many city governments, revolving

[12] IEO, Evaluation of the Programmatic Approaches in the GEF, May 2017. Council Document GEF/ME/C.52/Inf.01/Rev.01.
[13] GEF, PFD document of Cities-IAP: Sustainable Cities Integrated Approach Pilot (IAP-PROGRAM), GEF ID 9077, April 2015.
[14] Ibid., p. 2.
[15] Brazil (Brasilia and Recife), China (Guiyang, Shenzhen, Ningbo, Nanchang, Beijing, Tianjin and Shijiazhuang), Cote d'Ivoire (Abidjan), India (Vijayawada, Guntur, Mysore, Jaipur and Bhopal), Malaysia (Melaka), Mexico (La Paz, Campeche and Xalapa), Paraguay (Gran Asuncion), Peru (Lima), Senegal (Dakar, Saint Louis and Diamniadio), South Africa (Johannesburg), Vietnam (Hue, Vinh Yen and Ha Giang).

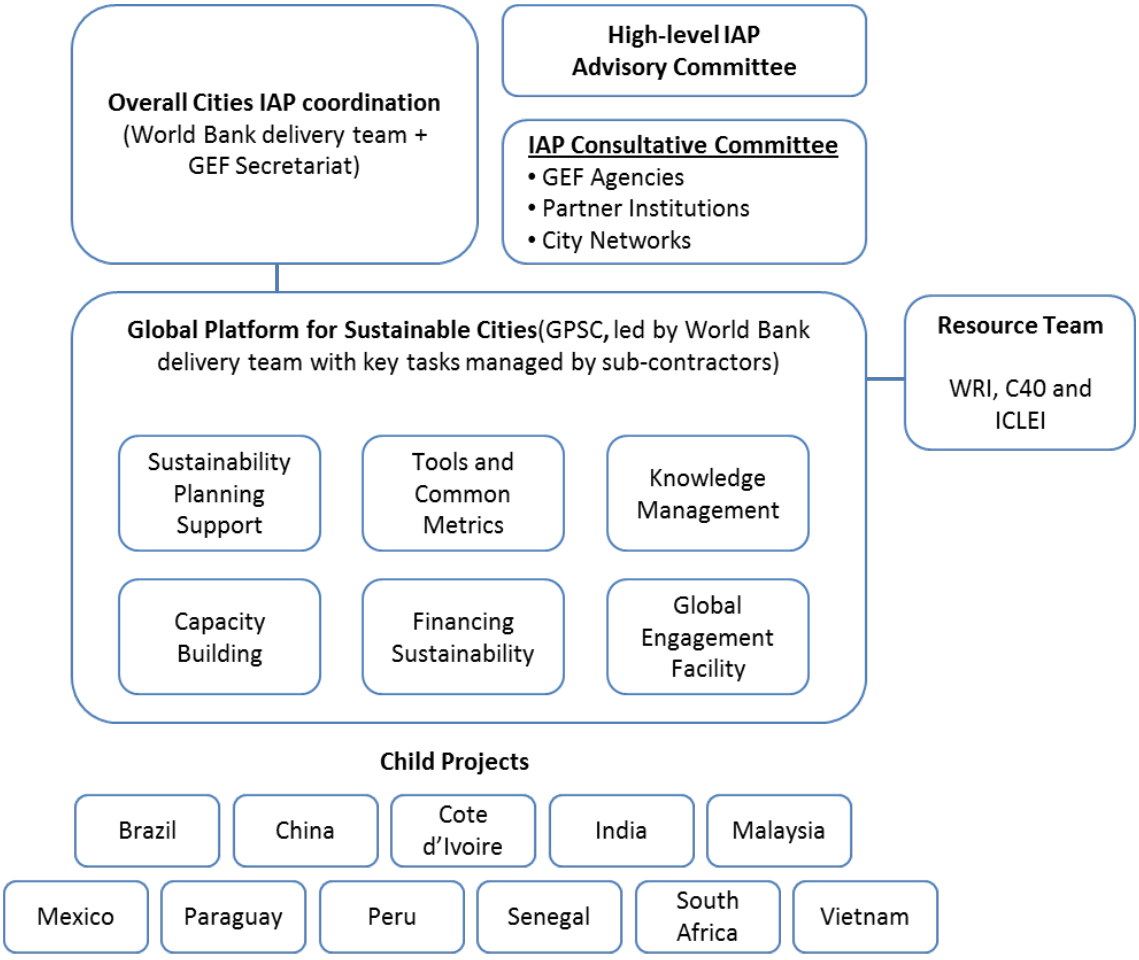
around providing jobs, services and housing to rapidly growing urban populations.[16] The IAP is based on the premise that If managed well, compact, resilient, inclusive and resource-efficient cities could become drivers of sustainable development, and if managed poorly, sprawling urban areas will result in land degradation, strain ecosystems and essential infrastructure services, and increase levels of air and water pollution. The Cities IAP aims to support local strategic planning processes and implementation efforts in selected cities. What sets this IAP apart from other urban sustainability initiatives, according to the documentation, is an emphasis on comprehensive, evidence based planning in support and investments in institutional processes and capacity building; a comprehensive suite of support services; a network approach that recognizes the need to nurture relationships with a wide range of stakeholders; and its contribution to the discourse on sustainable cities through global knowledge coordination, programmatic support and experience-sharing.[17]

10. The Cities IAP consists of an allocation of approximately $137 million in GEF resources during the GEF-6 programming period. Of this sum, $53 million in IAP program funds are directed to a limited number of child projects applying through (and with the endorsement of) their GEF country focal point. Applicants were required to match the IAP allocation on a dollar-for-dollar basis out of their regular national STAR (System for Transparent Allocation of Resources) allocation,[18] although most applicants ultimately opted to match at a higher ratio. In addition, child projects use their joint IAP/STAR allocation to leverage other public or private funds for use on these projects.[19] The program includes a $9 million resource allocation to the World Bank for creation of a global coordination and knowledge sharing platform, named the Global Platform for Sustainable Cities (GPSC, GEF ID 9162). Another $2 million is allocated to the World Bank to collaboratively work with WRI (World Resources Institute), C40 and ICLEI as resource team for city-to-city and network knowledge sharing services under the GPSC (called "Urban Networking to Complement and Extend the Reach of the Sustainable Cities IAP", GEF ID 9666). See annex 1 for the project overview and annex 2 for the Cities IAP program result framework.

11. The Cities IAP is geared to contribute to global environmental benefits (GEBs) in the respective focal areas (see annex 3 for GEB targets), as well as implicitly contributing to country capacity to implement Multilateral Environmental Agreements (MEAs). The program involves eight GEF Agencies, namely the the African Development Bank (AfDB), the Asian Development Bank (ADB), the Development Bank of Southern Africa (DBSA), the Inter-American Development Bank (IDB), the United Nations Development Programme (UNDP), United Nations Environment Programme (UNEP), the United Nations Industrial Development Organization (UNIDO) and the World Bank. Detailed program structure and planned regional capacity building and knowledge exchange platforms are shown in figure 1.

[16] GEF, Sustainable Cities GEF Integrated Approach Pilot, 4-page Glossy, November 2015.
[17] *Cities IAP PFD, op. cit.*, pp. 7-10.
[18] GEF, System for Transparent Allocation of Resources (STAR), March 2013. Policy Document PL/RA/01.
[19] *Cities IAP PFD, op. cit.*, p. 9.

Figure 1: Cities IAP program structure



12. The Cities IAP has been designed to be implemented over five years in Brazil, China, Cote d'Ivoire, India, Malaysia, Mexico, Paraguay, Peru, Senegal, South Africa, and Vietnam. The GPSC aims to tie the program together and is composed of 6 elements: sustainability planning support; tools and metrics; knowledge management; capacity building, financing sustainability and the global engagement facility.

13. The yearly progress of the Cities IAP's development to date is as follows:

(a) 2014: formal inclusion of the Cities IAP in GEF-6 Programming Directions at the General Assembly;[20] development of sustainable urbanization policy brief by STAP;[21] development of concept paper and consultative meeting; initial consultations with GEF agencies and potential country partners;

[20] *GEF-6 Programming Directions, op. cit.*

[21] STAP, Sustainable Urbanization Policy Brief: Proliferation of Urban Centres, their Impact on the World's Environment and the Potential Role of the GEF, June 2014.

(b) 2015: overarching program design by the World Bank in collaboration with GEF agencies involved in the child projects and GEF Secretariat; presentation and approval at the June Council of Program Framework Document;[22] requests for and allocations of Project Preparation Grants for multiple GEF agencies and country partners;

(c) 2016: on-going design of child projects by GEF agencies; submission of Requests for Project Endorsement; issuance of endorsement letters for the global child project "Global Platform for Sustainable Cities (GPSC, GEF ID 9162)", the global stand-alone project "Urban Networking to Complement and Extend the Reach of the Sustainable Cities IAP" (GEF ID 9666), and four country-level child projects out of 11 planned;

(d) 2017: By July 2017 all of the eleven country-level child projects, one global child project and one stand-alone project were CEO endorsed/approved.

14. Annex 4 provides a comprehensive account of the findings pertaining specifically to the Cities IAP program.

Commodities IAP program

15. As summarized in the GEF-6 Programming Directions shared at the Sixth Replenishment meeting[23] the Commodities IAP attempts to harness the power of the market to move commodity production away from its current unsustainable path. Its overall objective is to *"Reduce the global impact of agricultural commodities on greenhouse gas (GHG) emissions and biodiversity by meeting the growing demand of palm oil, soy and beef through supply that does not lead to deforestation and deforestation-related GHG emissions".*[24]

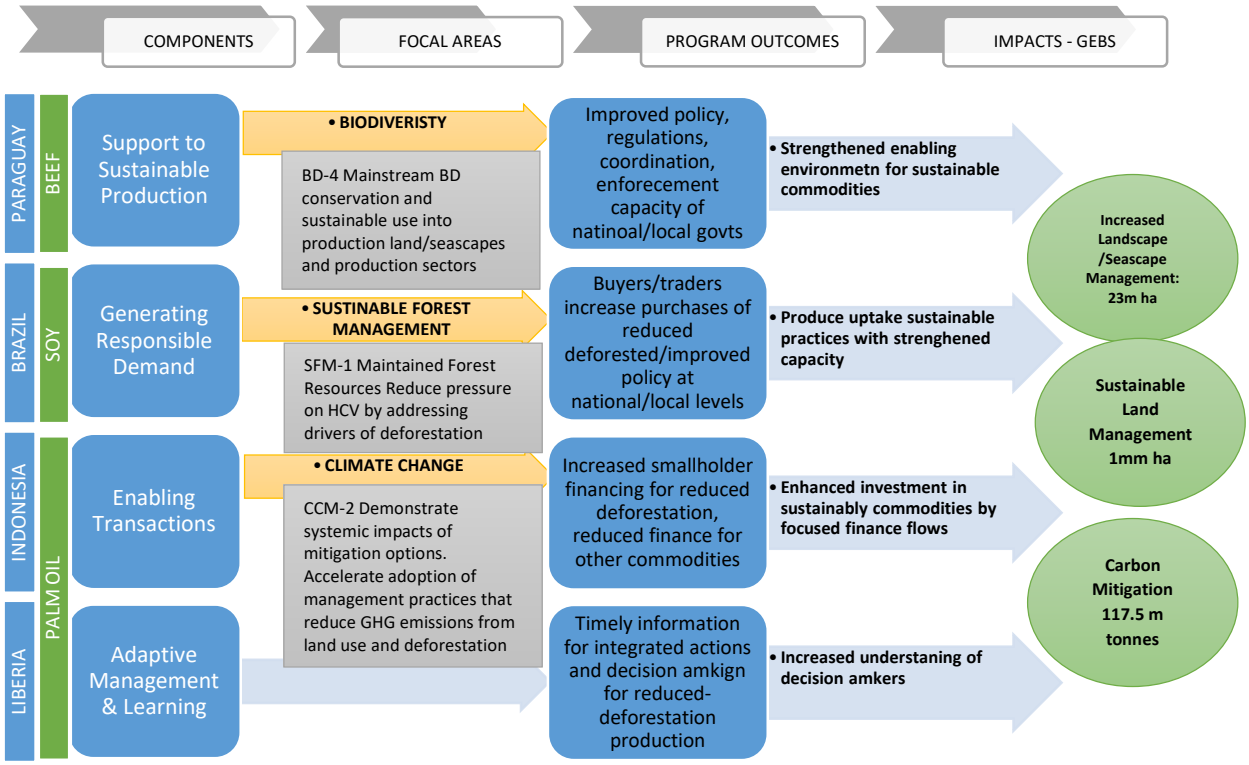
16. The Commodities IAP has been designed through a supply chain lens for each of the three commodities – soy, beef and palm oil – and aims to support activities in four producing countries (Brazil, Paraguay, Liberia and Indonesia) and in demand markets (including local consumption and emerging economies). The expansion of commodity production and the associated deforestation is a result of complex national and international supply chains spanning from farmer to final consumer and involve many actors with diverse incentives and motivations. Recognizing this, the Commodities IAP engages across multiple layers of interventions – from working on land use planning and government policies to bank and investor policies to corporate commitments and consumer awareness campaigns. The Commodities IAP attempts to harness the power of the market to move commodity production away from its current unsustainable path and remove deforestation from commodity supply chains.

17. Figure 2 provides a pictorial description of the Commodities IAP with its four main components, their linkage to outcomes and alignment with GEF focal areas. The pilot is expected to

[22] *Cities IAP PFD, op. cit.*
[23] *GEF-6 Programming Directions, op. cit.*
[24] GEF, PFD document of Comm-IAP: Taking Deforestation Out of Commodity Supply Chains (IAP-PROGRAM), GEF ID 9072, March 2015.

support the achievement of objectives within the GEF focal areas of biodiversity (Aichi Biodiversity Targets 5 and 7), climate change mitigation (REDD+ elements: Reducing Emissions from Deforestation and Forest Degradation, as well as conservation, sustainable management of forests and enhancement of forest carbon stocks) as well as support sustainable forest management (reinforce Sustainable Forest Management (SFM) as means of preventing soil erosion and flooding and increasing atmospheric carbon sinks), and private sector engagement strategies.

Figure 2: Commodities IAP program logic



18. At the core of the Commodities IAP is support to more sustainable production, generating responsible demand, enabling sustainable financial transactions for trading in commodities and adaptive management and learning (AML) for broader knowledge dissemination. The AML is the coordinating project that coalesces the demand, production and transaction project efforts to implement the program in a synergistic and sequential manner. As indicated in figure 2, the Commodities IAP aims to generate multiple global environmental benefits. Additionally, the IAP is expected to track critical STAP-recommended production facets, where pertinent.[25] [26]

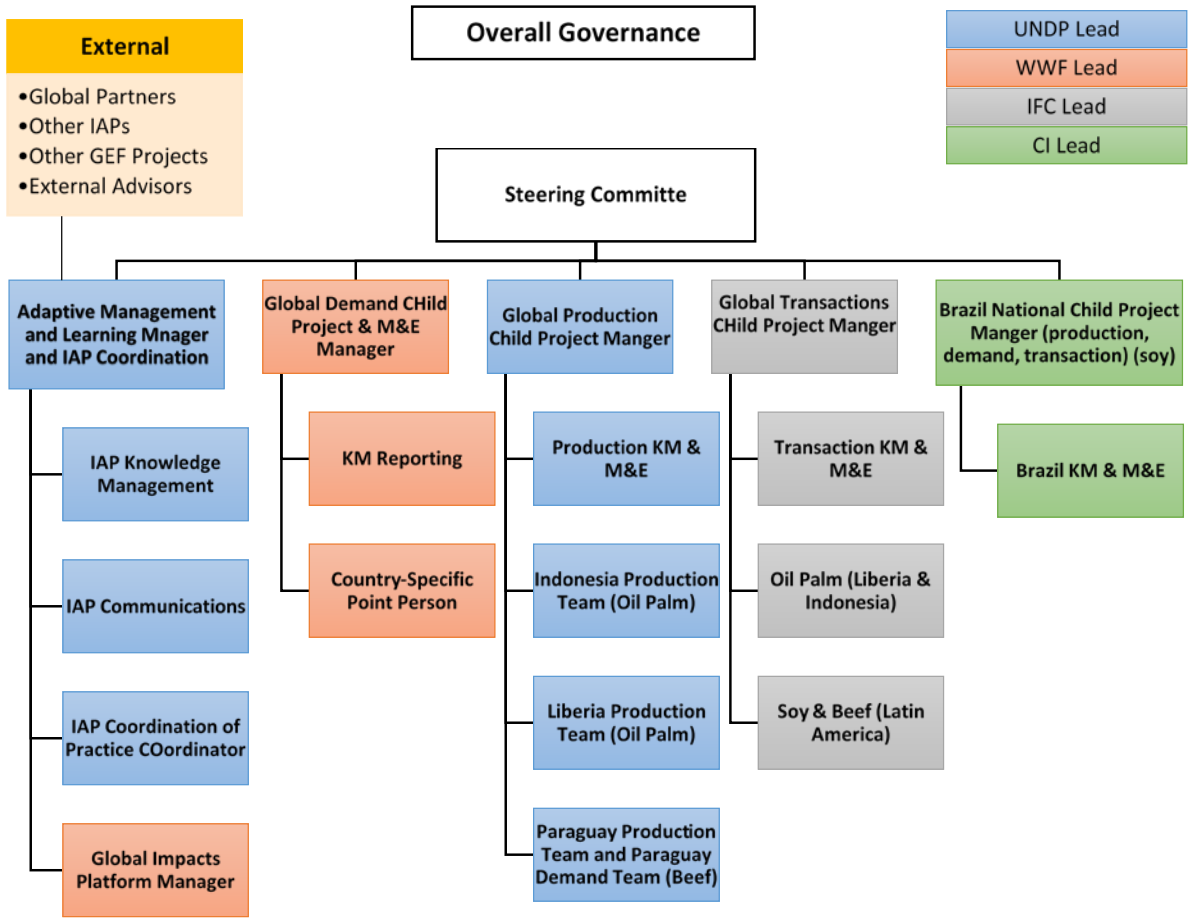
[25] The STAP review of indicators to assess the sustainability of commodity agricultural production was undertaken in October 2015 to underpin the work on development and selection of indicators for this IAP. Based on the principle that indicators should be cost-effective and allow comparability between different programs, while tracking major sustainability attributes of commodity agricultural systems, a set of 12 core production facets were proposed by STAP to track outcomes.

[26] STAP, A Review of Indicators on Sustainability of Commodity Agricultural Production, May 2016. Council Document GEF/STAP/C.50/Inf.04.

19. Following on this approach the Commodities IAP seeks to support actions with four main sets of actors committed to the approach: national governments, producers (including small scale producers and local communities, particularly women, indigenous peoples and other disadvantaged groups), buyers (including traders and women in the informal sectors and processors and retailers) and financial institutions.

20. Detailed program governance and coordination arrangements are shown below in figure 3.

Figure 3: Commodities IAP governance structure



Source: Request for CEO Endorsement: Adaptive Management and Learning for the Commodities IAP, GEF ID 9179, October 2016.

21. The Commodities IAP is expected to have a duration of four years, operates through a funding envelope of $45 million drawn from Biodiversity ($35 million) and SFM ($10 million) funding windows. The pilot is funded fully from these set aside allocations as the primary objective of the integrated approach pilot is to engage with non-traditional actors for the GEF, such as the private sector. Associated countries have not contributed from their STAR allocation to the Commodities IAP.

22. An overview of the projects under the Commodities IAP is provided in annex 2. The program consists of one global framework project and five child projects, including one dedicated to the overall management and learning from across the projects. UNDP is acting as the lead agency but the IAP involves several other GEF Agencies as partners and executors, namely: Conservation International (CI), United Nations Environment Programme Finance Initiative (UNEP-FI), World Wildlife Fund (WWF-US) and collaboratively the World Bank and International Finance Corporation (IFC).

23. The program results framework is provided in annex 2, GEB targets can be found in annex 3 and a comprehensive account of the findings pertaining specifically to the Commodities IAP program can be found in annex 5.

Food Security IAP program

24. The Food Security IAP's overall objective is to "Support countries in target geographies for integrating priorities to safeguard and maintain ecosystems services into investments improving smallholder agriculture and food value chains".[27] The program targets 10 million hectares of production landscapes with 2-3 million beneficiary households in drylands ecosystems of 12 Sub-Saharan African (SSA) countries, having a long record of concerns about food security and environmental sustainability.

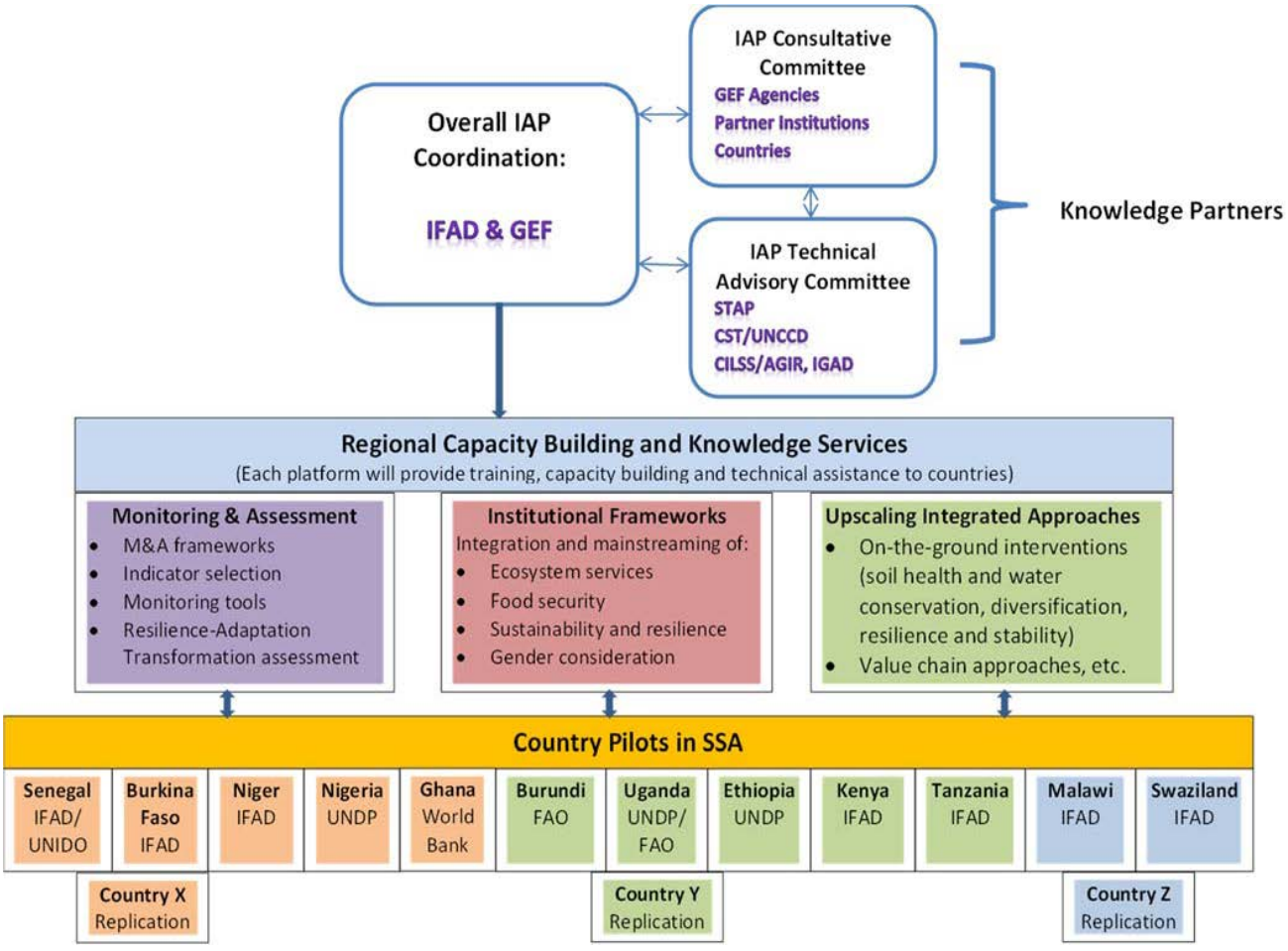
25. The Food Security IAP seeks to tackle one of the major drivers of environmental degradation – *food production* – by advancing a holistic and integrated approach to enhancing agricultural productivity in smallholder systems where food insecurity is directly tied to agricultural output. By focusing on safeguarding those natural resources — *land, water, soils, trees and genetic resources* — that underpin food and nutrition security in SSA drylands, the program aims at strengthening soil health, improving farmers access to drought-tolerant seeds, adjusting planting periods and cropping portfolios, and enhancing on-farm agro-biodiversity. This, in turn, is expected to foster sustainability and resilience of food production systems, while at the same time reducing land degradation and biodiversity loss, recovering natural vegetation and increasing soil carbon. More specifically, the Food Security IAP "*combines a bottom-up approach at country level to removal of barriers to: policy and institutional reforms; to scaling up of integrated approaches; and to monitoring and assessment for effective knowledge management, with regional support to capacity building, knowledge services and co-learning to contribute to sustainable intensification of agriculture in SSA and to deliver impact at scale with GEF resources*."[28]

26. According to the Food Security IAP's PFD, the GEF resource envelope for the program is roughly $106 million (see annex 1).[29] The program budget cuts across three GEF-6 programming

[27] GEF, PFD document of Food-IAP: Fostering Sustainability and Resilience for Food Security in Sub-Saharan Africa - An Integrated Approach (IAP-PROGRAM), GEF ID 9070, April 2015.
[28] Ibid.
[29] This figure does not include the 'Hub' Project for coordination, knowledge sharing and M&E (GEF ID 9140), for which $10.8 million are earmarked from the GEF Trust Fund, together with $85 million cofinancing from IFAD, FAO, UNEP, UNDP, ICRAF, AGRA, CI, and Bioversity International.

resources through STAR country allocations for the GEF focal areas of Land Degradation (28 percent), Biodiversity (15 percent), and Climate Change (11 percent), supplemented by set aside regional incentives funds (46 percent). The program is geared to contribute to GEBs in the respective focal areas, as well as implicitly contributing to country capacity to implement multilateral environmental agreements (see annex 2 for the program results framework and annex 3 for GEB targets). It tries to achieve synergies in generating multiple GEBs addressing guidance from three United Nations (UN) environmental conventions, namely the UN Convention to Combat Desertification (UNCCD), the Convention for Biological Diversity (CBD) and the UN Framework Convention for Climate Change (UNFCCC). The program involves five GEF Agencies, namely the International Fund for Agricultural Development (IFAD) as the lead agency, the Food and Agriculture Organization (FAO), the United Nations Development Programme (UNDP), the United Nations Industrial Development Organization (UNIDO) and the World Bank. Detailed program coordination arrangements and planned regional capacity building and knowledge exchange platforms are shown in figure 4.

Figure 4: Food Security IAP coordination arrangements



Source: PFD document of Food Security-IAP: Sustainability and Resilience for Food Security in Sub-Saharan Africa Integrated Approach Pilot (IAP-PROGRAM), GEF ID 9070, May 2015.

27. The Food Security IAP is designed to be implemented over five years in Burkina Faso, Burundi, Ethiopia, Ghana, Kenya, Malawi, Niger, Nigeria, Senegal, Swaziland, Tanzania and Uganda. The program adopts a three-pronged approach that:

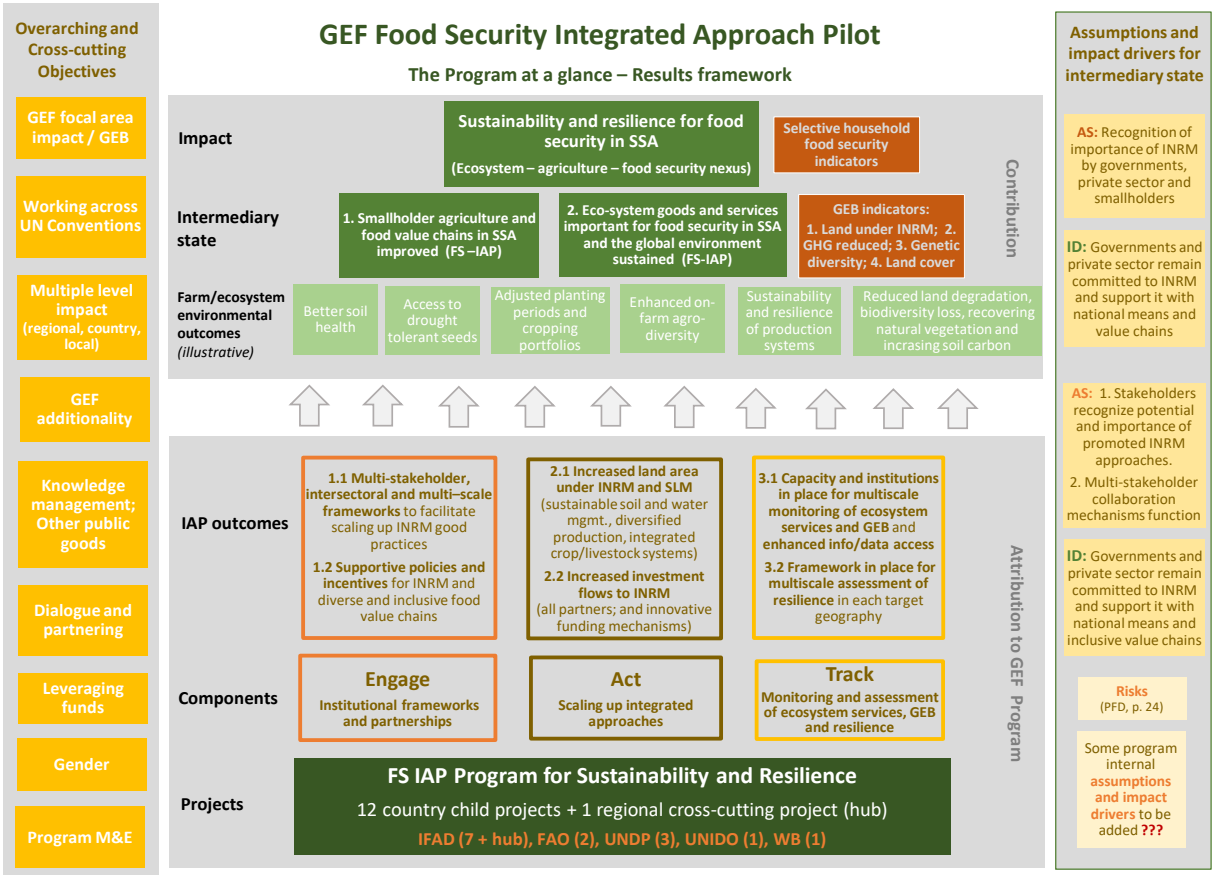
(a) Engages stakeholders across the public and private sectors, and across environment and agriculture to foster collective action and coherent policies

(b) Acts to scale up, diversify and adapt practices for a large-scale transformation of agroecosystems, and

(c) Tracks ecosystem services and resilience to enable more informed decision-making on agriculture and food security at multiple scales.[30]

28. Figure 5 provides the linkages between the most important program elements and objectives, as well as its overarching and cross-cutting objectives and underlying assumptions and impact drivers. This model was used by the team to clarify and critically assess the theory of change embodied in the Food Security IAP and its practical application and implementation in operations.

Figure 5: Food Security IAP results framework



Source: Developed by the review team based on the Food Security IAP Program's PFD

[30] *Food Security IAP PFD, op. cit.*

29. A comprehensive account of food security specific findings can be found in annex 6. Joint findings for the three IAP programs are discussed in the next chapter.

Methodology

Purpose and objectives

30. The purpose of this review is to critically assess design elements and the early processes that would provide insights into whether, and if so – how, these programs are likely to achieve their objectives. The drivers tackled by each IAP program are the following:

(a) Cities IAP: processes of unsustainable urbanization in rapidly growing cities of Asia, Africa and Latin America.

(b) Commodities IAP: agricultural expansion in emerging markets leading to deforestation from commodities production.

(c) Food Security IAP: food production in natural resource poor farming systems.

31. The objectives are to evaluate the coherence of the IAP programs' design with GEF-6 focal area strategies, their alignment with convention guidance and their capacity to reflect synergies in delivering focal area strategies while accounting for country needs and ownership. The review also looked at the IAP programs' initial uptake in participating countries and the efficiency of its launching process. The evaluation team used the IAP programs' basic tenets to critically assess the theory of change – if the specific IAP program had one designed – and its practical application in operations.

Scope and key questions

32. The review looked at the IAP programs and related child projects, since the first development of the program concept at the beginning of GEF-6. Three separate approach papers have been developed and can be accessed on the IEO's website. These papers draw on the following seven main evaluation questions:

(a) To what extent is the IAP integrated programming concept - as applied to the three IAP programs - truly integrated and does it differ from existing (non-)programmatic approaches?

(b) To what extent does IAP integrated programming concept - as applied to the three IAP programs - enable the GEF to fulfil its mandate vis-à-vis the Conventions?

(c) To what extent has the IAP integrated programming concept - as applied to the three IAP programs - harnessed the comparative strengths, advantages and unique selling points of the GEF Agencies, STAP, the GEF Secretariat and broader constituencies and partnerships?

(d) To what extent have gender and resilience been taken into account in the IAP programs' design?

(e) How efficiently has the design and launch process of the IAP programs been, and what has been the buy-in by the target groups thus far?

(f) Have funding sources been strategically allocated for integrated programming (i.e. GEF set aside funding, cofinancing leverage)?

(g) To what extent are there mechanisms for broader adoption (mainstreaming, scale-up, replication, market transformation), features that enable knowledge capture and mechanisms for learning from previous projects?

33. An evaluation matrix composed of key questions, relevant indicators, sources of information and methods has been developed as result of a detailed evaluability assessment (see annex 7). The matrix has been structured around the seven key evaluation questions and includes specific quantitative and qualitative indicators as well as methods and sources of data collection.

Approach and limitations

34. The IAP programs review applied a mixed methods approach, encompassing desk and literature review, quality at entry analysis through a portfolio review protocol developed jointly for the three IAP programs' reviews, portfolio and project cycle analysis, and stakeholder perceptions obtained through interviews and an online survey specifically designed to gather country stakeholder perceptions. Gender and resilience have been given special attention as cross-cutting topics.

35. An in-depth literature/document reviews was completed for each IAP program, including:

(a) A review of the evolution of the IAP programs and child projects' design with a focus on (1) the coherence between IAP programs' design, the Conventions, focal areas and GEF-6 Programming Directions, (2) the additionality of the IAP programs over standard project approaches (3) the efficiency of the IAPs' design and launch process, (4) the mechanisms for broader adoption, and (5) features that enable knowledge capture and mechanisms for learning

(b) A review of the Cities IAP's appropriateness and relevance of country and city selection, focusing on (1) specific needs for sustainable urban development, existing governance structures, and existing power and decision-making structures in the countries and cities selected, (2) alignment of priorities across scales and buy-in by target groups at these levels, (3) whether and how this has translated into a selection of priorities across and within sectors, selected programming directions, and (4) whether these choices are reflected in the comparative strengths and advantages of Agencies selected to implement.

(c) A review of the Commodities IAP appropriateness and relevance of commodity and country selection, focusing on (1) global commodity structures and trends, (2) agricultural commodities linked to deforestation, (3) efforts by stakeholders along the supply chain to prevent deforestation (4) alignment of priorities of key country actors with selection of GEF Agencies and commodities for comparative advantages.

36. Field visits took place to Panama, Brazil and Paraguay for the Commodities IAP program, to meet with project managers, agencies, and other key stakeholders to discuss the launch of the program.

37. The online survey was conducted jointly for the three IAP programs. It was designed to gather stakeholder perceptions on the IAPs and the child projects in which they are participating. The survey had a response rate of 39 percent from targeted government representatives, GEF Agencies, and other participants currently involved in the IAPs and related child projects' design and implementation. A sub-national survey took place for the Cities IAP, with a response rate of 41 percent, covering eight of the 11 countries taking part in the Cities IAP.

38. Twenty-seven structured interviews took place for the Cities IAP, and 42 for the Commodities and Food Security IAPs each, with key stakeholders involved in the formulation and design of the respective programs and related child projects. Annex 8 provides an overview of key stakeholders consulted.

39. Triangulation of qualitative and quantitative data collected has been conducted at completion of the data gathering and analysis phases, to determine trends and identify the main findings, lessons and conclusions. Different stakeholders were consulted to test preliminary findings.

40. The review was carried out between January and September 2017. The main limitation was that during the review's timeframe no major activities have started yet at the field level. To address this limitation a large amount of quantitative and qualitative data was collected, analyzed and triangulated, allowing to answer all the review questions in a comprehensive way. The cut-off date for program and project analysis data was 30 July 2017; project status might have changed since.

FINDINGS

41. This section summarizes the main findings for the three IAP programs. A more comprehensive account of the findings pertaining to each individual IAP program is presented in annex 4 (Cities), annex 5 (Commodities) and annex 6 (Food Security). Findings are organized under four main themes: relevance, design, process and cross-cutting issues.

Relevance

42. This subsection focuses on the relevance of the IAP programs to the three conventions (UNCCD, CBD and UNFCCC), synergies across focal areas and the alignment with participating countries' environmental priorities.

Alignment with conventions and synergies between focal areas

FINDING 1: In-country stakeholders broadly agree on the potential of the IAP programs to address multiple conventions through an integrated programming approach; this view was not shared by all convention secretariats.

43. Despite integrating multiple focal area objectives, the IAP programs still need to serve the different conventions. The GEF-6 Programming Directions provide an overview of relevant Multilateral Environmental Agreements (MEAs) and decisions covered by each of the three IAP programs.[31] The IAP programs' PFDs provide an overview of focal area objectives and components covered, and these align with the relevant MEAs (table 3). Almost all child projects refer to focal area objectives and components in their request for CEO endorsement, as stated in the respective IAP program's PFD. Eleven of the 12 projects for Cities IAP, all five projects for the Commodities IAP, and 11 out of 13 projects for the Food Security IAP align.

44. The major drivers of the Cities IAP connect local urban sustainability priorities to three GEF focal areas: (i) climate change mitigation (ii) biodiversity conservation, and (iii) abatement of chemicals and waste release. However, the initial ambition was for an even greater synergy: "The initiatives funded by this Integrated Approach may be supported by and/or contribute to the following focal areas: biodiversity, land degradation, international waters, sustainable forest management, climate change mitigation, climate change adaptation, and chemicals and waste." Neither the international waters nor the sustainable forest management focal areas were eventually incorporated into the design of the Cities IAP. While ten country child projects include activities related to urban resilience, which by definition includes urban adaptation, these are not recorded as contributing to the GEF Programming Strategy on Adaptation to Climate Change. One child project (Brazil, GEF ID 9142) includes activities related to land degradation, which go equally unrecorded in the Cities IAP program's PFD and tracking tool.

[31] *GEF-6 Programming Directions, op. cit.,* pp. 183, 190 and 195.

Table 3: Overview of MEAs, decisions, focal area objectives and GEBs covered by IAP Program

	IAP program		
	Cities	Commodities	Food Security
Multilateral environmental agreements (MEAs) and convention decisions referenced in GEF-6 Programming Directions	UNFCCC Decision 1/CP.11, Decision 1/CP. 16, Decision 2/CP.17, Decision 1/CP.19; CBD Decision IX/28, Decision X/22; UNCCD COP10 Multi-Year Work Plan 2012-2015; Article 6 of the Stockholm Convention and article 11 of the Minamata Convention.	UNFCCC, Decision 1/CP.16, REDD+ elements; CBD Decision X/2, Aichi Biodiversity Targets 5 and 7; UNCCD Decision 4/COP.8; UN Forum on Forests: Global Objectives on Forests.	UNFCCC, no specific Decision, but link made to LDCF/SCCF and the NAP process; CBD Decision X/2, Aichi Biodiversity Targets 6, 7, 8, 13 and 18; UNCCD Ten-Year Strategy and Action Plan (2008 – 2018).
GEF-6 Programming Directions, focal area objectives covered	BD-1 Program 1; BD-4 Program 9; CC-1 Program 1; CC-2 Program 3; CW-1 Program 2.	BD-4 Program 9; CC-2 Program 4; SFM-1 program 1, 2, 3.	BD-3 Program 7; BD-4 Program 9; CC-2 Program 4; LD-1 Program 1, 2; LD-3 Program 4; LD-4 Program 5.
Global environmental benefits (GEBs)	GEB 1. Maintain globally significant biodiversity; GEB 2. Sustainable land management in production systems; GEB 4. Support to transformational shifts towards a low-emission and resilient development path; GEB 5. Increase in phase-out, disposal and reduction of releases of POPs, ODS, mercury and other chemicals.	GEB 1. Maintain globally significant biodiversity; GEB 2. Sustainable land management in production systems; GEB 4. Support to transformational shifts towards a low-emission and resilient development path.	GEB 1. Maintain globally significant biodiversity; GEB 2. Sustainable land management in production systems; GEB 4. Support to transformational shifts towards a low-emission and resilient development path.

45. The expansion of commodity production and the associated deforestation is a result of complex national and international supply chains spanning from farmer to final consumer and involve many state, market and civil society actors with diverse incentives and motivations. Recognizing this, the Commodities IAP intends to engage to conserve biodiversity, encourage sustainable forest management and promote climate change mitigation through diverse interventions - from agricultural and forest policies, land tenure changes, commodity moratoria to information and technology such as consumer awareness and capacity building to building incentives such as certifications and commodity standards and tools to effect environmental changes. To the extent that the Commodities IAP Program's five child projects are using diverse interventions and intend to work simultaneously on land use planning by government to bank and

investor policies to consumer awareness, it is using key principles reinforced by external literature to achieve impact through supply chains.

46. An important aspect in the Food Security IAP is the work by GEF and its Agencies across conventions and the three focal areas of biodiversity, land degradation and climate change. For UNCCD, the Food Security IAP directly contributes to implementing its 10-Year Strategic Plan (10YSP) 2008-2018, particularly through building effective partnerships between national and international actors. The Food Security IAP focuses in its contributions on the CBD program on agricultural biodiversity and its cross-cutting initiative on food and nutrition, as well as the International Treaty on Plant Genetic Resources for Food and Agriculture. The Food Security IAP also responds to UNFCCC priorities on issues related to agriculture.

47. Ninety-three percent of respondents agreed that the IAP programs help to address the Conventions across multiple scales, being local, national and regional. Forty-seven percent of survey respondents indicated that the IAP programs improve the ability to report to multiple UN conventions, compared to previous GEF supported projects they were involved in. Representatives of the three convention secretariats were somewhat more critical when interviewed. Interviewees at the United Nations Framework Convention on Climate Change Secretariat stated that integrated approaches can be addressed in projects and do not necessarily require a programmatic approach. Interviewees at the Convention on Biological Diversity pointed to difficulties by partners in understanding how synergies relevant to biodiversity would be generated from food security, land degradation, and climate change projects. In contrast, interviewed partners from the United Nations Convention to Combat Desertification Secretariat fully supported the current GEF integrated approach to multiple focal areas. They regard land as central to all environmental issues, including biodiversity and climate change; the convention favors common country reporting for all three conventions.

48. An important feature of IAP program design relates to working across multiple scales, from local to national, regional and global. All 30 child projects analyzed show evidence of alignment of priorities across scales, e.g. local/city, sub-national, national, to global. To achieve that, IAP programs' PFDs and child project documents show sensitivity to the existing governance, power and decision-making structures in targeted countries, but there are clear differences on what this practically means for the three IAP programs, as described in the following paragraphs.

49. The GEF-6 Programming Directions document argues the importance of the Cities IAP bringing attention to the supra-national linkages. The document cites evidence and decisions from global conventions including UNFCCC, CBD and UNCCD recognizing the importance of cities in achieving Convention goals. The Cities IAP Program's PFD anticipates that the program will "create a strong network of cities that will act as global ambassadors for urban sustainability planning" and will result in "tangible benefits at both the local and global levels."[32] The PFD's theory of change discussion includes a passage on the Cities IAP's 'contribution to global discourse', with particular

[32] *PFD document of Cities-IAP, op. cit.*, p. 7.

mention of alignment with the newly emerging Sustainable Development Goals, the COP21 Paris Agreement, the Compact of Mayors, and the ICLEI Cities Biodiversity initiative. The outputs and outcomes pursued by Cities IAP child projects integrate local goals and the following GEBs: GHG abatement (11 child projects); biodiversity conservation (four child projects); persistent organic pollutants (POP) phase-out (two child projects); and land management (one child project). Reviewing child project documents confirms that local sustainability goals as identified in participating cities are primarily aligned with the GHG mitigation global environmental benefit (GEB 4).

50. The PFD's theory of change discussion discusses the Commodities IAP's contribution to GEBs stating that the program will lead to the conservation of globally significant biodiversity, ecosystems goods and services that provide to societies by working with producers and buyers in increasing the supply and demand of key commodities that do not lead to deforestation and degradation of forests. Benefits will be measured on the increase of use of degraded lands, increase in productivity of the commodity and sector, high biodiversity and carbon areas under protection in agricultural landscapes and farmers and communities positively affected by the program. Further, the program states that by working with private sector and national governments to create enabling conditions the program supports a transformational shift to a low-emission and resilient development path. The program targets the following GEBs: GHG abatement; biodiversity conservation and SFM, primarily coming from results of the production child project (GEF ID 9180).

51. The PFD and child project results frameworks in the Food Security IAP contain appropriate outcomes and indicators, designed to contribute to multiple GEBs across scales as well as GEF focal areas. Specific quantitative targets for major GEB tracking tools of biodiversity, land degradation and climate change are set in almost all child projects. However, these targets vary widely across child projects. To what extent and whether they make sense, and whether these are smart and integrated indicators, whether they are common in the program or project-specific, or whether they are just conforming to the general indicator(s) proposed in the tracking tool remains to be seen. This issue is further discussed under Finding 7.

Alignment with country priorities

FINDING 2: Positive examples of alignment with country priorities through adequate entry points are observed, although this strategy risks sidelining some focal areas.

52. Based on the finding that program ownership at the country level is linked to the degree of alignment with national environmental priorities, the evaluation of programmatic approaches in the GEF has recommended that the GEF should continue ensuring that programs are relevant to the national environmental priorities of the participating countries while meeting the requirements of the Conventions. Compared to previous GEF supported projects they were involved in, 60 percent of survey respondents indicated that the IAP programs are better aligned with country priorities, while 40 percent indicated that alignment with country priorities is the same. The risk of focusing on

alignment with countries priorities is that countries might not necessarily prioritize those focal areas individual IAPs aim to focus on. The GEF-6 Programming Directions document and the IAP programs' PFDs do acknowledge the need for alignment and synergies across MEAs, and potential for generating multiple GEBs, but it is too early in the child projects' implementation to say whether these GEB intentions will be realized.

53. The Commodities IAP child projects align with specific government priorities, and enable and enhance compliance with existing initiatives in Brazil, Indonesia, and Paraguay. The program also provides an opportunity for a relative newcomer in palm oil, Liberia, to develop its sector sustainably while incorporating lessons from Indonesia. In an online survey, 15 out of 17 respondents indicated that the Commodities IAP Program and child projects will help maintain or enhance alignment with country priorities, compared to previous projects with which they were involved.

54. In the design of the Food Security IAP, there are certainly synergies across the focal areas of biodiversity, climate change, and land degradation, with financial allocations clearly favoring the latter as an entry point. A considerably higher proportion of STAR resources was allocated to land degradation in CEO-endorsed child projects than to biodiversity and climate change: 55 percent compared to 25 percent for biodiversity and 20 percent for climate change. In most cases, interviewees indicated that the biodiversity and climate change aspects of a given child project were included as more of an afterthought in project design. The major drivers of the Cities IAP connect local urban sustainability priorities to three GEF focal areas: climate change mitigation, biodiversity conservation, and abatement of chemicals and waste release. The program's initial ambition was for an even greater synergy with the other focal areas, but neither international waters nor sustainable forest management were eventually incorporated into the design of the Cities IAP.

Design

55. This subsection focuses on the IAP's overall design and underlining theory of change. It covers the coherence of objectives and design across projects and the programs' additionality and innovative features as compared with past programs. It also considers design elements focused on broader adoption, M&E and learning.

Coherence

FINDING 3: The IAP programs and their child projects are broadly coherent in terms of their structure and objectives in their respective theory of change, with some exceptions.

56. The IAPs all have been designed in a way that program and child projects objectives, result-based management frameworks and M&E systems are aligned. This further confirms the finding from the programmatic approaches evaluation that recent programs have learned from the experience of previous programmatic approaches.[33] Almost all child projects refer to focal area

[33] Ibid., p. 27.

objectives and components - as stated in the respective IAP programs' PFD - in their request for CEO endorsement. Eleven of the 12 projects in the Cities IAP, all five projects for the Commodities IAP, and 11 out of 13 projects for the Food Security IAP align with their respective programs on objectives. However, alignment between project/program results frameworks and tracking tools in terms of outcomes and indicators does not show an even picture across the three IAP programs. The quality-at-entry review showed that only two of the 12 child projects in the Cities IAP show alignment between project/program results frameworks and tracking tools in terms of outcomes and indicators. The Commodities IAP provides a slightly more positive picture, with three out of the five child projects aligning. In the case of the Food Security IAP less than half of the child projects show alignment between project/program results frameworks and tracking tools in terms of outcomes and indicators.

57. For the Cities and Commodities IAPs a reversed approach from program-to-projects was taken in designing the IAP programs, whereby the child project concepts were identified first and the programs' PFDs resulted from assembling these into a coherent framework, rather than vice-versa. The Food Security IAP followed the program-to-projects approach where the PFD was designed first and the child projects were designed later to fit within the program framework. This enabled a strong coherence in program design, through the development of a well-designed theory of change that integrates the three main "engage", "scale-up" and "track" pillars. The theory of change is consistently applied in all child projects, including the hub project.

Additionality and innovation

FINDING 4: IAPs demonstrate interesting innovative features as compared with previous programs including emphasis on knowledge exchange through dedicated platforms for collaborative learning; considerable efforts will need to be made to realize their potential.

58. Sixty-seven percent of survey respondents agreed, and 31 percent strongly agreed that the IAP programs' child projects are helping the country in question to introduce transformative innovations in terms of approaches, institutional arrangements and new technologies. To many, the main innovation for the three IAP programs is the development of 'hub projects' for each IAP program, that function as capacity building, coordination and knowledge support platforms or networks towards the child projects. Fifty-five percent of survey respondents indicated that participating in regional or global platforms for engagement and interaction with other partners on the issues is one of their three main motivations for participating in the IAP programs. When comparing the IAP programs to other GEF programmatic approaches in which respondents were involved in the past, 71 percent indicated that the IAP programs have more potential for knowledge exchange between projects. The quality-at-entry review of child projects' documentation shows that all child projects have data sharing and information dissemination plans as well as plans for effectively tracking and capturing of knowledge and lessons learned. All but three child projects - two projects under Cities IAP and one part of the Commodities IAP - include lessons learned from previous programmatic approaches.

59. The Cities IAP positions itself in a crowded space of urban sustainability focused interventions, but rather than competing it attempts to provide a new comprehensive and inclusive approach and to link up with as many relevant initiatives as possible. Key stakeholders interviewed concurred with the potential for the Cities IAP being a testbed for models of integrated urban management. An interviewee from the GEF made the point that the innovation is "to work with, not in, cities." An important innovation for the GEF is the one of working directly with sub-national governments for the implementation of Cities IAP child projects in participating cities. While the national GEF focal point remains anchored in a national ministry, often the Ministry of Environment, the urban focus of the Cities IAP has shifted the policy dialogue towards the Ministries of Urban Development, metropolitan and urban authorities to define contents, outputs and outcomes of the GEF grants. More cautionary, an interviewee from the World Bank felt strongly that while the potential exists for innovation the "program underestimates the complexity of the city level." Another key stakeholder echoed the concern over the risk of 'inadequate decentralization', stating the issue "that money flows through the central government before it reaches the cities, which slows momentum."

60. The Commodities IAP Program's PFD notes the program's innovative approach to "come from directly linking demand and production through the specific focus on commodities sourced from the targeted landscapes for a 'whole of supply chain' approach. The Program will work to change the overall structure of the market, to tip the global market for palm oil, soy and beef towards production that does not lead to deforestation." [34] By applying a supply chain lens to the overall design, the IAP program expects to engage all major actors to harness best practices and sustainability principles for production, generating responsible demand and enabling financial transactions. At design, innovation can be seen in the multi-country, multi-stakeholder engagement and through the establishment of steering committees at the global and national level and the inclusion of private sector advisory committees and working groups aimed at establishing platforms and involving financial institutions. The comprehensiveness of coverage, spanning from national policy to global financial institutions, renders the Program unique. The project aims to reduce finance flows into commodity production driving deforestation while supporting a business case for sustainability alongside the development of blended and commercial financial products to support adoption of sustainable commodities. Innovation also lies in working with financial regulators to identify and promote financial system regulatory interventions that can contribute to reducing pressure on forests.

61. The Food Security IAP Program's PFD refers to both innovative agricultural practices and innovative multi-sectoral institutional approaches. The overall approach to integrated natural resource management is innovative, as it combines strengthening of policy and institutional frameworks with new mechanisms for scaling up on-the ground, and of enhanced smallholder value chain access as well as regional multi-stakeholder platforms for scaling up. Child projects include a range of technological and institutional innovations. In Burkina Faso (GEF ID 9141), the child project

[34] *PFD document of Commodities-IAP, op. cit*., p. 18.

is developing a watershed landscape approach for more holistic ecosystem services and protection. The Malawi child project (GEF ID 9138) tries to move from micro- to macro-catchment areas. One of the most innovative parts in the Tanzania child project (GEF ID 9132) is the setting up of intervillage NRM committees as a forum of participatory management of shared national resources at landscape models. On the institutional side, the Food Security IAP helps mainstreaming the environment in more production and/or market oriented ministries. This approach introduces new forms of inter-ministerial partnerships involving the Ministry of Environment – where the GEF Operational Focal Point (OFP) usually sits - and Agriculture, Livestock or Forestry ministries, and partnerships with the private sector and CSOs. The aim of such approach is to mainstream environmental issues more effectively in closely related productions sectors, offering a science and evidence-oriented platform for South-South dialogue and meetings of child project partners.

62. A clear improvement for the IAPs compared with past programs is how the 'hub projects' for each IAP are designed as separate coordination hubs. The evaluation of programmatic approaches in the GEF showed that program coordination arrangements have evolved over time and the development of separate coordination hubs with dedicated budgets is a clear improvement. The innovation is how they function as capacity building, coordination and knowledge support platforms or networks towards the child projects. IAPs success largely depends on the effectiveness and efficiency of the support function provided by the hub projects, as discussed in the following paragraphs.

63. The Cities IAP hub project, called the Global Platform for Sustainable Cities (GPSC, GEF ID 9162), is designed to "provide expertise and knowledge support for the development and adoption of an evidence-based, integrated approach toward resilient, inclusive and sustainable cities." The GPSC is managed by the World Bank, operated out of Singapore, and the draws upon an expanding circle of experienced sustainable cities networks, partners and institutions. A resource team comprising WRI, C40 and ICLEI, was a late addition to the GPSC through a stand-alone medium-size project (GEF ID 9666). Representatives of GEF Agencies involved in the Cities IAP program voice their concern as to the expectation that country child projects contribute financial resources towards the implementation of joint activities promoted by the hub project, the GPSC, that facilitates the knowledge capture and learning role. The resources currently devoted by the country child projects to the institutional capacity building activities are already allocated as per child project budgets finalized and CEO approved. They do not include the costs for the participation of city representatives to the multiple international training and learning events organized by the GPSC, or to cofinance other local activities that may result from GPSC initiatives, such as data collection, development of local indicators, preparation of urban sustainability action plans, and more.

64. The Commodities IAP hub project (GEF ID 9179) aims to "provide overall coordination of the Program to ensure coherence and consistency, as well as communications and partnership building." This component will foster substantial knowledge management at the global level to advance the supply chain approach for beef, soy, and oil palm and include a Global Community of

Practice to share best practices and promote learning as well as a Global Research Impacts platform to develop robust and policy-relevant evidence base on the effectiveness of different voluntary sustainability standards for deforestation-free commodities. The hub project will function based on a continuous iterative learning and knowledge dissemination component, which is a unique aspect and underpinning of the Commodities IAP program. Although the limited sites chosen to pilot whether the production of the relevant commodities will demonstrate sustainable approaches, the Commodity IAP Program's focus is on exchange of lessons and learning across the commodities and countries. National and global platforms and partnerships are good initiatives, but there is a tenuous link between platforms and the GEBs. It should be clear how the platforms and their activities contribute to realizing GEB targets.

65. The Food Security hub project's (GEF ID 9140) objective is to "reinforce applied knowledge aspects of institutional frameworks, scaling up, and monitoring and assessment of integrated approaches to food security in each and across all country projects in Sub-Saharan Africa." It will support countries in the dryland regions across sub-Saharan Africa to integrate environmental management into investments for improving smallholder agriculture and food value chains. The project will serve as the basis for aligning country-level engagement with regional and global priorities to harness opportunities for fostering sustainability and resilience. A coordination unit will be established in Nairobi and hosted by the World Agroforestry Center (ICRAF) for technical and administrative support. As for the other two IAPs, the knowledge platform will require a strong commitment and support by all participating entities to provide the services and benefits it has been designed for. A stronger evidence base on the benefits of platforms would be beneficial to the program to judge whether they provide the momentum necessary to alter perceptions and activities associated with sustainable commodities.

Broader adoption

FINDING 5: Broader adoption has been emphasized in the design of the IAP programs.

66. Programs are designed to achieve broader scale and longer term results. IAPs are no exception. The quality-at-entry review of country child projects' documentation showed that all child projects have a plan for sustaining project interventions beyond the project's timeframe. Almost all child project documentation provides evidence of specific measures for planned broader adoption of outcomes by stakeholders, as well as evidence of replication at a comparable administrative or ecological scale, and evidence of measures for scaling up interventions into larger geographical areas. Evidence of measures to help catalyze market transformation is visible in all child projects of the Commodities IAP and seven of the 13 child projects of the Food Security IAP; market transformation is not a specific goal of the Cities IAP (table 4; several specific examples are described in annex 3, 4 and 5).

Table 4: Quality-at-entry review of evidence of broader adoption

Evidence of broader adoption (in percentage 'yes' and number of projects)	**IAP program**					
	Cities		Commodities		Food Security	
	(%)	(#)	(%)	(#)	(%)	(#)
Specific measures for planned broader adoption of outcomes by stakeholders?	91.7%	11	100.0%	5	100.0%	13
A plan for sustaining project interventions?	100.0%	12	100.0%	5	100.0%	13
Evidence of mainstreaming information, lessons or specific results into laws, policies, regulations, programs, etc.?	75.0%	9	100.0%	5	84.6%	11
Measures for replication at a comparable administrative or ecological scale?	83.3%	10	100.0%	5	100.0%	13
Measures for scaling up interventions into larger geographical areas?	83.3%	10	100.0%	5	100.0%	13
Measures to help catalyze market transformation?	25.0%	3	100.0%	5	53.8%	7
Total	(n=12)		(n=5)		(n=13)	

67. Broader adoption was also the main reason for countries to take part in the IAP programs. Survey respondents were asked to select three main motivations for participating in the IAP programs, and 71 percent of respondents indicated that developing models for replication, upscaling or mainstreaming this pilot in future (emerging) projects or programs was one of their three main motivations for participating in the IAP programs. All respondents to the survey agreed to strongly agreed that the child projects will help the country to scale up good practices.

68. A focus on broader adoption in stakeholders' reasoning to engage in the IAP programs and a focus on broader adoption in project design is good, but it does not necessarily guarantee broader adoption. The evaluation of programmatic approaches in the GEF found that 31 percent of child projects intended to promote broader adoption, but only 13 percent took some concrete actions towards this, and 6 percent implemented actual elements of broader adoption.[35]

Monitoring and evaluation

FINDING 6: IAPs show well-designed M&E strategies, with some exceptions.

69. Monitoring and evaluation, a historically weak area in GEF programs in terms of its capacity to demonstrate program additionality, has been considered in the design of the three IAP programs. The quality-at-entry review of project documentation shows that all child projects have an M&E strategy or plan, and most child projects have a specific grant amount allocation to M&E activities

[35] *Evaluation of the Programmatic Approaches, op. cit.*, pp. 18-19.

(table 5). Almost all survey respondents agree that M&E baselines have been established for the child projects. Just over 70 percent of survey respondents agreed that capacities have been developed to carry out M&E related tasks.

Table 5: Quality-at-entry review of M&E elements in IAP child projects

M&E Elements in IAP programs (in % yes)	**IAP program**					
	Cities		Commodities		Food Security	
	(%)	(#)	(%)	(#)	(%)	(#)
Does the project have a M&E strategy or plan?	100.0%	12	100.0%	5	100.0%	13
Does the project have a grant amount allocated to M&E?	83.3%	10	100.0%	5	84.6%	11
Is there alignment between the project / program results frameworks and tracking tools in terms of outcomes and indicators?	16.7%	2	60.0%	3	46.2%	6
Total	(n=12)		(n=5)		(n=13)	

70. While over 90 percent of survey respondents agreed that appropriate multi-focal tracking tools have been developed for the IAP programs and related child projects, alignment between project / program results frameworks and tracking tools in terms of outcomes and indicators can improve. When aiming for certain project / program level results there needs to be a monitoring system in place with indicators that are adequate to track progress towards these results across scales. This is especially the case for the Cities IAP, where the quality-at-entry review showed that only two of the 12 child projects show alignment between project / program results frameworks and tracking tools in terms of outcomes and indicators (table 5). As for the M&E burden to countries, 81 percent of survey respondents agreed to strongly agreed that the IAP programs and child projects are not significantly more demanding in terms of M&E compared to similar stand-alone GEF projects.

71. The GEF-6 Programming Directions document recommended that to overcome operational complexity of past programmatic approaches, only the lead agency in these IAP programs would be expected to develop a limited set of outcome indicators to track achievements.[36] These indicators were expected to substitute the traditional tracking tools and offer a simplified framework to tracking multifocal area results, and against which projects submitted for GEF eligibility will be reviewed. In fact, the tracking tools have not been replaced and are present as such in all child projects. Only the Food Security IAP attempted to develop a multifocal tracking tool at the program level. Key program level GEB and socio-economic indicators were identified in a draft version of that

[36] *GEF-6 Programming Directions, op. cit.*, p. 177.

tracking tool. In practice, there were several problems reported in applying these indicators in the child projects (annex 6).

FINDING 7: In the absence of set standards for calculating greenhouse gas emissions in the GEF,there are inconsistencies in the role, expression and measurement of GEB targets in the IAPs, which risks hampering program-level M&E.

72. All three IAP programs provide targets towards GEBs that for most part align with focal area objectives covered, but data on GEB targets is scattered throughout program and project documents. The PFDs are not a reliable source for GEB targets, lacking at times targets that should be covered in line with a program's focal area objectives, lacking targets all together (Commodities IAP), underestimating (Cities IAP) or overestimating (Food Security IAP) GEB targets, compared to targets reported in child projects' requests for CEO endorsements. There are also discrepancies in targets set between projects' requests for CEO endorsement and those reported in projects' tracking tools. It is not clear whether the GEB targets, irrespective of the document in which they are mentioned, are meant as aspirational goals or as hard targets.

73. There are variations in child projects' calculation methods of direct and indirect CO2e mitigated (GEB 4); different periods of influence are being used in calculations, different indirect bottom-up methods, and poorly substantiated indirect top-down causality factors are being used. While there is STAP guidance on calculating greenhouse gas benefits for specific sectors, there are no set standards within the GEF for CO2e calculation methods. Set CO2e GEB targets should be realistic, reachable and relevant towards the program's focal area objectives. Even if these were meant as aspirational goals, there should be a unified approach in tracking progress towards such aspirations.

Process

74. This subsection includes a review of the efficiency of the program and project design and launch process; the selection of participating countries and cities; GEF and non-GEF partners' comparative advantages, roles and coordination in the GEF partnership, the process of engagement with key stakeholders; and funding and financial incentives.

Performance of the design and launch process

FINDING 8: It took 26 months to bring all child projects to the stage of CEO endorsement from PFD Council approval, and required significant front end outreach efforts across countries and agencies. It took exactly four years from IAP program concepts to starting implementation of child projects. Engagement with a wider set of stakeholders at the design stage and the complexity of the IAP programs partly explain the four-year timeframe. Other factors include technically complex multi-focal integrated program designs, budget issues, selection criteria and processes for both Agencies and of countries/cities, sub-contracting; among others. Importantly, a lot of work in the IAP programs is front-loaded, taking place in advance of Council approval of the PFDs.

75. When looking at the efficiency of the IAP design process, it took 26 months to bring all 30 child projects to the stage of CEO endorsement from PFD Council approval in June 2015. According to current Council approved procedures for programmatic approaches, two GEF project cycle standards apply to child projects part of the three IAP programs: (i) the commitment deadline before which the GEF Agencies are required to submit child project documents for Secretariat review for CEO endorsement, which was set for each IAP individually,[37] and (ii) the 18-month project cancellation deadline, at which time a first submission for CEO endorsement should be received for a project not to be canceled (table 6).[38] [39]

Table 6: IAP programs' deadlines

IAP program	Commitment deadline		Cancellation deadline	
	Date	Months[1]	Date	Months[1]
Cities	Jul-16	13	Dec-16	18
Commodities	Jun-16	12	Dec-16	18
Food Security	Jun-16	12	Dec-16	18

[1] Being the number of months from the PFD's inclusion in the work program up to the deadline date.

76. On average, it took child projects 14-15 months to reach commitment deadlines (table 7). The Cities IAP performed best, with five of the 12 child projects having been submitted on time and the average delays were small. The Commodities IAP had most delays with all five child projects being delayed, four of which by two months or less. In general, the average delay towards the commitment deadline was small for child projects of programs of this complexity.

Table 7: Timing towards commitment deadlines

IAP program	**Time to reach commitment deadline** (months)			**Number of projects delayed**
	Shortest	Longest	Average	
Cities	10	18	14	7 out of 12
Commodities	13	18	15	5 out of 5
Food Security	8	19	14	9 out of 13

77. On average, it took child projects 21 months to reach CEO endorsement, counted from the date of Council approval of the relevant IAP programs' PDFs (Table 8).

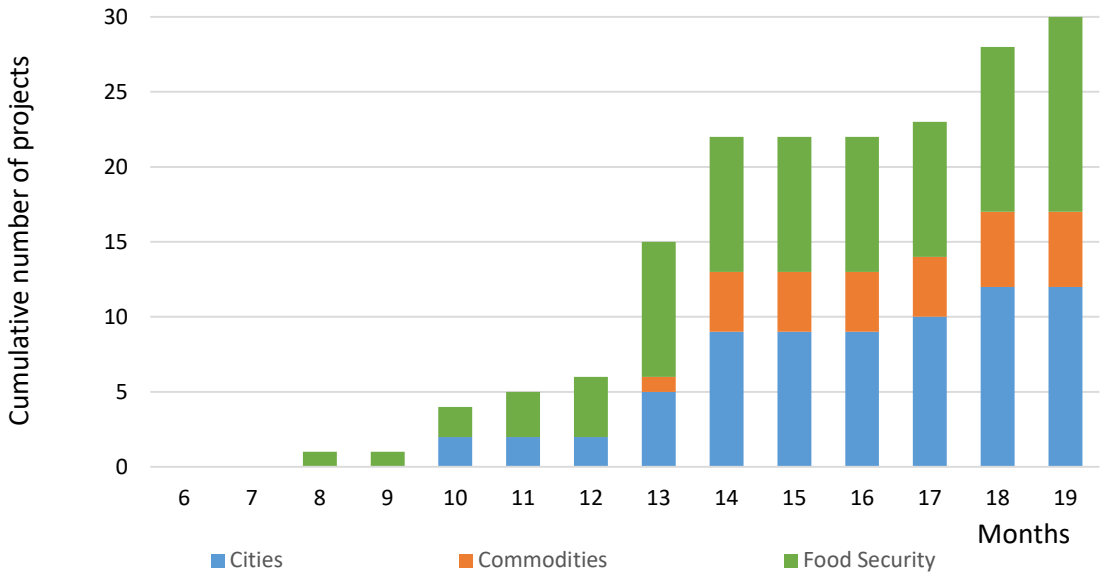
[37] Work program inclusion of the PFD took place in June 2015 for all three IAP programs.
[38] GEF, Joint Summary of the Chairs – 48th GEF Council Meeting, June 2015, p. 9.
[39] There is a lack of clarity as to whether the Council decision rendered the commitment deadline irrelevant for the IAP programs and related child projects. This review assumes that both deadlines apply.

Table 8: Timing towards CEO endorsement deadline

IAP program	Time to reach CEO endorsement deadline (months)			Number of projects delayed
	Shortest	Longest	Average	
Cities	19	26	21	12 out of 12
Commodities	20	22	21	5 out of 5
Food Security	11	25	21	8 out of 13

78. Almost all child projects submitted child project documents for Secretariat review for CEO endorsement by 18 months, the official deadline for project cancellation.[40] Two child projects of the Food Security IAP Program were submitted at 19 months, though not cancelled (figure 6).[41]

Figure 6: Cumulative timing towards cancellation deadline



79. The three IAPs are new and complex programs—they are multifocal area, multi-country and multi-GEF Agency endeavors. In addition, they all share a fourth multidimension, the multiple scale: the ambition to work at local, landscape, national and regional levels, which adds considerable challenges to the implementation of the three IAPs. To impart a comprehensive understanding of

[40] Ibid.

[41] The Secretariat calculates the 18-month deadline as documents need to be received before 19 months, whereas the IEO sees the 18-month deadline as documents need to be submitted at 18 months exactly, or earlier.

their intended scope and impact required additional up-front effort for outreach and education with agencies and countries which was to be expected for new and complex programs. .

80. The evaluation of programmatic approaches showed that complexity adversely affects efficiency and highlights that while complex programs may have better longer term sustainability and better M&E design, they are substantially more difficult to execute than are simple ones.[42] Some of the 'organizational' complexity of the IAP programs was perhaps avoidable. For example, the sub-contracting of a large number of non-GEF knowledge partners as part of the hub projects, or child projects' budgeting towards hub-project engagement. Minimizing the avoidable complexity would allow focusing on managing the needed 'technical/scientific' complexity of these multifaceted endeavors, to decrease implementation delays and improve overall implementation efficiency.[43]

Country and cities selection

FINDING 9: Approaches for country selection varied across the three IAPs and were not always clear.

81. Different approaches were adopted for country selection: for the Commodities and Food Security IAP programs, the selection of countries was based on sound criteria, but communication in the process was not sufficient. In the Cities IAP, the country selection process occurred via several informal, parallel consultations between GEF Secretariat, MDBs, UN agencies, and national governments during the early project design phase. Participants agree that the Secretariat led critical decisions on which countries/cities to include in the program, often resulting from GEF higher management traveling and holding key meetings with decision-makers, rather than based on a set of universal and agreed criteria for the selection of countries/cities to be involved in each country. The PFD presents a set of child project selection criteria defined by the GEF Secretariat. These criteria were only formalized once the selection of project countries had already taken place. The evaluation team has found no evidence of the use of a set of universal and agreed criteria for the selection of cities—including the type and number of cities to be involved in each country.[44] Interviews with key country stakeholders indicated that in-country city selection, while not being based on a universal and agreed set of criteria, was often based on a careful consideration of levels of commitment, impact, potential and readiness.

82. For the Commodities IAP, again the Secretariat led the process on the countries to be included, with proposals presented to the countries in the midst of designing the program. However, based on the desire to include major commodities that cause deforestation, country coverage of the Commodities IAP is appropriate as it includes primary producers of the targeted

[42] *Evaluation of Programmatic Approaches, op. cit.*, p. 13.

[43] Vidal and Marle (2008) indicate that 70% of identified complexity factors in development interventions are organizational.

[44] A background paper for the Sustainable Cities IAP program's August 2014 consultative meeting proposed a universal set of ten criteria for the selection of pilot cities and urban areas, but no evidence was found indicating that these criteria have been used afterward in the actual selection of cities.

commodities. To note, the exclusion of consumer countries implies that the Commodities IAP lacks the ability to influence the primary markets of India and China, where for example, most of the palm oil is consumed directly and the program is therefore seeking alternative measures to impact these markets. WWF/UNDP are planning work on the demand side with China, which will commence next year, and WWF is exploring opportunities for engagement in India.

83. Interviewed GEF Agencies questioned the appropriateness of the child project selection process and country choice in the Food Security IAP, which was driven by the GEF Secretariat also in this case. As noted by country-level interviewees; signing up countries requires a lot of competitive lobbying and promises being made in that process. Agencies stated that they incur in high transaction costs to convince countries to sign up to a program. Reportedly, IFAD spent a considerable amount of time to ensure its seven child projects in the Food Security IAP, and explained that a lead agency's investment in a programmatic approach only makes sense when it can obtain a reasonable portfolio.

84. Despite these criticisms, the process yielded a country selection that fulfills all the criteria established in the PFD of the Food Security IAP, namely: (1) agro-ecological coverage, (2) leverage and catalytic potential, and (3) government interest and institutional support. Boundaries were given by the targeted major agro-ecological geographies, mainly dryland ecosystems in Sub-Saharan Africa with a long record of concerns about food security and environmental sustainability, located in the Sahel and Eastern and Southern African high- and lowlands. At the same time, the program builds on expressions of countries' interest and the experience of agencies active in and outcomes envisaged by 'baseline projects'; projects designed by the participating GEF Agencies with funds registered as the Food Security IAP Program's cofinancing, that would have been implemented in participating countries irrespective of the IAP program. To note, interviews revealed that the respective roles of the lead agency and the GEF Secretariat in the Food Security IAP design and launch were unclear for too long. Concerns were raised on the limited communications from the Secretariat, the incorporation of executing agencies into the hub project, country selection, administrative aspects and opportunities for interaction among child projects. Despite these concerns, the GEF and all the agencies involved are motivated about implementing the program, at hub project, country and field levels.

Comparative advantage, roles and coordination

85. For many GEF Agencies and executing partners involved in the IAP programs the most important role for the GEF Secretariat is that of a convener. In the Food Security IAP for example, the GEF offers participating agencies, countries and other interested parties a unique opportunity to develop a regional forum for coordination, common strategy development, specific technical and institutional assistance to countries through the hub-project, and a strategic learning agenda. This will allow GEF and its partners to take advantage of the economies of agglomeration associated with such close and dedicated networks. The GEF endeavors in the Food Security IAP to take a strategic approach to partnering and effective mainstreaming, moving out of the environmental

niche and bridging the conservation-food security divide in broader resilience programs. GEF also has experience taking an integrated and systems approach to tackle a broad range of issues with multiple benefits in addition to a proven record in funding demonstration and pilot activities. GEF's engagement with financial intermediaries, enabling policy environments and institutional strengthening also lends it comparative advantage.

86. The GEF took full advantage of its convening role by taking a proactive role in IAP design. Surveyed country stakeholders confirmed this increased Secretariat role in the IAP programs. Eighty-eight percent of respondents indicated that with GEF-6, the Secretariat has engaged more with countries in designing projects and programs. Ninety-two percent of respondents agreed to strongly agreed that Secretariat has actively promoted the IAP programs and child projects in the country. Eighty-seven percent of respondents agreed to strongly agreed that the GEF Secretariat has directly engaged in dialogue with country decision makers in the selection of GEF Agencies for the IAP child projects, to encourage participation of newer GEF Agencies. Ninety-three percent of respondents agreed to strongly agreed that good coordination and technical support were received from the GEF Secretariat during project design and launch. Interestingly, 91 percent of respondents agreed to strongly agreed that the amount of child project documentation needed at planning and approval stages were equal to that of comparable stand-alone GEF projects.

87. GEF Agency roles in the three IAPs followed clear criteria, and selection was based on their respective comparative advantage. Ninety-five percent of survey respondents agreed to strongly agreed that the relevant GEF Agencies with a presence in the country have been involved in IAP programs and child projects' design, based on their comparative advantage. Indeed, the three IAPs are characterized by a large range of GEF Agencies and executing partners. All of them are generally individually well qualified, but their number increases the multitude of institutional preferences, and requires greater planning and coordination, as further discussed.

FINDING 10: There has been some competition for the lead agency position, and the role of the consultations in the lead agency selection process was not always clear.

88. The selection of the Cities IAP lead agency was a complex process involving multiple conversations and negotiations between GEF Secretariat and the management of the World Bank's urban sector. Participating agencies mostly concur that the selection of the World Bank as main implementing agency was conducted in a non-transparent manner. The definition of the mandate of the World Bank as lead agency for the Cities IAP, its accountability towards the GEF, and its authority - if any - over the other GEF Agencies in the collective pursuit of the accomplishment of the Cities IAP Program goals and expected outcomes, were never clearly defined, and remain so at the onset of the implementation phase. The current 'partnership arrangement' is primarily based on the GEF and the World Bank investing their credibility and reputation in the success of the Cities IAP, rather than on set rules defining the responsibility of each institution.

89. Irrespective of the process described above, the World Bank has a definite comparative advantage as GEF's lead agency in the Cities IAP Program, given its overall profile, standing, and

engagement both in urban development and in the pursuit of sustainable development and climate action. There are three clear comparative advantages emerging from the Cities IAP partnership: (i) its ambition to work with sub-national governments to connect cities to the wider global sustainable development goals; (ii) the development of the GPSC to leverage the collective experience and knowledge of global sustainable and resilient cities networks, and (iii) the partnership's ability to bring international financial institutions to the table and align money with sustainable city projects. Comparative advantages of GEF Agencies involved in the Cities IAP are discussed in detail in annex 4.

90. The self-selection of the five GEF Agencies in the Commodities IAP (UNDP, CI, WWF-US, Word Bank/IFC and UNEP-FI) considered their experience in the subject matter, their country presence and their credibility with other stakeholders. As told to evaluators, the responsibility of the lead agency, UNDP, was established early in the project and agreed to by the other Agencies. In-country arrangements for project execution involve national ministries (or equivalent) of agriculture, forestry and environment as well as ministries associated with the operational and political focal points in the four countries. The GEF's convening power has allowed the Commodities IAP to put in place collaborations and networks that envision it being able to play a catalytic role, particularly in leveraging private sector engagement while generating GEBs across different focal areas. Collaborative partnerships within the program are a conduit for driving sector wide transformation and provide a 'testing ground' for emerging models or concepts. This is the premise on which the design is based with the aim of creating a 'beacon effect' that can spur broader adoption of the integrated approach as well as incorporating scientific findings.

91. In the Food Security IAP, the lead agency IFAD not only offers cofinancing and leverage, but also technical and organizational experience, and institutional capacity. This is fully agreed by the other GEF Agencies involved in the program. IFAD's division in charge of the Food Security IAP, the Environment and Climate Division, brings along very recent and ongoing experience on the Adaptation for Smallholder Agriculture Programme (ASAP); a $366 million investment in 40 SSA countries that started in 2012, to operationalize climate change adaptation with rural clients. IFAD cooperates with the Consultative Group for International Agriculture Research (CGIAR) centers on climate change in value chains. However, IFAD cannot directly deliver the hub project, due to its internal procedures. For this reason, IFAD sub-contracted a number of GEF and non-GEF Agencies for specific tasks related to the hub project, and asked ICRAF to host the coordinating unit of the hub project in its headquarters in Nairobi. In addition, to be closer to the ground in its supervision and liaison work, and to the program coordination unit in Nairobi, IFAD is placing a full-time staff person in its Addis Ababa office. However, ICRAF has limited experience in the management of GEF programs, and its performance in a co-ordinating role will need to be assessed at the mid term review.

Engagement of a broader constituency

FINDING 11: The three IAPs draw on the comparative strengths of several agencies and other experienced think tanks.

92. The Draft Programming Directions Part II document of August 2013 contains a list of key activities associated with, and a preliminary list of institutions that can potentially be consulted for the design of the Cities IAP program.[45] The May 2014 Programming Directions document also lists a series of international meetings where consultations were planned to take place.[46] The level of engagement with sub-national / city level entities and civil society organization's (CSO) involvement is difficult to determine, but based on interviews with key stakeholders it comes across as relatively modest at the design stage. The child projects in South Africa (GEF ID 9145) and in Latin America (Brazil, Mexico and Paraguay, GEF IDs 9142, 9649 and 9127 respectively) demonstrate the most robust engagement with CSOs and local interest groups. These engagements provide learning lessons for peer-to-peer learning across countries via the GPSC.

93. Stakeholder engagement and partnership for the Commodities IAP program was achieved through a two-prong approach, one is a participatory design process and the other is a stakeholder outreach process.[47] The design phase of the IAP program incorporates a participatory process, with countries, GEF agencies and a wide range of stakeholders involved. The Commodities IAP has undertaken extensive external stakeholder consultations and outreach to industry private and public organizations to gain a greater understanding of how business tackles deforestation. Further, given the different complexities and challenges in each commodity, separate commodity platforms and relevant round tables are interwoven into the child projects to create collaborative partnerships. The stakeholder outreach process is reflected in the 'hub project,' titled "Adaptive Management and Learning (AML) for the Commodities IAP" (GEF ID 9179). The AML project also acts as a platform for discussions among key partners, such as the UK Department for International Development (DFID), the Sustainable Trade Initiative - IDH, and UN REDD+, Forest Trends, among others to identify collective environmental impact targets. The trade-offs between broad stakeholder engagement and efficiency have not been well assessed, and although partnerships have emerged as a favored approach and are critical to the program, a wider set of stakeholders has the potential to make the program coordination cumbersome and challenging. The Commodities IAP child project focusing on production intends to engage over 135 entities, including governmental bodies, private sector, nongovernmental organizations and civil society organizations, platforms and collaboration forums, and development partners. The transaction costs associated with coordinating stakeholder engagement during the design phase are undoubtedly high.

[45] *Draft GEF-6 Programming Directions – Part II, op. cit.,* pp. *74-75.*
[46] *GEF-6 Programming Directions, op. cit.,* pp. 184-185.
[47] *PFD document of Commodities-IAP, op. cit.,* p. 4.

94. The Food Security IAP incorporated partners that are relatively new to agriculture in the GEF, CI and UNIDO, and external entities as executing agencies, ICRAF and the Alliance for a Green Revolution in Africa (AGRA) - previously engaged in GEF agricultural projects to a limited extent, subcontracted by IFAD and UNDP, respectively. Many of these entities occupy important positions of responsibility in the execution of important tasks through the hub project. ICRAF, CI and AGRA participated in the consultations and accepted a definite role in the program in late 2016 to add specialized knowledge in the conservation and value chain sides of household, community and eco-system resilience. By and large, GEF Agencies and executing partners are individually well qualified, but their number increases the multitude of institutional preferences and the complexity of planning, coordination and arriving at common and synergistic approaches. This is compounded by the multi-country nature of the program as well as the multifocal and multiscale approach. Interviewed participants view the final hub management structure as overly complex and fragmented, with resources spread too thin to make a real difference (annex 6).

95. Engagement of a broader constituency in the IAP programs aims to go beyond GEF Agencies and executing agencies, particularly through involving the private sector. The GEF 2020 strategy document highlights the need to enhance engagement with the private sector as a key component of its Core Operational Principle to 'mobilize local and global stakeholders.'[48] It recognizes that private enterprises, as "the dominant source of economic activity, must be encouraged to pursue commercially viable activities that also generate global environmental benefits."[49] Almost 90 percent of survey respondents agreed to strongly agreed that special efforts were made to integrate private sector actors into aspects of the child projects.

96. Despite the emphasis on private sector in the IAPs given in GEF-6 Programming Directions the inclusion of private sector is not visible in child projects' documentation reviewed. Within the Cities IAP's PFD there is modest attention to private sector involvement. No collaborative partnerships with the private sector are identified in the design and start-up beyond consultations with the World Business Council on Sustainable Development.[50] The Cote d'Ivoire child project (GEF ID 9130) includes one component that focuses on industrial development. As expected, the request for CEO endorsement discusses private sector involvement in some detail and two companies have been identified as private sector partners to carry out specific activities. The project documents of the China, Malaysia and Mexico child projects (GEF IDs 9223, 9147 and 9649) discuss private sector engagement, but do not go into detail. If projects envisage to develop collaborative partnerships - whether formal, informal or aspirational - with private sector entities, such engagements need to be made explicit in the project documentation. The Commodities IAP was able to demonstrate these intended engagements to a greater extent through child project documentation in comparison to the other two IAPs.

[48] GEF, GEF 2020 – Strategy for the GEF, May 2014. Assembly Document GEF/A.5/10.
[49] Ibid., p. 18.
[50] *PFD document of Cities-IAP, op. cit.*, p. 9.

97. The Commodities IAP also attempts to engage companies on their journeys and collaborate in ensuring they can meet their supply chain commitments. To that end, the program has leveraged strong private sector participation in the design. Private sector companies see benefit in being involved at an early stage of the Commodities IAP, but the absence of major palm oil consumers such as India and China, and a major producer, Malaysia, is notable. Private sector cofinancing commitments have yet to materialize. Importantly, while multinational private sector companies have been actively involved in the design of the Commodities IAP, smaller private companies may need specialized attention for participation. Also, private sector local companies may have the willingness but not the capacity to undertake the obligations required under the IAP, though it is extremely important to involve them as a "bottom-up" approach is essential for sustaining the program locally and across supply chains.

98. As for the Food Security IAP, its PFD is also particularly ambitious on the private sector and CSOs involvement, aiming at: (i) setting up public-private partnerships (PPPs) to address access to input and output markets; (ii) establishing payment for ecosystem services and other innovative funding mechanisms as good examples of governments and private sector to work together; and (iii) increasing the channeling of private sector resources to pro-poor and pro-environment value chains. More specifically, design documents of seven child projects concretely refer to engagement with and roles for private sector (Ethiopia, Kenya, Malawi, Nigeria, Senegal, Swaziland and Uganda; GEF IDs 9135, 9139, 9138, 9143, 9134, 9133 and 9137 respectively). Of these, only Kenya, Malawi and Uganda provide some details about the nature of engaging the private sector. In Kenya, the transfer of responsibilities of watershed management to a semi-private water fund is an integral part of the child project. Malawi refers to private sector engagement in the context of the baseline IFAD project, which plans to involve CSOs and private sector service providers to pilot drip irrigation. A multi-stakeholder platform is planned in Uganda, with the hope that private sector participation will contribute to an environment-friendly organization of trade in input supplies, food crops, charcoal and other value chains.

99. From the institutional partners point of view, almost all survey respondents agree to strongly agree that their country has been able to bring together the various responsible ministries, agencies and other actors due to the IAP programs'. Specific measures are planned at country level to further enhance cooperation across different ministries, agencies and other stakeholders. Country level buy-in of the intersectoral approach introduced by the IAP programs is important as it constitutes one of the main strategies for achieving impact at scale. Almost all child projects mention ownership and buy-in from in-country stakeholders in the project documentation.

Funding and financial incentives

FINDING 12: Set-aside funds provided incentives for countries to commit STAR resources to the program, however, most of the financial resources to the IAP programs were already committed.

100. The overall amount of financial resources allocated to the three IAP programs is $3.75 billion, of which about $284 million GEF grant financing and $3.47 billion in cofinancing (table 2). It appears like the GEF managed to mobilize a vast amount of additional financial resources for the implementation of, or due to the existence of the GEF projects being developed. However, an analysis of the financial allocations to the various country child projects shows that GEF grants are complementary to other financial resources, most of which were already allocated to their intended purposes of food security improvements, integrated natural resource management, or urban infrastructure provision. While this is not a negative aspect, as the GEF successfully fulfilled its convening role in mobilizing additional financial resources, the GEF was not the primary initiator in funding these programs. For example, in the case of the Food Security IAP, 8 of 12 child projects (7 by IFAD and one by the World Bank) were designed in parallel with the respective Agencies' loans that were already programmed. This also indicates that a good part of the IAP programs' interventions on food security improvements, integrated natural resource management and urban infrastructure provision would also have taken place without the GEF, but efforts are now more integrated, with a strong emphasis on adaptive management, learning and knowledge exchange.

101. The biggest cofinancing source for all three IAP programs are the governments of the participating countries, accounting for 65.4 percent of cofinancing. The Food Security IAP Program has the biggest share of GEF Agency contributions in relative terms, covering 31.5 percent of cofinancing, and overall GEF Agency contributions account for almost 22 percent of cofinancing. The two sources contributing the least are the private sector and the beneficiaries (table 9).

Table 9: Cofinancing by source

Cofinancing by source (in $ million and percentages)[1]	**IAP program**					
	Cities		Commodities		Food Security	
	($ mil.)	(%)	($ mil.)	(%)	($ mil)	(%)
GEF Agency	477.8	19.8%	32.3	12.3%	247.6	31.5%
Donor agency	295.0	12.2%	5.1	1.9%	2.0	0.3%
Government	1,615.1	66.8%	177.8	67.5%	475.5	60.5%
Private sector	23.2	1.0%	0.0	0.0%	15.3	1.9%
CSO	4.8	0.2%	38.3	14.5%	31.0	3.9%
Beneficiaries	0.7	0.0%	10.0	3.8%	14.9	1.9%
Total	2,416.6	100.0%	263.5	100.0%	786.2	100.0%

[1] Based on child project financing data.

102. Looking at the type of cofinancing, the biggest amount of cofinancing is in the form of loans, accounting for 55 percent of all cofinancing. The second biggest type of cofinancing is in-kind contributions, accounting for 26 percent of all cofinancing. The Commodities IAP depends for almost 80 percent on in-kind contributions, followed by the Food Security IAP where in-kind

contributions account for 46 percent of all cofinancing (table 10). To note, the Commodities IAP Program receives no private sector cofinancing, which is surprising given the nature of the program, and no loans.

103. In-kind contributions represent 26 percent of total cofinancing, being $912 million, but child project documents do not demonstrate how the related monetary values have been established, nor do they present a way to track in-kind contributions during project implementation. In most cases the project budgets presented cover exclusively the detailed allocations of GEF grants, with limited explanation given as to how the cofinancing amounts will contribute to project implementation.

Table 10: Cofinancing by type

Cofinancing by type (in $ million and percentages)[1]	**IAP program**					
	Cities		Commodities		Food Security	
	($ mil.)	(%)	($ mil.)	(%)	($ mil.)	(%)
Loan	1,739.7	72.0%	0.0	0.0%	179.9	22.9%
Grant	340.5	14.1%	53.0	20.1%	235.6	30.0%
In-kind	336.5	13.9%	210.5	79.9%	364.9	46.4%
Guarantees	0.0	0.0%	0.0	0.0%	2.3	0.3%
Unknown at this stage	0.0	0.0%	0.0	0.0%	3.5	0.4%
Total	2,416.6	100.0%	263.5	100.0%	786.2	100.0%

[1] Based on child project financing data.

104. While the GEF-6 Programming Directions talks about a key feature of IAP activities being "crowd-in private sector engagement to enhanced financial leverage,"[51] that same document is not clear whether that engagement and leveraging should translate in private sector cofinancing. In fact, it doesn't. Private sector cofinancing in the three IAP programs is very limited (table 11). Of the $38.5 million in private sector cofinancing, 52 percent is in loans, 31 percent is grant money and 17 percent is listed as in-kind contribution. Child projects in Cote d'Ivoire, India and Senegal (GEF IDs 9130, 9323 and 9123) are Cities IAP child projects that receive private sector cofinancing. The Cities IAP Program's PFD anticipated private sector cofinancing in China and Mexico (GEF IDs 9223 and 9649), but there is no evidence that this materialized. No evidence of private sector cofinancing was found in the Commodities IAP Program. Kenya and Swaziland (GEF IDs 9139 and 9133) are the only child projects of the Food Security IAP Program that secured private sector cofinancing, while the Malawi child project (GEF ID 9138) mentions a potential private sector investment that has not yet been secured.

105. Both the Cities IAP and the Food Security IAP Program link IAP set-asides support to the STAR allocations (table 12); countries can access IAP support from these two programs as a matching incentive with their own STAR resources, if they agree to implement activities in line with

[51] *GEF-6 Programming Directions, op. cit.*, p. 175.

the objectives set for these two programs.[52] The GEF offered a one-to-one dollar financial incentive for countries to sign up for these two IAP programs; one dollar would have to come from the participating country STAR allocation and one from a set aside that the Council agreed to for the IAP.

Table 11: Private sector cofinancing

IAP program	**Cofinancing** ($ million)[1]		**Private sector cofinancing as % of Total cofinancing**
	Total cofinancing	Private sector cofinancing	
Cities	2,416.6	23.2	1.0%
Commodities	263.5	0.0	0.0%
Food Security	786.2	15.3	1.9%
Total	3,466.4	38.5	1.1%

[1] Based on child project financing data.

Table 12: STAR allocations in Cities IAP and Food Security IAP Programs

	Cities	Food Security
STAR by focal area ($ million)		
Biodiversity	8.0	14.3
Climate change	81.3	11.3
Land degradation	1.0	31.1
Total	90.3	56.7
As percentage of total GEF financing for the IAP program	65.8%	53.3%
As percentage of total STAR available to participating countries	22.9%	37.2%

106. Only the child projects in Burundi and Swaziland (GEF IDs 9178 and 9133), as part of the Food Security IAP, have fully flexible STAR allocations;[53] meaning they can shift programming resources across the three focal areas of biodiversity, climate change, and land degradation.[54] The STAR allocations used towards the Food Security IAP child projects in these two countries is within the allocation for each focal area, which means that for the Food Security IAP Program it is not necessary for Burundi and Swaziland to make use of their STAR flexibility. Besides, the quality-at-entry review of country child projects' documentation shows that only the IFAD project document of the Malawi child project (GEF ID 9138) under the Food Security IAP mentions the STAR allocation.

[52] *GEF-6 Programming Directions, op. cit., 65,* pp. 177-178.
[53] GEF, GEF-6 Indicative STAR Allocations, July 2015. Council Document GEF/C.47/Inf.08.
[54] *System for Transparent Allocation of Resources (STAR), op. cit.*, p. 6.

This is surprising given that 34 percent of survey respondents indicated that accessing of funds beyond available STAR resources is one of their three main motivations for taking part in the IAP programs.

107. While applicants were required to match the IAP allocations on a dollar-for-dollar basis out of their regular national STAR allocation, most countries ultimately opted to match at a higher ratio.[55] [56] Two child projects under the Cities IAP, being in Senegal and Cote d'Ivoire (GEF IDs 9123 and 9130), do not match their IAP allocations on a dollar-for-dollar basis; in the case of the Senegal project, the match is $2.9 million short, and in the case of the project in Cote d'Ivoire the difference is less than $25 thousand.

108. It's worth noting that despite the acknowledgement of the importance of urban resilience as part of the urban sustainability agenda, the Cities IAP could not draw any resources towards adaptation from the Least Developed Countries Fund (LCDF) and the Special Climate Change Fund (SCCF). This was due in part to the unpredictable nature of replenishments for these two funds, and fund-specific processes for project selection that do not line up with the IAP programs' processes and timeframes. The evaluation team was not able to assess how many GEF Agencies submitted to LCDF or SCCF for cofinancing of their Cities IAP urban resilience components as a stand-alone project. However, the team learned that the ADB-led Vietnam project (GEF ID 9484) obtained an SCCF grant to support its resilience activities, awarded based on a separate SCCF funding application (GEF ID 6924).

109. The Commodities IAP Program is not reliant on STAR allocations. All funds come from IAP-dedicated focal area set-asides. Based on interviews, the associated global Conventions appear to be comfortable with the amounts allocated towards this program given the relatively small percentage of total focal area funds. Should these amounts become more significant in future integrated programming, the Conventions would expect to weigh in more explicitly at the design stage to ensure that guidance from the Conventions is being adhered to in the context of integrated programs. As told to evaluators, as a global program focused on supply chain which has multiple entry points, countries were reluctant to invest their STAR resources to fund global work, particularly that with a large knowledge management, communities of practice and partnership strategy component. For example, consumer countries not wishing to dedicate STAR resources for generation of GEB in producer countries. Moreover, it was deemed by GEF to be more strategic to use set aside funds in countries along the supply chain and identify 'pinch points' where GEF interventions could be most impactful. Countries' unwillingness or inability to use their STAR allocation for the Commodities IAP Program is related to other forestry programs that were using, or are planned to use STAR. The "Strengthening Forest Area Planning and Management in Kalimantan" project (GEF ID 6965) in Indonesia achieves this purpose, although this is the only project/country that seems to have done so.

[55] *PFD document of Cities-IAP, op. cit.,* p. 9.

[56] *PFD document of Food Security-IAP, op. cit.*, p. 31.

110. More countries showed interest than eventually could join the Food Security IAP program. Financial incentives were not the main reason. Surveyed country stakeholder data indicate that the primary motivation for participation in the program though a child project was to develop models for replication (74 percent), followed by participation in regional initiatives (43 percent) and expanding funding resources for ongoing projects (43 percent). There is no evidence either that there were 'inverse incentives' at play for most of the countries through the set-asides, i.e. that the additional funds may have been paramount in decisions to join and allocate country STAR funding to the program. GEF Agencies noted in interviews that several countries had a keen interest in South-South interactions and in gaining experience and track records in environmental and climate change programs to facilitate access to potential future environmental or climate change funding.

111. The assessment of the extent to which IAP set-asides have contributed or even maximized cofinancing and leverage for the child projects is complicated by the fact that, as described earlier, several other factors largely influenced country selection and cofinancing. The role of IFAD in the program as provider of loans is important. For child projects in countries implemented by other UN Agencies cofinancing is high, but in three out of four countries almost all cofinancing is in-kind, provided mostly by Government through other projects. The exception is Uganda, where cofinancing consists of $45 million from a Government grant, and $13 million from UNDP.

Cross-cutting issues

112. This subsection focuses on the extent to which IAPs address gender and resilience.

Gender

FINDING 13: OVERALL, GENDER HAS BEEN CONSIDERED IN MOST CHILD PROJECTS, AND MORE THAN HALF HAVE A GENDER MAINSTREAMING STRATEGY OR PLAN IN PLACE.

113. The IAP approach mainly focuses on gender mainstreaming through analyses to identify and account for gender differences in needs, roles and responsibilities, and opportunities for equal engagement of women and men. A quality-at-entry review of project documents assessed whether child projects across the three IAPs considered gender, planned or performed a gender analysis, developed a gender strategy or action plan. The review found that most child projects aim for gender-specific objectives or activities. However, project context descriptions for Cities IAP and Commodities IAP child projects do not provide more gender information, and gender is equally absent in the partner descriptions for most child projects (table 13).

Table 13: Gender consideration in elements of the project documentation

IAP program	**Gender consideration** (in percentage 'yes')			
	In context description	In partner description	In project description	In gender-specific objectives/activities
Cities	25.0%	16.7%	58.3%	91.7%
Commodities	40.0%	0.0%	100.0%	80.0%
Food Security	84.6%	15.4%	92.3%	100.0%

114. A gender analysis has been completed for most child projects for the Cities IAP and Food Security IAP (table 14).

115. The development of a gender mainstreaming strategy or plan is either planned or completed for most child projects. The Food Security IAP is scoring best on this indicator, with 77 percent of child projects having developed a gender mainstreaming strategy or plan at CEO endorsement. For the Commodities IAP, a program level Gender Mainstreaming Strategy and Action Plan was developed, informing the actions that will be taken at the level of each child project. Furthermore, 60 percent of Commodities IAP child projects had developed a gender mainstreaming strategy or plan at CEO endorsement. For the Cities IAP Program, 42 percent of child projects had developed a gender mainstreaming strategy or plan at CEO endorsement (table 15).

Table 14: Quality-at-entry review of gender analysis

Gender analysis	**IAP program**					
	Cities		Commodities		Food Security	
	(%)	(#)	(%)	(#)	(%)	(#)
No mention of a gender analysis	25.0%	3	20.0%	1	23.1%	3
Gender analysis is planned	0.0%	0	40.0%	2	0.0%	0
Gender analysis is completed, but not shared	58.3%	7	40.0%	2	30.8%	4
Gender analysis is completed and available	16.7%	2	0.0%	0	46.2%	6
Total	(n=12)		(n=5)		(n=13)	

Table 15: Quality-at-entry review of gender mainstreaming strategy or action plan

Mainstreaming strategy or plan	IAP program					
	Cities		Commodities		Food Security	
	(%)	(#)	(%)	(#)	(%)	(#)
No mention of a mainstreaming strategy or plan	25.0%	3	0.0%	0	7.7%	1
Development of a mainstreaming strategy or plan is planned	33.3%	4	40.0%	2	15.4%	2
Mainstreaming strategy or plan is completed, but not shared	8.3%	1	0.0%	0	38.5%	5
Mainstreaming strategy or plan is completed and available	33.3%	4	60.0%	3	38.5%	5
Total	(n=12)		(n=5)		(n=13)	

116. Of the 30 child projects, only three were assessed as gender blind in the quality at entry review. The Food Security IAP's child project in Ghana (GEF ID 9340) had no mention of gender, the Cities IAP's child project in China (GEF ID 9223) mentioned gender as part of lessons learned from previous projects but did not show that it applied any of these lessons to its own project's design, and the Cities IAP's child project in Mexico (GEF ID 9649) concluded that no gender equality and women's empowerment issues applied to the project. Twenty-three percent of projects were rated gender aware, while most projects received gender sensitive or gender mainstreamed ratings (table 16).

Table 16: Quality-at-entry review of project gender ratings

Gender rating	IAP program					
	Cities		Commodities		Food Security	
	(%)	(#)	(%)	(#)	(%)	(#)
Gender blind	16.7%	2	0.0%		7.7%	1
Gender aware	16.7%	2	20.0%	1	30.8%	4
Gender sensitive	33.3%	4	20.0%	1	23.1%	3
Gender mainstreamed	33.3%	4	60.0%	3	38.5%	5
Total	(n=12)		(n=5)		(n=13)	

117. Country stakeholders confirm these overall positive findings. Over 90 percent of survey respondents agreed to strongly agreed that special efforts have been made to analyze gender aspects in IAP programs' child projects. Ninety-five percent of respondents agreed to strongly

agreed that women will participate in the child projects as beneficiaries with specific targets set, and therefore the projects include gender-specific indicators.

118. Most Cities IAP child projects limit the gender discussion to the gender analysis or one activity. Exceptions are Vietnam's child project's (GEF ID 9484) commitment to a gender-focused loans program, and the Senegal child project's (GEF ID 9123) recruitment of female entrepreneurs and female-run businesses. Three child projects (Brazil, South Africa and Senegal, GEF ID's 9142, 9145 and 9123 respectively) commit to hiring a gender specialist. All projects, except Mexico and China (GEF IDs 9649 and 9223), have included gender results and disaggregated data in the results framework, and set targets for female participation in training. Women's organizations are not included in coordination or technical advisory groups. Within the gender analyses there is discussion of inclusion of women in decision-making roles in the projects, but there are no firm commitments to doing so in the project coordination plans.

119. The Commodities IAP expects to monitor: (i) inclusion of women-led farms in supply chains, (ii) representation of women in training and capacity building efforts, and (iii) achievement of equitable work load balance. However, there is little evidence in program or child project design of the methodology to be used to calculate the equitable workload balance indicator. At the project level, gender issues are considered to varying degrees. All child projects mentioned gender analysis or one gender related activity. The Enabling Transaction child project (GEF ID 9696) incorporates specific project activities that have been developed to target women. The Demand child project (GEF ID 9182) aims to conduct a special consumer campaign for Indonesia based on gender balanced focus groups. The AML child project, Production child project, and Brazil child project (GEF IDs 9179, 9180 and 9617 respectively) have included disaggregated indicators and targets in their project result frameworks. Inclusion of women in decision-making role/governing bodies was mentioned in the Production and AML child projects.

120. The quality-at-entry review provides strong evidence of the Food Security IAP Program having everything in place to deliver on gender mainstreaming. A full-time gender expert will be recruited in the hub project to promote the program gender agenda across its child projects, with clear terms of reference. In ten out of 13 child projects a gender analysis was completed at design, and a gender mainstreaming strategy has been developed for seven child projects. Plans for developing a gender mainstreaming strategy exists for four additional child projects. All project documents contain gender-specific objectives and activities, and almost all of them deal with gender questions in the context and project description sections. Three child projects do not appear to have involved gender experts in project design, and no immediate record could be found in the project documents about women being directly involved in project design. Notably, with the exceptions of the child projects in Burundi and Uganda (GEF IDs 9178 and 9137) child projects do not contain any gender-disaggregated or gender specific indicators in the M&E tracking tool. This primarily reflects the fact that the draft tracking tool proposed by the GEF Secretariat does not contain any gender-specific indicators.

121. There are many country-specific examples in the Food Security IAP of attention paid to gender. GEF resources in the Niger child project (GEF ID 9136) are planned to support women associations for gardening and low-carbon technologies, including the use of solar pumps. In the Malawi child project (GEF ID 9138), village NRM committees will consist of up to 75 percent women. The child project provides funds for strengthening women leadership through these committees. Women are also going to be strongly represented in the catchment management committees. The Ethiopian child project (GEF ID 9135) plans to "establish women as leaders in environmental protection"; this objective is backed up by a detailed set of activities.[57]

Resilience

FINDING 14: Resilience considerations—in terms of risk management, as a co-benefit, or integrated into a multiple benefits framework—are embedded in the IAP programs.

122. Resilience is described as an integrating concept in almost all child projects' requests for CEO endorsement (table 17).

Table 17: Consideration of resilience in child projects

How is resilience considered?	IAP program					
	Cities		Commodities		Food Security	
	(%)	(#)	(%)	(#)	(%)	(#)
Resilience as risk management	0.0%	0	20.0%	1	0.0%	0
Resilience as specific co-benefit	0.0%	0	0.0%	0	0.0%	0
Resilience integrated into a multiple benefits framework	100.0%	12	80.0%	4	100.0%	13
Total	(n=12)		(n=5)		(n=13)	

123. Resilience was assessed against three core components: resilience in a static system/engineering sense, (ii) resilience as incremental change, and (iii) resilience as transformational change. [58] [59] While these three components normally interact, the assessment looked at which of these components was the overarching component in each child project. Resilience as transformational change was found to be the overarching component (table 18).

[57] GEF, Request for CEO Endorsement: Integrated Landscape Management to Enhance Food Security and Ecosystem Resilience, GEF ID 9135, January 2017, p. 36.

[58] Béné, C., Godfrey-Wood, R., Newsham, A., and Davies, M., 2012. Resilience: New utopia or new tyranny? Reflection about the potentials and limits of the concept of resilience in relation to vulnerability reduction programmes. IDS working Paper 405, Brighton: Institute of Development Studies.

[59] Béné, C., Mehta, L., McGranahan, G., Cannon,T., Gupte, J., and Tanner, T., 2017. Resilience as a policy narrative: potentials and limits in the context of urban planning, Climate and Development Journal, March 2017, pp. 1-18.

Table 18: Core components of resilience in child projects

Key Element of Resilience as Concept	IAP program					
	Cities		Commodities		Food Security	
	(%)	(#)	(%)	(#)	(%)	(#)
Resilience in a static system sense	0.0%	0	20.0%	1	0.0%	0
Resilience as incremental change	16.7%	2	0.0%	0	15.4%	2
Resilience as transformational change	83.3%	10	80.0%	4	84.6%	11
Total	(n=12)		(n=5)		(n=13)	

124. Resilience was not generally found as a stand-alone item in project cost projections or results frameworks indicators. This is explained by the fact that resilience is considered integrated into a multiple benefits framework and with the main component being transformational change. Overall, the evaluation found that GEF does not have its own standardized framework or guidelines for addressing resilience and the issue is thus left to individual Agencies relying on their frameworks for the integration of for example, adaptation, depending on an Agency's definition of resilience which could be formulated more broadly or could focus specifically on climate resilience.

125. Over 90 percent of survey respondents agreed to strongly agreed that child projects have made special efforts to analyze resilience of households and eco-systems, and the projects include resilience indicators and targets at household and eco-system level. However, only 30 percent of child project documents mention the Resilience, Adaptation Pathways and Transformation Assessment (RAPTA) Framework and related guidelines. [60] Developed by STAP with help from a research team from the Australian government's Commonwealth Scientific and Industrial Research Organization (CSIRO), RAPTA was meant to be used as a blueprint on how to design and implement child projects by applying adaptation and transformation principles to maintain household, community and ecosystem resilience in the face of climate change and environmental degradation. Only few child projects tested it, as discussed in the following paragraphs.

126. Resilience is used as core concept in the South Africa, Vietnam and Senegal child projects (GEF IDs 9145, 9484, and 9123). Vietnam is the only project explicitly mentioning the RAPTA guidelines and STAP publications in project documentation as influencing their approach to resilience. Resilience is prominent in the Brazil and Malaysian child projects (GEF IDs 9142 and 9147). The RAPTA Framework is referenced in the remaining Cities IAP child projects, but not engaged with in the elaboration of the projects. Almost exclusively the child projects' focus is on climate resilience. Additionally, Malaysia frames resilience as a by-product of green economic growth, and South Africa frames it in terms of socio-economic development and biodiversity in urban food production.

[60] STAP, Designing Projects in a Rapidly Changing World - Guidelines for embedding resilience, adaptation and transformation into sustainable development projects (Version 1.0), September 2016.

127. Climate change and associated extreme events significantly affect agricultural production, leading to pressure to expand production and reducing support for setting aside high conservation value forests and for sustainably sourced commodities, undermining the ability of the Commodities IAP to achieve expected impacts. The Commodities IAP Program has undertaken an analysis of risks at the level of each child project and for the program as a whole. Risk adaptation measures for the risks are proposed, though resilience does not appear to be a central feature of the Commodities IAP. While there is a recognition of the issues and trade-offs impacting resilience of landscapes, and recognition of the risk of prolonged commodity downturn resulting in low margins and reduced corporate investments in sustainable commodities, short-term shocks have not been extensively considered in the design. On the latter element, there is an assumption that commodity price volatility can be mitigated by the more cost-effective production resulting from good agricultural practices, which will make producers more resilient to price fluctuations and therefore, more bankable.

128. The Food Security IAP aimed to pilot the RAPTA resilience assessment tool, and has done so to various degrees in four country child projects. RAPTA was tested in the Ethiopian child project (GEF ID 9135) and, less systematically, in the Kenyan child project (GEF ID 9139), and was only mentioned in project documentation of Uganda (GEF ID 9137) and Nigeria (GEF ID 9143), and the hub project (GEF ID 9140). A major objective in the Food Security IAP is to better define and address resilience of households and communities from an ecosystem services perspective. While the RAPTA guidelines are strong in theory and conceptualization, they ended up as not being sufficiently practical and applicable across child projects during design. The guidelines were tested in the Ethiopian child project (GEF ID 9135). While they helped beneficiaries and project designers to widen their views for food security solutions to go beyond agriculture and for alternative ways to take pressure off natural resources, they resulted being too complex to be used in practical identification of priority actions in project design. RAPTA was not widely used across the Food Security IAP's child projects for three reasons. First, it arrived relatively late. Second, it lacked a menu of specific indicators for use across the child projects depending on the different contexts. Third, it lacked financial support for the assessments. Based on interviews with key stakeholders it became clear that international support from the RAPTA team is needed for RAPTA implementation, and would cost about $30 thousand per application.

129. RAPTA requires international support from the RAPTA team, costing about $30 thousand per application. Considering RAPTA too broad and complex, FAO deployed in its two child projects its own resilience assessment tool, the Self-evaluation and Holistic Assessment of Climate Resilience of Farmers and Pastoralists (SHARP). Other forms of resilience analysis were carried out during design in other countries, and most projects address in one way or the other natural resource and ecosystem services protection for resilience, or interventions arrived at to enhance household and ecosystem resilience.

CONCLUSIONS AND RECOMMENDATIONS

Conclusions

127. **Integrated programming to tackle the main drivers of environmental degradation through the IAPs enables addressing the objectives of multiple conventions, while allowing participating countries to address national environmental priorities.** All child projects of the IAPs responded to the multilateral environmental agreements and convention decisions referenced in GEF-6 programming directions. The initiatives were mainly in support of biodiversity, land degradation, sustainable forest management and climate change adaptation. Although the IAPs could respond across the focal areas, each Convention has different demands and mandates which meant for some mediation and sidelining of some objectives and missed opportunities for stronger integration of focal areas. The degree to which programs aligned with national environmental priorities helped to increase program ownership at the country level, through adequate entry points. GEF ensured that the IAPs were relevant to the participating countries while meeting the requirements of the Conventions.

128. **The IAPs have pursued an innovative and flexible design to address the drivers of environmental degradation, but show a wide variety of indicators and tracking tools, hindering aggregation within each IAP as well as for the three IAPs altogether.** The introduction of specific knowledge platforms and networks for cross-learning among child projects is a new approach for the GEF and one of the main features being piloted in the three IAP programs. National/global platforms and partnerships are certainly useful initiatives, but are very demanding in terms of keeping active the interest of a wide range of participants from different countries. Mid-term reviews would help assess the benefits of these platforms and determine whether they can provide the support and momentum needed to influence activities and perceptions. Additionality of programs over projects through better alignment of result indicators between child projects and programs is still to be demonstrated. Alignment between project/program results frameworks and tracking tools in terms of outcomes and indicators does not show an even picture across the three IAP programs. Specifically, tracking tools, indicators and metrics for global environmental benefit target setting based on country context vary widely across child projects. With a focus on holistic programming and systems transformation, the GEF Secretariat will need to consider new methods for demonstrating progress to outcomes.

129. **The IAPs draw on comparative advantages of a variety of GEF Agencies and specialized think tanks, but the involvement of several agencies and institutions in each IAP has added to the programs organizational complexity.** The IAPs involve multiple actors and multiple scales working at local, landscape, national and regional levels. The variety and specialized knowledge of executing partners has brought richness in knowledge and expertise, but complex programs are more difficult to execute than simple ones. The time required to launch them properly should be factored into design and implementation.

130. **While in general a positive picture emergences from this review on the IAPs' design and launch process, both were affected by insufficient clarity in terms of rules of engagement between agencies, transparency of selection processes, clarity on the role of the Secretariat, and**

insufficient communications between some participating GEF Agencies and countries on technical design. The Secretariat provided strong and early leadership in the design and launch of these programs, which was necessary given the amount of coordination needed in a short time in an international institution based on partnership. However, the selection processes of countries, cities and agencies were not always clear. Periods of uncertainty and poor communication between GEF and countries and executing agencies led to design and start up challenges. Participants perceived that the Secretariat led critical decisions on which countries/cities to include in the program, rather than decisions based on a set of universal and agreed criteria for the selection of countries/cities to be involved in each country.

Recommendations

131. **Assess the value addition of the knowledge platforms in a mid-term review to ensure they generate the necessary traction and provide overall support to program implementation.** For many interviewed stakeholders, the most important innovative feature in the IAPs is the hub project-supported knowledge platforms. The platforms are viewed as a forum for learning about innovations, exchange ideas and to showcase child projects. The knowledge platforms will require a strong commitment and support by all participating entities to provide the services and benefits they have been designed for. Their contribution towards overall program objectives should be assessed, to ensure they generate the envisioned additionality and support to program implementation.

132. **Standardize the indicators, tracking tools and metrics across the IAPs to demonstrate program additionality through M&E.** Indicators, tracking tools and metrics should be made uniform to enable aggregation within each IAP and for the three IAPs altogether. This should be done to clearly demonstrate the additionality brought by these pilot initiatives.

133. **Assess the role of global environmental benefit (GEB) targets, clarifying whether they are meant as aspirational goals, or as hard targets, and they will be measured at the program level.** A mid-term review of the IAPs should take place to assess issues of additionality, effectiveness and efficiency at the mid-term stage of the IAP programs. Given a lack of clarity as to whether GEB targets are aspirational or hard targets, the review should clarify the role of GEB targets, and explain how the GEF aims to assess GEB goals at the program level.

ANNEX 1: PROJECT OVERVIEWS

Table 19: Cities IAP project specifics

GEF ID	GEF Agency	Country	Focal area	Focal Area Objectives / Programs	Project title	Status	PA level	Project type
9077	World Bank - ADB, AfDB, DBSA, IDB, UNDP, UNEP, UNIDO	Global	MFA	Cities IAP; CCM-1 Program 1; CCM-2 Program 3; BD-1 Program 1; BD-4 Program 9; CW-1 Program 2;	Cities-IAP: Sustainable Cities Integrated Approach Pilot (IAP-PROGRAM)	Council approved / PFD clearance	Parent	FSP
9123	World Bank / UNIDO	Senegal	MFA	Cities IAP; CCM-2 Program 3; CW-1 Program 3;	Cities-IAP: Sustainable Cities Management Initiative	CEO endorsed	Child	FSP
9127	UNDP	Paraguay	MFA	Cities IAP; CCM-1 Program 1; CCM-2 Program 3; BD-1 Program 1; BD-4 Program 9; CW-1 Program 2;	Asunción Green City of the Americas – Pathways to Sustainability	CEO endorsed	Child	FSP
9130	AfDB / UNIDO	Cote d'Ivoire	MFA	Cities IAP; CCM-1 Program 1; CCM-2 Program 3;	Cities-IAP: Abidjan Integrated Sustainable Urban Development	IA approved	Child	FSP
9142	UNEP	Brazil	MFA	Cities IAP; CCM-2 Program 3; BD-4 Program 9;	Cities-IAP: Promoting Sustainable Cities in Brazil through Integrated Urban Planning and Innovative Technologies Investment	CEO endorsed	Child	FSP
9145	UNEP / DBSA	South Africa	CC	Cities IAP; CCM-2 Program 3;	Cities-IAP: Building a Resilient and Resource Efficient Johannesburg: Increased Access to Urban Services and Improved Quality of Life	CEO endorsed	Child	FSP
9147	UNIDO	Malaysia	MFA	Cities IAP; CCM-1 Program 1;	Sustainable-city development in Malaysia	IA approved	Child	FSP
9162	World Bank	Global	MFA	Cities IAP;	Sustainable Cities IAP - Global Platform for Sustainable Cities	CEO endorsed	Child	FSP
9223	World Bank	China	MFA	Cities IAP; CCM-2 Program 3;	Sustainable Cities IAP – China Child Project	CEO endorsed	Child	FSP
9323	UNIDO	India	MFA	Cities IAP; CCM-2 Program 3;	Sustainable cities, integrated approach pilot in India	IA approved	Child	FSP
9484	ADB	Vietnam	MFA	Cities IAP; CCM-2 Program 3; BD-4 Program 9;	Cities-IAP: Sustainable Cities Integrated Approach Pilot (IAP-PROGRAM)	CEO endorsed	Child	FSP
9649	IDB	Mexico	MFA	Cities IAP; CCM-1 Program 1;	Enhancing Mexico´s Environmental Sustainability in Regional Hubs	P.M. recommended	Child	FSP
9666	World Bank	Global	CC	CCM-2 Program 3	Urban Networking to Complement and Extend the Reach of the Sustainable Cities IAP	CEO approved	Stand-alone	MSP
9698	IDB	Peru	MFA	Cities IAP; CCM-2 Program 3; BD-4 Program 9;	National Platform for Sustainable Cities and Climate Change	P.M. recommended	Child	FSP

Table 20: Cities IAP project financials

GEF ID	GEF Agency	Country	Project title	Status	GEF amount ($)	IAP component ($)	Cofinancing ($)	Total project cost ($)	Agency fees ($)
9077	World Bank - ADB, AfDB, DBSA, IDB, UNDP, UNEP, UNIDO	Global	Cities-IAP: Sustainable Cities Integrated Approach Pilot (IAP-PROGRAM)	Council approved / PFD clearance	137,822,072	53,880,680	1,478,647,433	1,616,469,505	12,403,984
9123	World Bank / UNIDO	Senegal	Cities-IAP: Sustainable Cities Management Initiative	CEO endorsed	8,715,597	6,880,734	51,780,000	60,495,597	784,403
9127	UNDP	Paraguay	Asunción Green City of the Americas – Pathways to Sustainability	CEO endorsed	7,493,120	1,809,862	240,340,000	247,833,120	674,381
9130	AfDB / UNIDO	Cote d'Ivoire	Cities-IAP: Abidjan Integrated Sustainable Urban Development	IA approved	5,254,587	2,752,293	33,101,367	38,355,954	472,913
9142	UNEP	Brazil	Cities-IAP: Promoting Sustainable Cities in Brazil through Integrated Urban Planning and Innovative Technologies Investment	CEO endorsed	22,635,780	4,587,156	195,650,658	218,286,438	2,037,220
9145	UNEP / DBSA	South Africa	Cities-IAP: Building a Resilient and Resource Efficient Johannesburg: Increased Access to Urban Services and Improved Quality of Life	CEO endorsed	8,093,171	3,596,965	124,439,330	132,532,501	728,385
9147	UNIDO	Malaysia	Sustainable-city development in Malaysia	IA approved	2,752,293	917,431	20,230,000	22,982,293	247,707
9162	World Bank	Global	Sustainable Cities IAP - Global Platform for Sustainable Cities	CEO endorsed	9,024,312	9,024,312	5,400,000	14,424,312	812,188
9223	World Bank	China	Sustainable Cities IAP – China Child Project	CEO endorsed	32,727,523	9,174,312	1,084,000,000	1,116,727,523	2,945,477
9323	UNIDO	India	Sustainable cities, integrated approach pilot in India	IA approved	12,110,092	3,139,653	113,953,705	126,063,797	1,089,908
9484	ADB	Vietnam	Cities-IAP: Sustainable Cities Integrated Approach Pilot (IAP-PROGRAM)	CEO endorsed	8,256,881	3,669,725	148,472,900	156,729,781	743,119
9649	IDB	Mexico	Enhancing Mexico´s Environmental Sustainability in Regional Hubs	P.M. recommended	13,761,468	4,587,156	98,300,000	112,061,468	1,238,532
9666	World Bank	Global	Urban Networking to Complement and Extend the Reach of the Sustainable Cities IAP	CEO approved	2,000,000	0	2,000,000	4,000,000	190,000
9698	IDB	Peru	National Platform for Sustainable Cities and Climate Change	P.M. recommended	6,422,019	3,211,009	300,979,496	307,401,515	577,981

Table 21: Commodities IAP project specifics

GEF ID	GEF Agency	Country	Focal area	Focal area objectives/programs	Project title	Status	PA level	Project type
9072	UNDP - World Bank, WWF-US, CI, IDB, UNEP	Global	MFA	BD-4 program 9; CC-2 program 4; SFM-1 program 1	Comm-IAP: Taking Deforestation Out of Commodity Supply Chains (IAP-PROGRAM)	Council approved	Parent	FSP
9179	UNDP	Global	MFA	BD-4 program 9; CC-2 program 4; SFM-1 program 1	Adaptive Management and Learning for the Commodities IAP	IA approved	Child	FSP
9180	UNDP	Global	MFA	BD-4 program 9; CC-2 program 4; SFM-1 program 1, 2, 3	Support to Reduced Deforestation Commodity Production	CEO endorsed	Child	FSP
9182	WWF	Global	MFA	BD-4; CC-2 program 4; SFM-1 program 1, 2	Generating Responsible Demand for Reduced-Deforestation Commodities	IA approved	Child	FSP
9617	UNDP	Brazil	MFA	BD-4 program 9; CC-2 program 4; SFM-1 program 1, 2, 3	Brazil: Taking Deforestation out of Soy Supply Chain	CEO endorsed	Child	FSP
9696	World Bank/IFC	Global	MFA	CC-2 program 4	Enabling Transactions - Market Shift to Deforestation Free Beef, Palm Oil and Soy	CEO endorsed	Child	FSP

Table 22: Commodities IAP project financials

GEF ID	GEF Agency	Country	Project title	Status	GEF amount ($)	IAP component ($)	Cofinancing ($)	Total project cost ($)	Agency fees ($)
9072	UNDP - World Bank, WWF-US, CI, IDB, UNEP	Global	Comm-IAP: Taking Deforestation Out of Commodity Supply Chains (IAP-PROGRAM)	Council approved	40,332,518	40,332,518	443,200,000	483,532,518	3,629,926
9179	UNDP	Global	Adaptive Management and Learning for the Commodities IAP	IA approved	3,978,441	3,978,441	5,266,887	9,245,328	358,060
9180	UNDP	Global	Support to Reduced Deforestation Commodity Production	CEO endorsed	14,584,403	14,584,403	164,700,268	179,284,671	1,312,596
9182	WWF	Global	Generating Responsible Demand for Reduced-Deforestation Commodities	IA approved	8,748,060	8,748,060	42,334,902	51,082,962	787,325
9617	UNDP	Brazil	Brazil: Taking Deforestation out of Soy Supply Chain	CEO endorsed	6,600,000	6,600,000	28,204,678	34,804,678	594,000
9696	World Bank/IFC	Global	Enabling Transactions - Market Shift to Deforestation Free Beef, Palm Oil and Soy	CEO endorsed	6,405,101	6,405,101	22,958,419	29,363,520	576,459

Table 23: Food Security IAP project specifics

GEF ID	GEF Agency	Country	Focal area	Focal area objectives/programs	Project title	Status	PA level	Project type
9070	IFAD - UNEP, FAO, UNDP, World Bank, CI, UNIDO	Regional	MFA	BD-3 program 7; BD-4 program 9; CC-2 program 4; LD-1 program 1, 2; LD-3 program 4; LD-4 program 5;	Food-IAP: Fostering Sustainability and Resilience for Food Security in Sub-Saharan Africa - An Integrated Approach (IAP-PROGRAM)	Council approved	Parent	FSP
9132	IFAD	Tanzania	MFA	BD-4 program 9; CC-2 program 4; LD-1 program 1; LD-3 program 4; LD-4 program 5;	Reversing Land Degradation trends and increasing Food Security in degraded ecosystems of Semi-arid areas of central Tanzania	Submission pending	Child	FSP
9133	IFAD	Swaziland	MFA	BD-4 program 9; CC-2 program 3; LD-1 program 1, 2; LD-3 program 4; LD-4 program 5;	Climate-Smart Agriculture for Climate-Resilient Livelihoods	CEO endorsed	Child	FSP
9134	IFAD / UNIDO	Senegal	MFA	CC-2 program 4; LD-1 program 1, 2; LD-3 program 4; LD-4 program 5;	Agricultural Value Chains Support Project	IA approved	Child	FSP
9135	UNDP	Ethiopia	MFA	BD-3 program 7; LD-3 program 4;	Integrated Landscape Management to Enhance Food Security and Ecosystem Resilience	CEO endorsed	Child	FSP
9136	IFAD	Niger	MFA	LD-1 program 1; LD-3 program 4; LD-4 program 5;	Smallholder agricultural development programme	IA approved	Child	FSP
9137	UNDP/ FAO	Uganda	MFA	BD-4 program 9; LD-1 program 1; LD-3 program 4; LD-4 program 5;	Fostering Sustainability and Resilience for Food Security in Karamoja sub region	CEO endorsed	Child	FSP
9138	IFAD	Malawi	MFA	BD-3 program 7; BD-4 program 9; CC-2 program 4; LD-1 program 1; LD-3 program 4; LD-4 program 5;	Enhancing the Resilience of Agro-Ecological Systems (ERASP)	CEO endorsed	Child	FSP
9139	IFAD	Kenya	MFA	BD-4 program 9; CC-2 program 4; LD-1 program 1, 2; LD-4 program 5;	Establishment of the Upper Tana Nairobi Water Fund	IA approved	Child	FSP
9140	IFAD	Regional	MFA	BD-4 program 9; CC-2 program 4; LD-4 program 5;	Cross-Cutting/Regional ''Hub" Project	CEO endorsed	Child	FSP
9141	IFAD	Burkina Faso	MFA	LD-1 program 1, 2; LD-3 program 4; LD-4 program 5;	Fostering Participatory Natural Resource Management Project	IA approved	Child	FSP
9143	UNDP	Nigeria	MFA	LD-1 program 1, 2; LD-3 program 4; LD-4 program 5;	Fostering Sustainability and Resilience for Food Security in Nigeria	Submission pending	Child	FSP
9178	FAO	Burundi	MFA	BD-4 program 9; LD-1 program 1, 2; LD-3 program 4; LD-4 program 5;	Support for sustainable food production and enhancement of Food security and Climate Resilience in Burundi's Highlands	CEO endorsed	Child	FSP
9340	World Bank	Ghana	MFA	BD-1 program 1; BD-4 program 9; CC-2 program 4; LD-1 program 2; LD-3 program 4	Sustainable Landscape Management Project in Northern Ghana	IA approved	Child	FSP

Table 24: Food Security IAP project financials

GEF ID	GEF Agency	Country	Project title	Status	GEF amount ($)	IAP component ($)	Cofinancing ($)	Total project cost ($)	Agency fees ($)
9070	IFAD - UNEP, FAO, UNDP, World Bank, CI, UNIDO	Regional	Food-IAP: Fostering Sustainability and Resilience for Food Security in Sub-Saharan Africa - An Integrated Approach (IAP-PROGRAM)	Council approved	160,359,290	160,359,290	805,361,640	965,720,930	9,572,336
9132	IFAD	Tanzania	Reversing Land Degradation trends and increasing Food Security in degraded ecosystems of Semi-arid areas of central Tanzania	Submission pending	7,155,963	3,577,982	52,961,800	60,117,763	644,037
9133	IFAD	Swaziland	Climate-Smart Agriculture for Climate-Resilient Livelihoods	CEO endorsed	7,211,009	3,605,505	48,000,000	55,211,009	648,991
9134	IFAD / UNIDO	Senegal	Agricultural Value Chains Support Project	IA approved	7,219,450	3,669,724	28,544,133	35,763,583	649,752
9135	UNDP	Ethiopia	Integrated Landscape Management to Enhance Food Security and Ecosystem Resilience	CEO endorsed	10,239,450	3,669,725	144,965,431	155,204,881	921,551
9136	IFAD	Niger	Smallholder agricultural development programme	IA approved	7,636,422	3,669,724	60,320,000	67,956,422	687,277
9137	UNDP/ FAO	Uganda	Fostering Sustainability and Resilience for Food Security in Karamoja sub region	CEO endorsed	7,139,450	3,569,726	58,000,000	65,139,450	642,550
9138	IFAD	Malawi	Enhancing the Resilience of Agro-Ecological Systems (ERASP)	CEO endorsed	7,155,963	3,577,982	87,397,000	94,552,963	644,037
9139	IFAD	Kenya	Establishment of the Upper Tana Nairobi Water Fund	IA approved	7,201,834	3,600,917	61,050,330	68,252,164	648,166
9140	IFAD	Regional	Cross-Cutting/Regional ''Hub" Project	CEO endorsed	10,825,688	10,825,688	85,057,850	95,883,538	974,312
9141	IFAD	Burkina Faso	Fostering Participatory Natural Resource Management Project	IA approved	7,269,448	3,669,724	35,900,000	43,169,448	654,250
9143	UNDP	Nigeria	Fostering Sustainability and Resilience for Food Security in Nigeria	Submission pending	7,139,450	3,669,725	57,000,000	64,139,450	642,550
9178	FAO	Burundi	Support for sustainable food production and enhancement of Food security and Climate Resilience in Burundi's Highlands	CEO endorsed	7,396,330	3,573,725	45,050,728	52,447,058	665,670
9340	World Bank	Ghana	Sustainable Landscape Management Project in Northern Ghana	IA approved	12,768,832	3,669,725	22,000,000	34,768,832	1,149,195

ANNEX 2: RESULTS FRAMEWORKS

Table 25: Cities IAP program results framework

Program component	Program outcomes	Measured by
Program Objective: To promote among participating cities an approach to urban sustainability that is guided by evidence-based, multi-dimensional, and broadly inclusive planning processes that balance economic, social, and environmental resource considerations.		
1. Enhancing integrated sustainable urban planning and management	1.1 Increased scope and depth of integrated urban sustainability management policies and processes, including institutionalization within the local governance structure.	Number of pilot project cities exhibiting increased scope and depth of integrated urban sustainability planning management policies and processes
		Number of pilot project cities which have formally integrated comprehensive, multidimensional urban sustainability planning management policies into local governmental processes
	1.2 National polices and strategies create more favorable conditions for local action to address global and local environmental concerns	Number of pilot project cities with increased institutionalization of integrated urban sustainability management policies and processes
2. Monitoring local and globally relevant performance frameworks for improved performance	2.1 Core performance framework for local and global environmental benefits implemented at the local level	Number of pilot project cities that have adopted core performance framework for local and global environmental benefits implemented at the local level
	2.2 Improved local and global environmental sustainability	GHG emissions mitigated in tons of CO_2e
3. Catalyzing investments in sustainable cities	3.1 Increase in investment flows to sustainable cities initiatives from national governments, subnational governments, development partners, and the private sector	Increase from national governments (USD)
		Increase from sub-national governments (USD)
		Increase from the private sector (USD)
		Total funding leveraged for all IAP cities from all funding sources (USD)
	3.2 Increase in the number of innovative financing mechanisms and approaches	Number of innovative financing mechanisms and approaches adopted
	3.3 Enhanced ability at the local level to leverage long-term financing for sustainability initiatives	Number of pilot project cites with enhanced capacity for financial management
4. Enhancing partnerships for sustainable cities at local, national, and global levels (through knowledge management, capacity building, global coordination)	4.1 Contribution of IAP to global discourse on sustainable urban management enhanced (including within the context of multilateral environmental conventions)	Number of institutions and city-based networks engaged with IAP at the global level as partners
		Increased number of references to IAP in workshops, events, and publications generated by third parties
		Number of presentations by IAP city representatives at regional or global sustainable city conferences

Table 26: Commodities IAP program results framework

Program component	Program outcomes	Measured by
Program Objective: Reduce the global impacts of agriculture commodities expansion on GHG emissions and biodiversity by meeting the growing demand of palm oil, soy and beef through supply that do not lead to deforestation.		
1. Support to Production Project (GEF ID 9180): Enabled supply and production in the right ways and in the right areas and locations while conserving the forest and reducing deforestation in the targeted landscapes	1.1 Improved policy, regulations, coordination and enforcement capacity of national and local governments in 4 producing countries.	-
	1.2 Increased supply of commodities produced in landscapes targeted for reduced deforestation and replicated across supply chains	-
2. Generating Responsible Demand Project (GEF ID 9182): Strengthen the enabling environment and public and private sector demand, for reduced-deforestation commodities in priority markets	2.1 Buyers and traders in domestic and global markets increasing purchases of reduced-deforestation commodities	-
	2.2 Improved Policy Frameworks at national and local levels to drive demand for reduced-deforestation commodities in 3 major markets	-
3. Enable Transactions Project (GEF ID 9696): Design and pilot financial and risk management instruments that extend financing to reduced-deforestation commodity production and reduce financing for unsustainable practices	3.1 Commercial transactions totaling a minimum of USD100 million dollars of new investment per year	-
	3.2 Increased financing benefiting smallholders investing in reduced-deforestation practices	-
	3.3 Reduced finance for commodity production leading to deforestation	-
4. Adaptive Management and Learning Project (GEF ID 9179): Strengthen global capacity and integrated nature of the program to effectively leverage demand, transactions and support to production to implement the program in a synergic way for greater impacts and replication	4.1 Integrated reports, information and programing lead to timely decision-making and integrated action that deliver reduced-deforestation commodities	-

Table 27: Food Security IAP program results framework

Program component	Program outcomes	Measured by
Program Objective: Support countries in target geographies for integrating priorities to safeguard and maintain ecosystem services into investments improving smallholder agriculture and food value chains (Target 12 countries; 10 million ha of production landscapes; 2-3 million beneficiary households)		
1. Institutional frameworks for influencing sustainability and resilience	1.1 Multi-stakeholder and multiscale frameworks in support of policy and institutional reform to facilitate the upscaling of integrated natural resources management in place (LD-4, Program 5; BD-4, Program 9)	Functioning national level multi-stakeholder frameworks in place in at least 10 countries; at least 5 at local/landscape scale for integrated management in the targeted geographies; at least 3 regional for adaptive management and learning
		South-south exchanges to multiple scales (local to regional)
		Gender and youth sensitive decision-support tools and participatory processes applied (# and type)
	1.2 Supportive policies and incentives in place to support smallholder agriculture and diverse and inclusive food value-chains (LD-4, Program 5; BD-4, Program 9)	Value chains integrate sustainable production systems approaches, including consideration of post-harvest losses (# and type)
		Supportive policies and incentives for integrated approaches at national level (# and types)
		Strengthened involvement of CSOs, farmer cooperatives and private sector in pro-poor and pro-environment value chains to help smallholder farmers to scale up good practices in INRM (# and type)
2. Scaling up integrated approaches for sustainability and resilience	2.1 Increased land area and agroecosystems under integrated natural resources management and SLM, including sustainable soil and water management, diversified production systems, and integrated crop-livestock systems (LD-1Program 1, Program 2; LD-3, Program 4; BD-3, Program 7; CCM-2, Program 4)	3 million of ha under sustainable land and water management
		3 million ha under diversified production
		4 million of ha of agro-pastoral systems under integrated management
		15-25% increase in number of crops varieties and animal breeds in the production system
		GHG emissions avoided and carbon sequestered (10-20 million tons CO_2e)
	2.2 Increase in investment flows to integrated natural resources management from national governments, development partners, the private sector, and innovative funding mechanisms and approaches (LD-3, Program 4; BD-4, Program 9)	X million increase from governments; Y million in increase from development partners
		X million in increase from the local private sector; Y number of innovative funding mechanisms/ schemes in place (e.g. PES, PPPs)
3. Monitoring and assessment of ecosystem services, global environmental benefits and resilience	3.1 Capacity and institutions in place to monitor ecosystem services and resilience to enable more informed decision-making on agriculture and food security at multiple scales (LD-4, Program 5; CCM-2, Program 4; BD-3, Program 7)	Multi-scale monitoring of ecosystem services and global environmental benefits established in all participating countries (# and types at local, national and regional levels)
		Institutional and technical capacity strengthened for multiscale monitoring and assessment of ecosystem services and global environmental benefits (#, types)
		Integrated, open access data and information systems in place for enhancement of information accessibility (#, types)
	3.2 Framework in place for multiscale assessment, monitoring and integration of resilience in production landscapes (LD-4, Program 5; CCM-2, Program 4; BD-3, Program 7)	Framework for monitoring of resilience established for each target geography
		Institutional and technical capacity in place to incorporate appropriate tools and practices for monitoring resilience at multiple scales in all participating countries

ANNEX 3: GLOBAL ENVIRONMENTAL BENEFITS TARGETS

Table 28: Cities IAP global environmental benefits targets

Corporate results	Replenishment targets	Cities IAP program targets according to PFD	Sum of child projects' targets according to project endorsement requests / tracking tools
GEB 1. Maintain globally significant biodiversity and the ecosystem goods and services that it provides to society	Improved management of landscapes and seascapes covering 300 million hectares.	0 hectares	128,695 hectares
GEB 2. Sustainable land management in production systems (agriculture, rangelands, and forest landscapes)	120 million hectares under sustainable land management.	0 hectares	80 hectares
GEB 3. Promotion of collective management of transboundary water systems and implementation of the full range of policy, legal, and institutional reforms and investments contributing to sustainable use and maintenance of ecosystem services.	Water-food-ecosystems security and conjunctive management of surface and groundwater in at least 10 freshwater basins.	0 number of freshwater basins	0 number of freshwater basins
	20% of globally over-exploited fisheries (by volume) moved to more sustainable levels.	0 percent of fisheries, by volume	0 percent of fisheries, by volume
GEB 4. Support to transformational shifts towards a low-emission and resilient development path.	750 million tons of CO_2e mitigated (include both direct and indirect)	100,118,756 tCO_2e	<u>According to project endorsement requests:</u> Min. 649,763,289 tCO_2e Max. 659,322,289 tCO_2e <u>According to project tracking tools:</u> Min. 644,471,657 tCO_2e Max. 679,408,346 tCO_2e
GEB 5. Increase in phase-out, disposal and reduction of releases of POPs, ODS, mercury and other chemicals of global concern.	Disposal of 80,000 tons of POPs (PCB, obsolete pesticides).	0 metric tons	13.7 gTeq
	Reduction of 1000 tons of Mercury.	0 metric tons	
	Phase-out of 303.44 tons of ODP (HCFC).	0 metric tons	
GEB 6. Enhance capacity of countries to implement MEAs (multilateral environmental agreements) and mainstream into national and sub-national policy, planning financial and legal frameworks.	Development and sectoral planning frameworks integrate measurable targets drawn from the MEAs in at least 10 countries.	0 countries	0 countries
	Functional environmental information systems are established to support decision-making in at least 10 countries.	0 countries	0 countries

Table 29: Commodities IAP global environmental benefits targets

Corporate results	Replenishment targets	Commodities IAP program targets according to PFD	Sum of child projects' targets according to project endorsement requests / tracking tools
GEB 1. Maintain globally significant biodiversity and the ecosystem goods and services that it provides to society	Improved management of landscapes and seascapes covering 300 million hectares.	0 hectares	13,950,000 hectares
GEB 2. Sustainable land management in production systems (agriculture, rangelands, and forest landscapes)	120 million hectares under sustainable land management.	0 hectares	745,433 hectares
GEB 3. Promotion of collective management of transboundary water systems and implementation of the full range of policy, legal, and institutional reforms and investments contributing to sustainable use and maintenance of ecosystem services.	Water-food-ecosystems security and conjunctive management of surface and groundwater in at least 10 freshwater basins.	0 number of freshwater basins	0 number of freshwater basins
	20% of globally over-exploited fisheries (by volume) moved to more sustainable levels.	0 percent of fisheries, by volume	0 percent of fisheries, by volume
GEB 4. Support to transformational shifts towards a low-emission and resilient development path.	750 million tons of CO_2e mitigated (include both direct and indirect)	0 tCO_2e	<u>According to project endorsement requests:</u> Min. 67,404,049 tCO_2e Max. 72,404,049 tCO_2e <u>According to project tracking tools:</u> Min. 67,441,557 tCO_2e Max. 72,441,557 tCO_2e
GEB 5. Increase in phase-out, disposal and reduction of releases of POPs, ODS, mercury and other chemicals of global concern.	Disposal of 80,000 tons of POPs (PCB, obsolete pesticides).	0 metric tons	0 gTeq
	Reduction of 1000 tons of Mercury.	0 metric tons	
	Phase-out of 303.44 tons of ODP (HCFC).	0 metric tons	
GEB 6. Enhance capacity of countries to implement MEAs (multilateral environmental agreements) and mainstream into national and sub-national policy, planning financial and legal frameworks.	Development and sectoral planning frameworks integrate measurable targets drawn from the MEAs in at least 10 countries.	0 countries	0 countries
	Functional environmental information systems are established to support decision-making in at least 10 countries.	0 countries	0 countries

Table 30: Food Security IAP global environmental benefits targets

Corporate results	Replenishment targets	Food Security IAP program targets according to PFD	Sum of child projects' targets according to project endorsement requests / tracking tools
GEB 1. Maintain globally significant biodiversity and the ecosystem goods and services that it provides to society	Improved management of landscapes and seascapes covering 300 million hectares.	5,000,000 hectares	1,177,516 hectares
GEB 2. Sustainable land management in production systems (agriculture, rangelands, and forest landscapes)	120 million hectares under sustainable land management.	5,000,000 hectares	2,185,302 hectares
GEB 3. Promotion of collective management of transboundary water systems and implementation of the full range of policy, legal, and institutional reforms and investments contributing to sustainable use and maintenance of ecosystem services.	Water-food-ecosystems security and conjunctive management of surface and groundwater in at least 10 freshwater basins.	0 number of freshwater basins	0 number of freshwater basins
	20% of globally over-exploited fisheries (by volume) moved to more sustainable levels.	0 percent of fisheries, by volume	0 percent of fisheries, by volume
GEB 4. Support to transformational shifts towards a low-emission and resilient development path.	750 million tons of CO_2e mitigated (include both direct and indirect)	MIN. 10,000,000 tCO_2e MAX. 20,000,000 tCO_2e	<u>According to project endorsement requests:</u> Min. 52,010,578 tCO_2e Max. 59,702,076 tCO_2e <u>According to project tracking tools:</u> Min. 51,465,792 tCO_2e Max. 76,640,792 tCO_2e
GEB 5. Increase in phase-out, disposal and reduction of releases of POPs, ODS, mercury and other chemicals of global concern.	Disposal of 80,000 tons of POPs (PCB, obsolete pesticides).	0 metric tons	0 gTeq
	Reduction of 1000 tons of Mercury.	0 metric tons	
	Phase-out of 303.44 tons of ODP (HCFC).	0 metric tons	
GEB 6. Enhance capacity of countries to implement MEAs (multilateral environmental agreements) and mainstream into national and sub-national policy, planning financial and legal frameworks.	Development and sectoral planning frameworks integrate measurable targets drawn from the MEAs in at least 10 countries.	0 countries	0 countries
	Functional environmental information systems are established to support decision-making in at least 10 countries.	0 countries	0 countries

ANNEX 4: CITIES IAP PROGRAM FINDINGS

A4.1 Integrative nature of the Cities IAP

Alignment of priorities across scales

1. The GEF-6 Programming Directions argued the case for the Cities IAP *inter alia* on the basis that "Cities control policies and vital systems related to global environmental conditions, such as system-level management of infrastructure development, natural resource management, and setting environmental standards. Most cities have direct control over the transit system, roads, markets, waste management, water supply, wastewater treatment, building codes, and others. City leaders play an essential role in the multiple levels of governance of urban management, necessitating their direct engagement. They can be quicker in decision-making to respond to pressure and requests from the local constituency."[61]

2. Universally, the Requests for CEO Endorsement of Cities IAP child projects describe efforts at the country level to enhance cooperation across ministries, agencies and other stakeholders.[62] All child projects apply a shared governance mechanism through a coordinating body composed of GEF Agency/ies, national ministries and governmental departments, and municipal or city government units. In some instances – Brazil, China, Cote D'Ivoire, India and Senegal (GEF IDs 9142, 9223, 9130, 9323 and 9123) – the role of the executing agency is shared among more than one key stakeholder. GEF Agencies are always part of the project governance structure and, apart from South Africa (GEF ID 9145), the same is true of national ministries. With few exceptions – Malaysia, Peru and Senegal (GEF IDs 9147, 9698 and 9123) city and municipal governments are also assigned a role in the project governance structure. Private sector, CSOs and non-governmental organizations (NGOs) are included as stakeholders, but are not included in project management bodies. They are universally considered for consultation, sometimes considered as beneficiaries and sometimes given a role as "observers" or "technical advisors".

3. To varying degrees all requests for CEO endorsement, and in the case of China the 'CEO endorsement stage draft project paper',[63] address common priorities in strategies and programs at multiple scales. This is evident in the discussion of alignment of child projects with relevant existing programs – both GEF and non-GEF. Some of these programs are national in scope and some municipal; some are donor-led and others government-led.

4. However, results of a survey conducted as part of this formative review do not support the direct local control and decision-making assumption. The survey asked respondents to indicate at what level of government the responsibility for various government functions rests.[64]

[61] *GEF-6 Programming Directions, op. cit.*, p. 180.
[62] In the case of China, the discussion is not found in the most recent request for CEO endorsement, but in the project concept note and the CEO endorsement stage project paper of July 2015 and December 2016 respectively.
[63] World Bank, CEO Endorsement Stage Draft Project Paper on a Proposed Grant in the Amount of $32.73 Million to the Peoples Republic of China for the GEF China Sustainable Cities Integrated Approach Pilot Project, December 2016.
[64] Government functions analyzed were (i) planning and design, (ii) implementation and (iii) maintenance towards urban land use, water delivery, waste water, solid waste, roads and waterways, mass transit / public transport, green spaces and parks, and industrial land development / industrial parks.

Many of the respondents identify multiple levels of responsibility for city infrastructure planning and design, implementation and maintenance. The data revealed that, when moving from planning and design to implementation to maintenance, the identified level of responsibility becomes slightly more localized. See Table 31.

Table 31: Responsibility for government functions by level of jurisdiction

Level of jurisdiction	Planning and design	Implementation	Maintenance
National / provincial / state	51.7%	45.3%	39.6%
District / metropolitan	29.0%	32.1%	32.2%
City and sub-city level	19.3%	22.6%	28.2%
Total	100.0%	100.0%	100.0%

5. Most responses indicate that 'land use', 'solid waste' and 'green spaces and parks' are identified as a city and municipal responsibility. Most responses identify 'water delivery' as a provincial/state responsibility. Wastewater, 'roads and waterways', 'mass transit' and 'industrial land development' are identified as multi-jurisdictional with a stronger locus of control with national governments. The survey was a relatively small population of 65 targeted government officials, resulting in a sample of 26 completed surveys. Sixty-one percent of respondents identified themselves as working at the national level. Nevertheless, it does suggest that the assumption of local and direct control and agility may be over-simplified and does not accurately portray actual urban decision-making conditions.

6. In the related discussion of risks, the program framework document (PFD) recognizes that "the child projects will face traditional institutional challenges" including "inadequate decentralization policies".[65] Analysis of the survey and key informant interview data, combined with the fact that the child projects are supervised through national ministries or agencies suggests that this risk requires careful attention. As noted in the GEF-6 Programming Directions document, the advantage of cities is considered to be the local control of infrastructure and the associated agility of local government, yet the evidence suggests neither of these assumptions can be taken for granted. The Cities IAP Program's focus is in the realm of planning and design, where the survey indicates that in over 80 percent of survey responses, control resides with national or provincial/state governments. The risk of 'inadequate decentralization' noted in the PFD is real.

7. Perceptions among Cities IAP stakeholders on the issue of coherence and integration in the Cities IAP compared to standard project approaches and previous programmatic approaches are varied, depending on their level of seniority and on prior involvement with single focal area GEF projects. Those who have prior experience designing and managing GEF single focal area

[65] *PFD document of Cities-IAP, op. cit.*, p. 22.

projects, and those who are more senior, were most clearly recognizing the integrative potential of the Cities IAP.

Alignment and synergies with GEBs and MEAs

8. The GEF-6 Programming Directions document argues the importance of the Cities IAP bringing attention to the supra-national linkages. The document cites evidence and decisions from global conventions including UNFCCC, CBD and UNCCD recognizing the importance of cities in achieving Convention goals.

9. The PFD anticipates that the Cities IAP will "create a strong network of cities that will act as global ambassadors for urban sustainability planning" and will result in "tangible benefits at both the local and global levels."[66] The PFD's theory of change discussion includes a passage on the Cities IAP's 'contribution to global discourse' with particular mention of alignment with the newly emerging sustainable development goals (SDGs), the COP21 Paris Agreement, the Compact of Mayors, and the ICLEI Cities Biodiversity initiative.

Additionality

10. Regarding the Cities IAP, the draft GEF-6 Programming Directions Part II states that "The unifying thread of this Signature Program is that the urban context serves as a nexus of highly interconnected issues that are normally addressed under distinct focal areas of the GEF." [67] The document warns that without such an integrated cities program there is the danger "projects targeting a single sector may be considered easier to design and therefore prioritized."[68] The final GEF-6 Programming Directions document does not include this 'unifying thread' passage.[69]

11. Since the first Rio conference in 1992, that formulated the criteria for Local Agenda 21 actions,[70] the urban sustainability agenda has grown and diversified. Urban environmental management in developing countries focused initially on water supply and sanitation, solid waste management, and industrial pollution, defined as the original 'brown agenda.' Mitigation of GHG emissions and urban adaptation to the impacts of climate change were eventually incorporated into what the World Bank defined in 2004 as the 'revised brown agenda.'[71] Urban green growth has recently been promoted as the paradigm for decoupling economic development from local and global environmental externalities.[72] The multiple aspects of the urban sustainability agenda have been recently included in the sustainable development goals, more specifically SDG 11 'sustainable cities and communities.'[73] The Habitat III October 2016 Quito conference generated the so-called 'new urban agenda,' which presents as one of its

[66] *Ibid.*, p. 7.
[67] *Draft GEF-6 Programming Directions – Part II, op. cit.*
[68] Ibid.
[69] *GEF-6 Programming Directions, op. cit.*
[70] UNCED, Rio Conference 1992, Agenda 21 Chapter 7: Promoting sustainable human settlement development, June 1992.
[71] World Bank, Urban environment and infrastructure: Towards livable cities, 2004.
[72] OECD, Green Growth in Cities, May 2013.
[73] ECOSOC, Report of the Secretary-General, Progress towards the Sustainable Development Goals, June 2016. Document number E/2016/75.

three interlinked principles the following one: Ensure [urban] environmental sustainability by promoting clean energy and sustainable use of land and resources in urban development, by protecting ecosystems and biodiversity, including adopting healthy lifestyles in harmony with nature, by promoting sustainable consumption and production patterns, by building urban resilience, by reducing disaster risks and by mitigating and adapting to climate change.[74] The Cities IAP positions itself in a crowded space of urban sustainability focused interventions, but rather than competing it attempts to provide a comprehensive and inclusive approach and to link up with as many relevant initiatives as possible.

12. With respect to innovation the GEF-6 Programming Directions notes that "cities are incubators of innovation and present unique opportunities to generate and disseminate technological, social, and cultural ideas"[75] and that "GEF, as a pioneer of innovation through grant financing, is well suited to support the testing and demonstration of models of integrated urban management, with a strong potential for impact per dollar invested."[76] Key stakeholders interviewed concurred with this potential for the Cities IAP. An interviewee from the GEF made the point that the innovation is "to work with, not in, cities." And an important innovation for the GEF is the one of working directly with sub-national governments for the implementation of Cities IAP child projects in participating cities. While the national GEF focal point remains anchored in a national ministry, often the Ministry of Environment, the urban focus of the Cities IAP has shifted the policy dialogue towards the Ministries of Urban Development, metropolitan and urban authorities to define contents, outputs and outcomes of the GEF grants. More cautionary, an interviewee from the World Bank felt strongly that while the potential exists for innovation the "program underestimates the complexity of the city level." Another key stakeholder echoed the concern over the risk of 'inadequate decentralization', stating the issue "that money flows through the central government before it reaches the cities, which slows momentum."

A4.2 Analysis of partners and the wider constituency

Comparative advantages, roles and coordination

13. The pro-active role that GEF played in program formulation prior to PFD approval continued during the child project preparation phase, with significant support provided by the Secretariat from June 2015, when the program was approved, to December 2016, by when GEF Agencies submitted requests for CEO endorsement on behalf of all countries. During this period, GEF Agencies submitted for and obtained their project preparation grants; prepared the child projects in consultation with national and local stakeholders; submitted draft project documents to GEF Secretariat; received written comments; re-submitted accordingly (and sometimes repeatedly); and by now almost all received CEO approval, and three are operational.

[74] UN General Assembly, New Urban Agenda, December 2016. General Assembly Resolution 71/256.
[75] *GEF-6 Programming Directions, op. cit.*, p. 173.
[76] *Ibid.,* p. 175.

14. GEF Agencies have had different experiences in interacting with the GEF Secretariat during the design and launch of the Cities IAP. Some complaints had to do with the tardiness in the issuance of requests for project proposals to GEF Agencies, and for the fact that the criteria for country participation and city selection remained undefined. The choice for the World Bank as the main implementing agency left some of the other GEF Agencies frustrated, claiming that the Cities IAP became a conduit for the World Bank to promote more loans in participating countries and that the size of the grant allocation to the China child project, to be implemented by the World Bank, is due to its overall role in the program.

GEF Secretariat

15. GEF has specialized technical capacity and a relative comparative advantage in addressing urban sustainability issues. This is demonstrated by the breadth and depth of GEF support over the decades to multiple projects aimed at integrating global benefits in the sectors and focal areas currently addressed by the Cities IAP. Over time, GEF has financed 250 multifocal area (MFA) projects and programs, whose importance and size have progressively increased since GEF-1, for a total of $1.4 billion.[77] Over fifty percent of the MFA projects have combined biodiversity protection with land degradation prevention, and nearly a third also included climate change benefits. This portfolio constitutes an important body of experience prior to the GEF-6 programming, when the three IAP programs were launched.

16. GEF also has prior experience in working multi institutionally and multi scale (local, national, regional), through its programmatic approaches.[78] Such investments by GEF have existed since the start, but were formalized by Council in 2008 which approved the concept of the PFD. In 2010, Council stipulated two alternative modalities for the implementation of programmatic approaches: either implemented by a single qualified GEF Agency, or with one lead agency responsible for the program, with child projects being implemented by multiple GEF Agencies. The evaluation found that "child projects, implemented as part of programs, performed better than stand-alone projects on all dimensions" evaluated. However, "complexity as measured by multi-country, multifocal, multi-agency dimensions and project heterogeneity, is negatively correlated with outcomes." Complex programs underperformed relative to simpler programs or standalone projects on five dimensions; outcomes, M&E implementation, execution quality, effectiveness and efficiency. Complex programs did outperform these comparators on implementation, sustainability and M&E design.[79]

World Bank as the Cities IAP Program's lead agency

17. The selection of the lead agency was a complex process involving multiple conversations and negotiations between GEF Secretariat and the management of the World Bank's urban sector. GEF's interest in assigning such a role to the World Bank was initially met with some hesitation from their side due to the uncertainty related to the scope of the mandate, as well as to GEF's pro-active parallel consultations with other Agencies, selection of participating

[77] IEO, Evaluation of the Multiple Benefits of GEF Support through Its Multifocal Area Portfolio, IEO Brief, March 2017.
[78] IEO, Evaluation of the Programmatic Approaches in the GEF, May 2017. Council Document GEF/ME/C.52/Inf.01/Rev.01.
[79] Ibid., p. v.

countries and cities for the child projects. GEF management and Secretariat effectively conducted this dual-track process of negotiating with the potential lead agency while in parallel identifying and negotiating with participating countries, cities and other GEF Agencies. By so doing, GEF remained very much in charge of program formulation.

18. There was some competition for the lead role coming from the other multilateral development banks (MDBs), which argued that they were just as qualified as the World Bank, or that GEF was likely selecting the World Bank due to its proximity and fiduciary role over GEF's operations. Participating agencies mostly concur that the selection of the World Bank as main implementing agency was conducted in a non-transparent manner. Some GEF Agency representatives wondered if the World Bank's motives in taking on the lead role were related to creating additional opportunities for further loans to cities.

19. The definition of the mandate of the World Bank as lead agency for the Cities IAP, its accountability towards the GEF, and its authority - if any - over the other GEF Agencies in the collective pursuit of the accomplishment of the Cities IAP Program goals and expected outcomes, were never clearly defined, and remain so at the onset of the implementation phase. The current 'partnership arrangement' is primarily based on the GEF and the World Bank investing their credibility and reputation in the success of the Cities IAP, rather than on set rules defining the responsibility of each institution. It is clear to World Bank staff in charge of the GPSC - the Cities IAP coordination mechanism - that it has no mandate to force GEF Agencies to comply with its requests or to take part in the activities it promotes.

20. Irrespective of the process described above, the World Bank has a definite comparative advantage as GEF's lead agency in the Cities IAP Program, given its overall profile, standing, and engagement both in urban development and in the pursuit of sustainable development and climate action. In its over sixty years of international work, the World Bank has consistently combined its policy advice to Governments with the availability of financial support and the supervision of in the implementation of development operations to ensure best possible results. The World Bank has built up a sizable portfolio, as well as policy work, in urban resilience, adaptation and urban GHG mitigation.[80] Furthermore, the World Bank has maintained a high standard of knowledge generation and dissemination, and partners with other multilateral and bilateral agencies worldwide.[81] Finally, the World Bank has been a GEF Agency since GEF's creation, and has a long-standing practice of combining its own financial resources, in the form of International Development Association (IDA) credits[82] and International Bank for Reconstruction and Development loans allocated in favor of national and local development goals, with GEF grant money issued for the pursuit of global environmental benefits.

Multilateral development banks

[80] For example; World Bank, *Investing in Urban Resilience: Protecting and Promoting Development in a Changing World*, 2016.
[81] World Bank, Urbanization as Opportunity, May 2014. Policy Research Working Paper 6874.
[82] The International Development Association (IDA) is the part of the World Bank that helps the world's poorest countries by lending money on concessional terms; IDA credits have a zero or very low interest charge and repayments are stretched over 25 to 40 years, including a 5- to 10-year grace period.

21. Seven of the eleven Cities IAP country child projects are being implemented by four MDBs and one national development bank; the Inter-American Development Bank (IDB in Mexico and Peru, GEF IDs 9649 and 9698); the African Development Bank (AfDB in Cote d'Ivoire, GEF ID 9130); the Asian Development Bank (ADB in Vietnam, GEF ID 9484); the World Bank (China and Senegal, GEF IDs 9223 and 9123) and the Development Bank of Southern Africa (DBSA in South Africa, GEF ID 9145). In two of the projects the development banks partner with UN agencies. The ADB and the IDB have very strong track records and comparative advantages in working on urban sustainability in their respective regions. Like the World Bank, but at a regional scale, they have developed experience and expertise at working in all related sectors, as well as providing policy guidance, knowledge and networking opportunities to national governments and the subnational governments of the cities involved in their programs.

UN agencies

22. Three UN agencies are implementing five country child projects under the Cities IAP; The United Nations Industrial Development Organization (UNIDO) is the GEF Agency leading and supporting the efforts in India and Malaysia (GEF IDs 9323 and 9147) and partners with the World Bank for the Senegal child project and with the African Development Bank in Cote d'Ivoire. The United Nations Environment Programme (UNEP) is responsible for the implementation of the GEF grants to Brazil and South Africa (GEF IDs 9142 and 9145), the latter with the collaboration of the DBSA; and the United Nations Development Programme (UNDP) is the lead agency responsible for project implementation in Paraguay (GEF ID 9127). The comparative advantages of these agencies for the implementation of the Cities IAP child projects are summarized below.

23. UNIDO provides focused expertise on the industrial sector and clean industrial production, also addressing persistent organic pollutant abatement and the need to phase out the production and consumption of ozone-depleting substances. In the specific field of sustainable cities, UNIDO focuses its work on: (i) climate resilient industries hosted by cities, (ii) climate smart city service delivery, and (iii) value chain development for sustainable cities.[83] UNEP has a history of prior engagement in urban sustainability in the past decades, starting with the sustainable cities programme (SCP),[84] which it promoted jointly with UN-HABITAT as of 1990. Under UNEP's resource efficiency window the organization also runs a multi-stakeholder program called the Global Initiative for Resource Efficient Cities (GI-REC)**.** UNDP as well has a history of engagement in urban development, which likely peaked in the 1990s with the urban management programme (UMP), a joint undertaking of UNDP, UN-HABITAT and the World Bank.[85]. UNDP has developed a sustainable urbanization strategy,[86] which outlines how UNDP supports countries and cities, building upon its past and current work on urbanization. UNDP's urban work covers three action areas: Sustainable, Inclusive and Resilient Urban Development.

[83] UNIDO, Sustainable Cities - Hubs of Innovation, Jobs, Industrialization, and Climate Action, 2016, p. 5.
[84] UNEP, The Sustainable Cities Programme – Sustainable Cities and Local Governance, November 2000.
[85] UNDP, Guiding Cities: The UNDP/UNCHS/World Bank Urban Management Programme, June 2001.
[86] UNDP, Sustainable Urbanization Strategy - UNDP's support to sustainable, inclusive and resilient cities in the developing world, October 2016.

24. There are three clear comparative advantages emerging from the Cities IAP partnership:

(a) its ambition to work with sub-national governments to connect cities to the wider global sustainable development goals,

(b) the development of the GPSC to leverage the collective experience and knowledge of global sustainable and resilient cities networks, and

(c) the partnership's ability to bring international financial institutions to the table and align money with sustainable city projects.

25. Note that STAP, which had provided substantive comments on the PFD, and especially on the proposed program coordination arrangements and its possible alternatives, was not requested by GEF Secretariat to review the child projects. This is surprising, given the importance of STAP's original policy paper on sustainable urbanization towards the development of the Cities IAP concept,[87] their report on knowledge management with IAP specific recommendations,[88] and the emphasis placed by Council members on STAP participation in child project development.[89]

Collaborative partnerships

Multi-agency implementation arrangements and initial program set-up

26. In the Cote d'Ivoire and Senegal child projects (GEF IDs 9130 and 9123), UNIDO paired up with the World Bank and AfDB respectively, to provide specific project contributions in its areas of expertise. In the South Africa child project, UNEP co-leads with the DBSA. Some interviewees felt that these joint grant implementation arrangements have been more the doing of the GEF Secretariat than of the agencies themselves seeking to collaborate, and may cause some difficulties in grant implementation and reporting, given the very different nature of the partners. On the other hand, interviewed World Bank representatives working on these projects indicated to be positively surprised by the level of expertise of their partner.

27. Two Cities IAP networking events, held in October 2015 in Paris and in March 2016 in Singapore, created opportunities for the consolidation of collaborative ties among participating cities, and to discuss the role that the GPSC would play in the coordination of the program. However, given that CEO approval of the various child projects, GPSC included, did not take place until end 2016, these efforts were not supported by the program's budgetary allocations and rather depended on key stakeholders' ability to mobilize the required financial resources. Some of the project preparation grants also contributed to financing the participation of national and city representatives.

28. The MDBs involved with the Cities IAP went through lengthy internal processes to identify, prepare and then obtain their management's or Board's approvals of the GEF grants,

[87] STAP, Sustainable Urbanization Policy Brief: Proliferation of Urban Centres, their Impact on the World's Environment and the Potential Role of the GEF, June 2014.
[88] STAP, Knowledge Management in the GEF: STAP Interim Report, May 2015. Council Document GEF/STAP/C.48/Inf.03/Rev.01.
[89] GEF, Highlights of the 48th GEF Council's Discussions, August 2015.

which are in all cases to be implemented in conjunction with their operational loans. This was highlighted by some as a significant burden in terms of transaction costs for the MDBs, especially those that can easily access alternative grant resources for similar areas of work. For example, ADB's internally established trust funds do not require board approval for allocations. This procedural constraint might be less significant for the UN agencies involved.

Country implementation arrangements

29. The selection of implementation agencies for their respective country child projects considered, *inter alia*, their level of presence in the country, engagement with national counterparts, familiarity with the given country's institutional system and urban challenges, and prior knowledge of the cities potentially participating in the program. The presence of GEF focal points, mostly located in the national Ministries of Environment, entailed the collaboration between those institutions and line ministries in charge of urban development and infrastructure. The focus on cities and their active participation often translated into grant implementation arrangements that directly involve city government stakeholders from a variety of departments, given the integrative nature of the GEF supported interventions, which cut across multiple sectors.

30. In reviewing implementation arrangements, however, the evaluation team identified some differences between the ones made for the six child projects led or co-led by MDBs and those for the five child projects led by the UN agencies. In the case of the MDBs, the identification and preparation of large-scale investment operations in the selected cities were already on-going, jointly with the related analytical work, policy dialogue, and development of implementation arrangements and related procurement plans. The availability of GEF grants complementing the loan proceeds has been built into such arrangements, and benefits from the high level of interest and mobilization of national and local authorities around the loan operations and expected outputs and outcomes. Given the overall oversight by the MDBs, GEF grant disbursements will mostly occur via 'project management units' established for the implementation of the loans, and benefit from all related fiduciary arrangements.

31. The MDBs perceive the GEF grants as opportunities to pilot more integrated and innovative approaches to sustainable urban development, urban transport and other infrastructure operations they are financing through their ordinary loans. Governments are often reluctant to borrow for project components which do not fit their perception of national investment priorities, and that is often the case for those that have global, instead of local, benefits. The 'blending' of grant resources with loan proceeds reduces the financial interest rate of the investment and can represent an attractive feature for the borrowing government.

32. In the case of the country child projects led by the UN agencies, the GEF grants are mostly paired with national and local government resources, which will follow normal and separate public sector disbursement procedures. Implementation arrangements prepared in consultation with local counterparts are therefore specific to the GEF grant, and often entail disbursement via municipal bodies, whose efficiency or fiduciary oversight could be sub-optimal,

or via dedicated non-profit organizations which will act as sub-contractors to the UN agencies, while ensuring that the latter are compensated for project management.

33. This may account for the differing attitudes of the MDBs and of the UN agencies regarding the Cities IAP Program; the MDBs perceive their engagement as worthwhile, but express some frustration around the high transaction costs, GEF's interference in the definition of the project components, and in some cases the mandatory inclusion of UN agencies in the projects. UN agencies on the other hand express a high level of satisfaction with being part of the program, with GEF Secretariat's efforts at promoting their work, and with the opportunity of providing services in returns for fees.

A4.3 Efficiency of the design and launch process

The country selection process

34. The country selection process occurred via several informal, parallel consultations between GEF Secretariat, MDBs, UN agencies, and national governments during the early project design phase following the May 2014 GEF General Assembly approval of the Cities IAP Program's inclusion in the GEF-6 Programming Directions. There is general agreement that GEF Secretariat led critical decisions on which countries/cities to include in the program, often resulting from GEF higher management traveling and holding key meetings with decision-makers. The Cities IAP Program's PFD reflects the decisions taken during that phase, states the list of participating countries and cities, and presents the set of child projects selection criteria defined by the GEF Secretariat:[90]

(a) Commitment to a network-based approach and to engage in the global platform and knowledge sharing platform

(b) Impact and replication potential within country and globally

(c) Readiness, with experience in planning and analysis, and with "shovel-ready" proposals

(d) Geographical distribution and status of urbanization

(e) Local and national level commitment to integrated urban management and policy.

35. It should be noted that these criteria were only formalized once the selection of child projects had already taken place. The evaluation team has found no evidence of the use of a set of universal and agreed criteria for the selection of *cities* – including the type and number of cities – to be involved in each country. A background paper for the August 2014 consultative meeting proposed a universal set of ten criteria for the selection of pilot cities and urban areas, but the evaluation team found no evidence indicating that these criteria have been used in actual city selection.[91] City selection was presented in the PFD as the result of choices made by

[90] PFD document of Cities-IAP, op. cit., p. 25.

[91] GEF, Background Document - Global Environment Facility Sustainable Cities Integrated Approach Pilot (IAP): A common platform to help build sustainable cities, for the Sustainable Cities IAP Consultative Meeting, August 2014.

relevant national stakeholders, as part of the design process of the individual child projects.[92] Interviews with key country stakeholders provided evidence that in-country city selection, while not being based on a universal and agreed set of criteria, was often based on a careful consideration of levels of commitment, impact, potential and readiness. Based on the information available the evaluation team finds that, in retrospect, all participating cities are appropriate towards the Cities IAP.

36. Some interviewees were of the opinion that a universal set of criteria was not defensible, given the diversity in cities and their contexts. Others felt that the actual criteria on which, and the process by which countries and cities were selected should have been more transparent. Interviewees wondered on what basis some country candidates had been chosen or dropped. Others commented that 11 child projects and 28 cities may be too many to handle all at once for a program that is experimenting with a new way of doing business.

37. Of the eleven countries taking part in the Cities IAP, seven are upper middle-income (Brazil, China, South Africa, Malaysia, Peru, Paraguay, and Mexico); three are lower middle-income (India, Cote d'Ivoire and Vietnam); and one is low-income (Senegal), per World Bank classification. Brazil, India, China and South Africa are four of the five BRICS.[93] Cote d'Ivoire, Senegal and Vietnam benefit from IDA credits, and to some extent so does India.

38. Out of the total twenty-eight cities involved, seven are capital cities (Abidjan, Asuncion, Beijing, Brasília, Dakar, Johannesburg and Lima). Five child projects (Cote d'Ivoire, Malaysia, Paraguay, Peru, and South Africa) focus on a single city, one child project (Brazil) focuses on two cities, three child projects (Mexico, Senegal, and Vietnam) focus on three cities, one child project (India) focuses on five cities, and finally the China child projects focuses on seven cities.

39. Two regions, Middle East and North Africa (MENA) and Europe and Central Asia (ECA) are not covered by the Cities IAP. The evaluation team was not able to assess why the Cities IAP did not include any country/ies in these two regions, but it certainly represents a choice of consequence, given the urban sustainability issues cities in those regions are facing and in terms of the future expansion of urban sustainability work that the GEF wants to promote.

Program-to-projects coherence

40. A reversed approach of child project concepts being identified first and the PFD being developed as overarching framework was possible given that the essential features of the Cities IAP had already been defined through the GEF-6 Programming Directions, the STAP policy paper on sustainable urbanization, and the background paper prepared for the August 2014 consultations. The program results framework provides outcomes and indicators for the four program components:

(a) Enhancing integrated sustainable urban planning and management

[92] PFD document of Cities-IAP, op. cit., p. 25.

[93] BRICS is the acronym for five emerging economies: Brazil, Russia, India, China and South Africa, distinguished by their sizable, sometimes fast-growing, economies and significant influence on regional affairs; all five are G-20 members.

(b) Monitoring local and globally relevant performance frameworks for improved performance

(c) Catalyzing investments in sustainable cities

(d) Enhancing partnerships for sustainable cities at local, national, and global levels (through knowledge management, capacity building, global coordination).

41. The quality-at-entry review of the country child projects confirms the overall coherence of their stated outcomes, components and project activities with the guidance provided by the PFD - with multiple variations on how the urban sustainability theme is framed in participating cities. In addition to support for institutional urban management, capacity building and city networking present in all child projects, activities financed by the grants include the following: urban planning, urban resilience, water resource management, solar energy vehicles, ecosystem services, transit oriented development, air quality management, bus rapid transit, non-motorized transportation, POP abatement, waste-to-energy, renewable energy, energy efficiency, ICT, bio-digesters, photovoltaic systems in public buildings, improved sanitation systems, biodiversity conservation, solid waste management, migratory birds protection, coastal adaptation and coastal zone management, environmental management, planning of industrial areas, hazardous waste, eco-districts, social housing, food security, urban agriculture, low-carbon urban development, and public street lighting systems.

Cofinancing

42. Most of the child projects implemented by the MDBs have a strong focus on a single sector, with 'transit oriented development' and 'sustainable urban transport' being the recurring theme for half of them (China, Cote d'Ivoire and Peru, GEF IDs 9223, 9130 and 9698). The same theme is also at the core of the Paraguay project, which relies on an IDB urban transport loan although it is implemented by UNDP which presents the IDB loan as government financing. The Mexico child project (GEF ID 9649) is implemented by the IDB, which however does not contribute any direct funding, as its emerging and sustainable cities initiative (ESC) had previously supported the three participating cities. In all projects cofinanced by an MDB loan, the disbursement of the loan proceeds will likely be driving implementation of the grant activities as well. The GEF grant is understood to be a complementary resource that will allow experimentation, piloting, integration of new approaches, training and knowledge management related to urban sustainability, that would not otherwise be financed by the MDB loans.

43. Child projects implemented by UN agencies have a much wider set of components and pursue a greater number of global environmental benefits. They rely more on in-kind government contributions and on public sector investments for the implementation of their activities. These, however, are more subject to potential delays and budgetary reallocations – according to the relevant agencies – than MDB loans and therefore represent less secure sources of funding. There is evidence of private sector commitment as part of project cofinancing in three UN agency-implemented child projects (Cote d'Ivoire, India and Senegal,

GEF IDs 9130, 9323 and 9123 respectively), for an aggregate amount of $23 million, or 1 percent of total cofinancing. Private sector participation is intended for cleaner industrial production processes. UNIDO is the GEF Agency implementing these projects, on its own in India and in partnership with the African Development Bank (in Cote d'Ivoire) and the World Bank (in Senegal).

RBM and M&E design

44. The variety of themes and activities – discussed under 'Program-to-projects coherence' – is a testimonial to how broad the urban sustainability agenda can be. While each child project is pursuing a certain set of local sustainability goals, and will be held separately accountable to their achievement, the Cities IAP should be able to present aggregate and measurable results under the three targeted focal areas, (i) climate change mitigation, (ii) biodiversity conservation, and (iii) chemicals and waste, and related GEB targets. The tracking tool requires each GEF Agency to report key baseline data on:

(a) *Urban context:* including population, economy, governance, geographic location and climate, access to water, sanitation, solid waste management, power, transportation

(b) *Climate change mitigation:* requesting the assessment of eight key quantitative outcome indicators that the child projects intends to achieve in the participating cities

(c) *Chemicals and waste:* focusing on persistent organic pollution elimination or reduction, via nine possible measures to be supported by the child projects

(d) *Biodiversity:* managing the human-biodiversity interface: landscape/seascape coverage, management practices applied, policy and regulatory frameworks.

45. The PFD stated that all participating countries and cities would report on a common set of indicators as part of an overarching integrated platform,[94] to be fleshed out during the project preparation phase.[95] The review of the child projects' requests of CEO endorsement shows that all report GHG abatement quantitative targets and additional target contributions to global environmental benefits if applicable (See annex 3).

46. The child projects' requests for CEO endorsement also include the project results frameworks (PRF), which reflect the child projects' components and activities, and should provide quantitative indicators (aligned with what is presented in the respective tracking tool) jointly with baseline data, end-of-project targets, sources of verification and assumptions/risks. However, the coherence of project results frameworks across the portfolio is limited; only three country child projects (Cote d'Ivoire, India and Malaysia; GEF IDs 9130, 9323 and 9147 respectively) make explicit reference to and use of the PFD's indicators; the Mexico and Peru child projects' PRFs (GEF IDs 9649 and 9698) do not present assumptions and risk; the Vietnam child project (GEF ID 9484) has no assumptions; the Cote d'Ivoire child project (GEF ID 9130)

[94] *GEF-6 Programming Directions, op. cit.,* p. 185.
[95] *PFD document of Cities-IAP, op. cit.,* p. 14.

does include risk mitigation measures; and the China and Senegal child projects (GEF IDs 9223 and 9123) don't include PRFs at all. Provisions have been made within each project to support reporting requirements to the GEF.

47. The PRF for the Global Platform for Sustainable Cities (GPSC, GEF ID 9162), the hub project, reflects its three outcomes of:

(a) Increased scope and depth in knowledge and capacity for measuring urban sustainability and integrated planning

(b) Increased knowledge on building financial capacity for urban sustainability

(c) Enhanced connectivity and partnerships for sustainable cities at local, national and global levels.

48. The four outputs under outcome number one are the following:

(a) indicators for urban sustainability developed and used by cities or enhanced use of geospatial data and analysis

(b) on-line urban dashboard established, including geospatial data and city information for the participating cities

(c) latest technical knowledge, tools and methods on integrated urban planning are synthetized and made available to decision-makers, and

(d) participating cities' urban sustainability status is assessed, and action plans are developed (subject to agreement and collaboration by the participating cities).

49. The important mandate of measuring the urban sustainability of participating cities is now inscribed in the GPSC's Work-program 2017-2018.[96] A draft urban sustainability framework (USF) has been prepared by the GPSC and circulated for internal comments. The World Bank points *inter alia* to the interest of participating cities in ways to benchmark their performance against the one of other cities, which is only possible against a set of commonly adopted indicators and certified baseline data entry.

50. However, when consulted by the evaluation team, most agencies, MDBs and UN agencies, express concern that the implementation of the Urban Sustainability Framework that is being proposed by the GPSC may become an additional burden on the agencies teams and their city counterparts. Some define it as a difficult retrofit, especially as each project already has its own set of objectives and indicators identified during project preparation. Now is the time when the agencies, having waited and finally obtained GEF approval, are eager to implement what has already been designed in the child projects, agreed to with the local counterparts, and financed. They are not eager to commit to additional mandates suggested by the GPSC, and don't have additional allocations available in their project budgets. They expect to

[96] World Bank, Global Platform for Sustainable Cities - Work-program 2017-2018, February 2017.

be supported by the GPSC in what they have to do, not to have to support the GPSC in what it has to do.

51. Some agencies also express the concern that the USF may be too complex of a tool for some of the participating cities that may not even have the raw data to contribute, or the ability to generate it. Others refer to the dashboard that has been developed under the ESC of the IDB, and to the World Council on City Data (WCCD), as existing sets of urban sustainability indicators, questioning the need for the GPSC to develop its own. Even if the existing indicator sets were to be adopted, though, the additional burden of data collection by the cities and executing agencies would remain an issue. Some agencies hold the view that the USF would be a useful piece of work for future use in a potential second phase of the Cities IAP Program, but not in the short-term phase.

A4.4 Mechanisms for broader adoption

52. The realization of the Cities IAP comparative advantages in large part hinges on the success of the 'hub-project,' the Global Platform for Sustainable Cities (GPSC, GEF ID 9162). Much work remains to be done to realize its potential. This includes creating a common framework across the Cities IAP child projects, the development of a baseline set of indicators and its role in capacity building.

53. The GPSC is designed to "provide expertise and knowledge support for the development and adoption of an evidence-based, integrated approach toward resilient, inclusive and sustainable cities. The work is organized around three key pillars: spatial data/indicators, integrated planning and financing."[97] The GPSC has proposed and is implementing various programs in pursuit of its mandate including the design of an urban dashboard, a yearly program meeting, a web portal and on-line platform, capacity building and training events, and the development of a common set of indicators. The GPSC is managed by the World Bank, operated out of Singapore, and draws upon an expanding circle of experienced sustainable cities networks, partners and institutions.[98] A resource team (RT) comprising WRI, C40 and ICLEI, was a late addition to the GPSC through a stand-alone medium-size project, titled "Urban networking to complement and extend the reach of the sustainable cities IAP" (GEF ID 9666). Its objective is "to strengthen the Global Platform for Sustainable Cities for more integrated and sustainable urban planning and development through city-to-city and network knowledge sharing," designed as an access point for cities to access expert assistance, to offer learning events, webinars and linkages to global events, and to document knowledge management.

54. Evidence of the fact that GEF has remained in charge of the program as much as the World Bank is also provided by the last-minute addition of a medium-sized project grant GEF Secretariat allocated this $2 million grant, funded over and above the earmarked Cities IAP

[97] 2017 GPSC Work Program 2017-2018, p. iv.

[98] The GPSC is extending its network of partnerships to UN-HABITAT, Cities Alliance, the Singapore Government, the Nordic Council's initiatives on sustainable cities, the Japanese city of Yokohama, and others that can provide best practices and mobilize further expertise.

budget, jointly to the World Resources Institute, ICLEI and C40, defined collectively as the RT. The contracts for the three RT members had not been processed by the end of June 2017.

International financial institutions' coordination for urban sustainability

55. The GEF Secretariat's emphasis on attracting more partners to take part in the GPSC coincides with the vision expressed by World Bank management, whereby the GPSC could become the collaborative hub of international financial institutions (IFIs) on the theme of sustainable urban development. The Quito Habitat 3 conference in 2016, followed by the release of SDG-11 on sustainable cities and communities, was a first opportunity for greater coordination among IFIs in this area. More consultations have taken place at the International Monetary Fund / World Bank 2017 spring meetings, and further steps could eventually lead to a coalition of IFIs that would rely on the activities of the GPSC to create the conduit to supporting urban sustainability worldwide.

56. The commitment of both key partners in the program, the GEF and the World Bank, to start planning on the continuation of the Cities IAP with a 2025 time-horizon is reassuring, and speaks to the increasingly recognized importance of cities in working towards local and global sustainability for the planet. The collaborative agreement between the two institutions will presumably lead to a joint definition of the second phase of the Cities IAP. Meanwhile, the short-term challenge is for the Cities IAP Program to successfully implement its current phase and achieve its intended outcomes across its entire portfolio of child projects.

Innovation through knowledge capturing and learning

57. There are significant expectations on the part of the GEF Agencies to get support from the GPSC. The international learning events organized by the GPSC in Paris and Singapore have seen the involvement of many representatives of the GEF Agencies and of participating cities, with stated satisfaction, and there are expectations for more engagement in terms of technical expertise, advisory services, learning events, and presentation of best practices.

Institutional capacity building and national networking in country child projects

58. Institutional capacity building activities to ensure that urban sustainability gets mainstreamed in the modus operandi of the participating cities and national authorities are explicitly mentioned in all the country child projects' documentation. There is also evidence in the child project documents of activities that will support the creation or reinforcement of multi-sector coordination and planning mechanisms at city level, to better integrate local and global sustainability considerations with urban planning and infrastructure development. In some projects (Côte d'Ivoire, India, Mexico, Paraguay; GEF IDs 9130, 9323, 9649 and 9127 respectively) there is also reference to working towards the greater collaboration of multiple local jurisdictions for better metropolitan environmental planning that would be required for future urban sustainability plans.

59. The Brazil, China, Senegal and Vietnam projects (GEF IDs 9142, 9223, 9123 and 9484) include components, expected outcomes and indicators related to the uptake of the urban

sustainability agenda by more cities than the ones directly participating in project implementation. In some cases, national networks or associations of cities are identified as the vehicles for further dissemination. Across the portfolio, the expectation is that innovations generated and tested as part of the Cities IAP would become examples of urban sustainability approaches to be replicated and scaled up more broadly. For this reason, the coupling of pilot investments with knowledge products and training opportunities is an attractive package that promises wider impacts at the national scales.

The role of the GPSC in knowledge capturing and learning

60. Many GPSC planned activities are designed to provide the connectivity between participating cities and related local and national institutions, including the urban dashboard, the yearly program meeting, the web portal and on-line platform, the capacity building and training events, and the common set of indicators. Many factors favor the GPSC providing access to global experience to the cities and institutions that are part of the Cities IAP: (i) its management by the World Bank, a global institution with multiple decades of urban sustainability engagement and a long list of staff who are on-call to provide expertise on relevant aspects of the urban sustainability agenda; (ii) its operation out of Singapore, whose Government and research institutions are highly respected for their commitment to livable cities and related technical assistance; and (iii) the expanding network of partners and institutions the GPSC can draw from.

61. The review of the GPSC documentation points to a real concern, which has also been voiced by representatives of the GEF Agencies involved, as to the expectation that country child projects contribute financial resources towards the implementation of joint activities promoted by the platform. The resources currently devoted by the country child projects to the institutional capacity building activities are already allocated as per child project budgets finalized and CEO approved. They do not include the costs for the participation of city representatives to the multiple international training and learning events organized by the GPSC, or to cofinance other local activities that may result from GPSC initiatives, such as data collection, development of local indicators, preparation of urban sustainability action plans, and more.

62. Despite the interest in the opportunities offered by the platform, GEF Agencies may find it difficult to take on the additional tasks and financial commitments resulting from GPSC activities, while having to focus on the implementation of the projects as designed and committed to, in the limited time-frame of grant implementation. Most prominent are the issues of financing international travel and subsistence costs for city representatives to attend the international training sessions and program meetings every year, and of additional data collection for establishing a more coherent baseline for participating cities around additional sustainability indicators. Without any authority over the country child projects, whose agencies report to the GEF Secretariat directly, the GPSC is not able to require participation in its activities by the country child projects stakeholders beyond their voluntary adhesion. Agencies on the other hand have expectations of receiving support from the platform that they see of service to

their projects, and to have a say on its budget and activities, but may be reluctant to adhere to its demands. This tension must be resolved for the satisfactory implementation of the program.

63. While urban sustainability encompasses a set of considerations that apply to cities worldwide, their specific priorities vary considerably with the level of national economic development. Child projects have been designed respecting such differences and local developmental and sustainability priorities. However, it will be important to keep such differences in mind in the development of common program activities to be provided by the GPSC. GEF Agencies in charge of the implementation of the projects in Cote d'Ivoire and Senegal have both flagged their concern that such activities may be mostly reflecting the institutional and technical capacity of upper middle-income countries, and that they risk being not adapted to the undoubtedly lower capacity of cities in Sub-Saharan Africa.

ANNEX 5: COMMODITIES IAP PROGRAM FINDINGS

A5.1 Integrative nature of the Commodities IAP

Alignment of priorities across scales

1. The pursuit of drivers of environmental degradation is one of the key strategic priorities as outlined under the GEF 2020 strategy. The Commodities IAP aligns well with this aim by focusing on one of the main drivers of environmental degradation, that is, agricultural production expansion. It is designed to take a systemic approach to overcome single focal area silos and single country, single commodity and single activity focus to shift reliance to an integrated supply chain approach covering multi-country, multi-stakeholder engagements and concerning multiple commodities. As such, it is focused on delivering integrated solutions through strategic partnerships with national and international actors and covering multiple focal areas.

2. The Commodities IAP Program contributes to GEF's focal areas of climate change, with a focus on mitigation (CCM), and biodiversity (BD), while recognizing that sustainable forest management (SFM) is a cross-cutting issue.[99] The program targets focal area strategies that are already integrated in nature**.** By addressing the BD strategy in production landscapes (BD-4, program 9), the program aims to sustain biodiversity in the production landscape which will simultaneously secure the ecological integrity and sustainability of protected area systems.[100] By targeting CCM-2 Program 4 (promote conservation and enhancement of carbon stocks in forest, and other land use, and support climate smart agriculture), the commodities IAP draws direct linkages with BD, land degradation (LD), and SFM, which integrates carbon consideration into agricultural sector and forest management. The SFM strategy is also targeted by the Commodities IAP, which advocates an integrated approach at the landscape level. SFM-1 (Maintained Forest Resources: reduce the pressures on high conservation value forests by addressing the drivers of deforestation) aims to develop synergy with the efforts on protected areas and the mainstreaming of biodiversity relevant management technologies in biodiversity focal area and the promotion of carbon stocks within the climate change focal area.[101]

3. Perceptions among Commodities IAP stakeholders on the issue of alignment and integration in the IAP compared to standard project approaches and previous programmatic approaches were consistent with most respondents stating that the supply chain approach would lead to greater synergies across actors and institutions involved with the projects at the sub-national and national level (private global companies, local companies, local governments, provincial governments, state governments and national ministries of agriculture, environment and forestry). Integration is also expected to occur across policy domains as relevant policies are expected to be enacted in agriculture, forestry and environmental sectors, to ensure that appropriate land is available for sustainable production. All requests for CEO endorsement of

[99] All child projects cover BD, CC and SFM, except for the enabling transaction project (GEF ID 9696), which only covers CC.
[100] *GEF-6 Programming Directions, op. cit.*, p. 33.
[101] *GEF-6 Programming Directions, op. cit.*, p. 159.

child projects described efforts at the country level to enhance cooperation across ministries, agencies and other stakeholders.

4. Review of project documents and interviews with key informants reveal that the Commodities IAP child projects have made efforts to align with specific national government priorities. The projects enable and enhance compliance with existing initiatives in Brazil, Indonesia and Paraguay, while providing an opportunity for Liberia, a relative newcomer in palm oil, to develop its sector sustainably while incorporating lessons from Indonesia. Most stakeholders (15 out of 17) indicated in the online survey that the Commodities IAP Program and child projects will help maintain or enhance the alignment with country priorities, compared to other GEF projects in which they have been involved in the past.

5. In interviews, stakeholders shared that the expectation is that the existing 'Brazilian Forest Code',[102] which has been applied to the Amazon biome can now be implemented more stringently in the Matopiba region (region of project activities and encompassing the States of Maranhão, Tocantins, Piauí and Bahia) as a consequence of this Commodities IAP. Similarly, the program documents suggest links with the Indonesian National Palm Oil Platform (INPOP) and are expected to enhance compliance with the Indonesian Sustainable Palm Oil (ISPO) mandatory certification system for all palm oil plantations in the country. While the UNDP Green Commodities Project (GEFID 4860) in Paraguay helped to bring deforestation issues to the fore in the Atlantico region of the country, the Commodities IAP will support Paraguay's national strategy to support the Chaco region develop a sustainable beef production as it is experiencing high environmental degradation due to rapid clearing of forest lands associated with beef production. Hence, the Chaco region is a priority for Paraguay's national conservation efforts, supported through the Commodities IAP Program.

6. There is also alignment between the Commodities IAP Program and the Tropical Forest Alliance 2020 (TFA-2020)'s Africa palm oil initiative. According to Liberia's Agenda for Transformation and the National Export Strategy 2014-2018, palm oil production is considered by the Government to be one of the most important industries for the future. Liberia desires to realize the economic potential of investment and expansion of palm oil sector holistically while maintaining forested areas with important climate and biodiversity values. Hence, Liberia has developed a set of national principles for the responsible development of the oil palm sector as well as an action plan to put these principles into practice. The Commodities project will address many of the actions listed in the action plan. For example, currently there is no nationally agreed definition of high carbon stocks in Liberia. The Commodities IAP Program will help address this and other policy gaps. The program design indicates initiating activities in the four regions for palm oil development of Grand Cape Mount, Bomi, Gbarpolu and Bong.

Alignment and synergies with GEBs and MEAs

[102] The Brazilian Forest Code is a law, originally passed in 1965, requiring landowners in the Amazon to maintain 35 to 80 percent of their property under native vegetation.

7. The Commodities IAP Program is expected to generate substantial global environmental benefits, including reduced deforestation from agricultural commodity production and associated carbon sequestration, biodiversity conservation and sustainable forest management.

8. Only two out of the five child projects have specified GEB targets, mainly the Production child project (GEF ID 9180) and the Brazil child project (GEF ID 9617). This is not unexpected as the remaining will have indirect effect on GEBs but not contribute directly as the projects pertain to knowledge management, managing demand and enabling financial transactions related to commodity purchase and trade. The sum of the GEBs targeted by child projects are in general consistent with the targets set for the program level. Program level CO_2e mitigation target has changed from 80 million tons when the PFD was cleared for work program inclusion in April 2015 to 117.5 million tons in the hub project's request for CEO endorsement document in December 2016, which include 80.2 million tons direct CO_2e mitigation and 37.3 million tons indirect CO_2e mitigation. In the most recent Commodities IAP progress report to the GEF Council in May 2017, the target has been modified to 100 million tons (direct and indirect CO_2e mitigation together). GEB targets, according to requests for CEO endorsement, are shared in annex 3.

9. The Commodities IAP Program's focal areas align well with the objectives of the three Rio Conventions. For CBD, the Commodities IAP will contribute to Aichi target 5 on reducing habitat loss and forest loss, and target 7 on agriculture, aquaculture and forestry. The program responds to the UNFCCC Decision 1/COP.16 on reducing emissions from deforestation and conservation of forest carbon stocks and UNCCD Decision 4/COP.8 on reinforcing SFM as a means of preventing soil erosion and flooding. The program will also meet the UN Forum on Forests global objective of reversing the loss of forest cover worldwide through SFM, including protection, restoration, afforestation, and reforestation, and increase efforts to prevent forest degradation.

10. Based on the online stakeholder survey results, 15 out of 17 respondents considered that the Commodities IAP Program and its child projects maintain or enhance their abilities to report to multiple UN Conventions. The objectives of the Demand CP (GEF ID 9182), to prevent GHG emissions, deforestation, and threats to biodiversity, do align with multiple conventions. Feedback from some of the convention head offices did not reveal particular knowledge on the link between the Commodities IAP Program's objectives and the convention's objectives.

Additionality

11. The GEF-6 Programming Directions document states that the integrated commodities approach marks a paradigm shift for the GEF's operational modalities by expanding a traditional national-government focused model to reflect on a wider range of actors involved in key commodities, including the private sector, that is involved in the majority of on the ground activities from forest conversion to financial services and encompassing smallholders to

multinational companies. [103] This broader approach expands GEF's sphere of influence to reach beyond governments.

12. By applying a supply chain lens to the overall design, the Commodities IAP Program expects to engage all major actors to harness best practices and sustainability principles for production, generating responsible demand and enabling financial transactions. Furthermore, the introduction of an adaptive management and learning project represents a distinct departure from previous program/project formulations with its emphasis on knowledge exchange, monitoring and learning throughout the duration of the projects.

13. At design, innovation can be seen in the multi-country, multi-stakeholder engagement and through the establishment of steering committees at the Global and National level and the inclusion of private sector advisory committees and working groups aimed at establishing platforms and involving financial institutions. The comprehensiveness of coverage spanning from national policy to global financial institutions renders the Commodities IAP Program unique. In particular, the program aims to reduce finance flows into commodity production driving deforestation while supporting a business case for sustainability alongside the development of blended and commercial financial products to support adoption of sustainable commodities. Innovation also lies in working with financial regulators to identify and promote financial system regulatory interventions that can contribute to reducing pressure on forests. While it is too early to comment on the outputs, the scope of the approach is unlike that of previous GEF programs.

14. The Program also aims to establish national and regional platforms for learning, cooperation and exchange among ministries, agencies and all other key stakeholders. For example, in Liberia the project will work through the existing palm oil technical working group. The project will also establish a landscape level forum to ensure broad level participation within specific landscapes.

15. Key stakeholders concurred that the Commodities IAP's supply chain approach was the main differentiating factor contributing to innovation and the engagement across Agencies that had ensued was an additional design process contributing to synergies across institutions. The same stakeholders, however, did question the risk introduced by working in such different geographies on similar themed topics, given the vast differences in context between countries.

16. Based on a comparison with four similar GEF projects, the Commodities IAP Program's uniqueness can be seen vis-à-vis:

(a) its expansion into different geographies, i.e. regions in countries not previously covered by similar GEF projects (Chaco in Paraguay, Matopiba in Brazil and parts of Kalimantan)

(b) the inclusion of climate change as a focal area in commodities projects, and

[103] *GEF-6 Programming Directions, op. cit.*, p. 188.

(c) the active private sector engagement at design and anticipated throughout implementation.

17. Because private sector companies are often involved in production and processing, they are a key consideration in the program, as are finance institutions. Improvement in the commodities sector often depends on working with the same groups of private sector and financial actors. Table 32 presents a comparison between the Commodities IAP and four previous projects in the targeted countries and in similar focal areas;

(a) The Paraguay project "Mainstreaming Biodiversity Conservation and Sustainable Land Management (SLM) into Production Practices in all Bioregions and Biomes" (GEF ID 4860)

(b) The Indonesia project, titled "Strengthening Forest Area Planning and Management in Kalimantan" (GEF ID 6965)

(c) The "Sustainable Cerrado Initiative" (GEF ID 2641) in Brazil, and

(d) The global project covering Indonesia, Ghana, Ivory Coast and Malaysia, titled "Biodiversity and Agricultural Commodities Program (BACP), Phase 1" (GEF ID 2618).

A5.2 Analysis of partners and the wider constituency

Comparative advantages, roles and coordination

18. The GEF has vast experience in developing sustainable agriculture, SFM, commodities, and restoration programs and a comparative advantage to tackling of drivers of environmental degradation in a synergistic way. The GEF's convening power has allowed the Commodities IAP Program to put in place collaborations and networks that envision it being able to play a catalytic role, particularly in leveraging private sector engagement while generating GEBs across different focal areas. GEF also has experience taking an integrated and systems approach to tackle a broad range of issues with multiple benefits in addition to a proven record in funding demonstration and pilot activities. GEF's engagement with financial intermediaries, enabling policy environments and institutional strengthening also lends it comparative advantage.

19. The choice of the five selected implementing agencies - UNDP, CI, WWF-US, World Bank/IFC, UNEP-FI - considered their experience in the subject matter, their country presence and their credibility with other stakeholders. As told to evaluators, the responsibility of the lead agency, UNDP, was established early on in the project and agreed to by the other agencies.

Table 32: Comparison between the Commodities IAP and past projects

	Commodities IAP	GEFID 4860 Mainstreaming Biodiversity Conservation and SLM into Production Practices	GEFID 6965 Strengthening Forest Area Planning and Management in Kalimantan	GEFID 2641 Sustainable Cerrado Initiative	GEFID 2618: Biodiversity and Agricultural Commodities Program (BACP)
Countries	Brazil, Liberia, Paraguay, Indonesia	Paraguay	Indonesia	Brazil	Indonesia Malaysia, Cote d'Ivoire, Ghana
Specific Regions	*In Indonesia:* Sintang in West Kalimantan; South Tapanuli in North Sumatra and Pelalawan in Riau *In Liberia*: Grant Cape Mount, Bomi, Gbarpolu and Bong *In Paraguay*: Boquerón and Agua Dulce *In Brazil*: Maranhão-Tocantins-Piauí-Bahia in MATOPIBA region	3 priority site in Parana, Amambay and Canindeyú in the Upper Parana Atlantic Forest (UPAF) ecoregion of Paraguay.	Sintang and Ketapang in West Kalimantan; Kotarwaringan Barat in Central Kalimantan; Mahulu district in East Kalimantan;	Cerrado states in Brazil, particularly Goias and Tocantins	(not applicable)
Focal Areas	Biodiversity, Sustainable Forest Management Climate Change	Biodiversity, Land degradation	Biodiversity, Land degradation	Biodiversity, Land degradation	Biodiversity
Commodities	Palm oil Beef Soy	Soy, Beef	Palm oil	Soy	Palm oil, cocoa, sugarcane, and soybeans
Duration	4 years	5 years	7 years	6 years	7 years
Activities	Production, Demand, AML/Knowledge Management, Financial Institutions	Production, Financial Institutions	Production, AML/Knowledge Management	Production	Production, Demand, Financial Institutions

20. UNDP has extensive experience with governments in all of Paraguay, Brazil, Indonesia and Liberia and was considered a reliable partner that has 'weathered' storms, for example having a presence even during the height of the conflict in Liberia. UNDP also has credibility having worked in a similar project preventing deforestation in Paraguay that, according to interviewees, has changed the mindset of the country in agriculture.[104] UNDP has also demonstrated experience in establishing national commodity platforms in two out of three target countries (Indonesia and Paraguay) and is bringing in CI, who has worked on palm oil extensively, as a major implementer.

21. WWF-US and CI as civil society organizations have been deeply enmeshed in the topic of conservation and agricultural commodities. CI has a long history of commodities work in Latin America and in working with the private sector and with palm oil in Liberia making it a qualified partner. CI also has extensive experience in Brazil and was requested by the government to be the main implementing agency based on their track record and ease of transaction working with one agency. WWF-US and CI, both, also have relevant experience working with private sector firms for market transformation and are credited with transformative work on improving standards, increasing supply chain transparency with local offices in Liberia, Brazil, Indonesia, and Paraguay. IFC, who is leading the Enabling Transactions Project (GEF ID 9696) has experience in transforming the emerging and developed market banking landscape through promotion of environmental and social standards and has successfully concluded another similar commodities program.[105] UNEP-FI, an executing partner, is a specialized arm of UNEP with extensive networks with financial institutions and has worked on deforestation issues with the REDD+ agenda and has a successful history of providing a platform to financial institutions on sustainability issues.

22. The IDB is listed in the PFD as an implementing partner but ultimately dropped out as it would have outsourced the work to the Nature Conservancy. FAO had also expressed interest based on farmer training and farmer support and expertise in forestry, however it did not move forward. While these agencies may also have been good potential partners, their absence does not seem to have detracted from the program.

23. In-country arrangements for project execution involve national ministries (or equivalent) of agriculture, forestry and environment as well as ministries associated with the operational and political focal points in the four countries.

Engagement of a broader constituency

24. Collaborative partnerships within the Commodities IAP Program are a conduit for driving sector wide transformation and provide a 'testing ground' for emerging models or concepts. This is the premise on which the design is based with the aim of creating a 'beacon effect' that can spur broader adoption of the integrated approach as well as incorporating scientific findings.

[104] GEF project "Mainstreaming Biodiversity Conservation and Sustainable Land Management into Production Practices in all Bioregions and Biomes" (GEF ID 4860).
[105] GEF project "Biodiversity and Agricultural Commodities Program" (GEF ID 2618).

25. A main collaborative partnership concerns the arrangements amongst the implementing/ executing agencies themselves. There are five main agencies (UNDP, CI, WWF-US, World Bank/IFC, UNEP-FI) working through a consortium and which have taken on different responsibilities either unilaterally or in collaboration with one another on different projects. It contributes to the design of comprehensive program that took into account the expertise of the different Agencies.

26. In reviewing implementation arrangements, the evaluation team identified some differences between the arrangements made for the child projects led or co-led by UNDP and one led by CI for the Brazil soy project (GEF ID 9617). Following Council approval of the PFD, the government of Brazil requested an explicit focus on soy bring together substantive aspects of production, demand, and enabling transactions under one single child project. This is in contrast to UNDP working in partnership with multiple agencies as executing partners with various responsibilities assigned to each. For the Brazil soy project, CI has the bulk of the execution responsibility. As told to evaluators, the reason for this arrangement was Brazil's desire to reduce transaction costs and complexity associated with multiple agencies with the government indicating at the outset of design of their project that they would prefer only one executing agency.

Collaborative partnerships

27. Stakeholder engagement and collaborative partnerships for the Commodities IAP Program were achieved through a two-prong approach, one is the participatory design process and the other is a stakeholder outreach process.[106]

28. The design phase of the Commodities IAP Program incorporated a participatory process, with countries, GEF Agencies and a wide range of stakeholders involved. The Commodities IAP has undertaken extensive external stakeholder consultations and outreach to industry private and public organizations to gain a greater understanding of how business tackles deforestation. Further, given the different complexities and challenges in each commodity, separate commodity platforms and relevant round tables are interwoven into the child projects to create collaborative partnerships.

29. An analysis of the program's partnership framework reveals that the program design appears to follow STAP recommendations that partnerships should be based on technical expertise and complementarity among partners and agencies to justify the transaction costs associated with multi-agency programs and projects.[107] The Commodities IAP Program has classified partners into engaged stakeholders and active stakeholders depending on degree and stage of involvement, the definition of roles (expert, influencer, implementer, donor or tool contributor) and the delineation of global program partners (more than 2 countries) and child project partner are important design elements that adhere to the STAP recommendations.

[106] *Tackling the Drivers of Global Environmental Degradation, op. cit.*, p. 4.
[107] STAP, Science of Integrated Approaches to Natural Resources Management, February 2017.

30. The stakeholder outreach process is reflected in the 'hub project', titled "Adaptive Management and Learning (AML) for the Commodities IAP" (GEF ID 9179). The AML project also acts as a platform for discussions among key partners, such as the UK Department for International Development (DFID), the Sustainable Trade Initiative - IDH, UN REDD+, and Forest Trends, among others to identify collective environmental impact targets. To help coordinate efforts, the AML project has a budget of approximately $9 million, representing approximately 3% of the total budget allocated, which appears to be a large absolute amount but metrics to judge benefits should be clearly enunciated and tracked. Given the numerous partnership coordination requirements assigned to this project, the adequacy of the budget may also be constrained.

31. Partnerships at the global and regional levels are also being formed with DFID, which is funding the investments in forests and sustainable land-use (IFSLU) forestry program to translate corporate commitments on supply chain sustainability into action in West Africa and Southeast Asia. Engagement at the program and country levels is also being pursued with the United States Agency for International Development (USAID), which is already supporting work in the Paraguay Chaco region to reduce deforestation, promote sustainable production, and work with supply chain actors. Another key global-level partner with which the Commodities IAP Program will coordinate is the TFA-2020, which is a global public-private partnership in which partners take voluntary actions, individually and in combination, to reduce the tropical deforestation associated with the sourcing of commodities. Per the Program, all partners will be invited to participate in the global community of practice to be established during Program implementation.

32. Although partnerships have emerged as a favored approach and are critical to the IAP program, a wider set of stakeholders involved in the program has the potential to make the process cumbersome and challenging. The production child project (GEF ID 9180) alone intends to engage over 135 entities, including governmental bodies, private sector entities, NGOs and CSOs, platforms and collaboration forums and development partners. As mentioned in the May 2017 progress report, the transaction costs associated with coordinating stakeholder engagement during the design phase is undoubtedly high.[108] As acknowledged by STAP in their information document, titled "Science of Integrated Approaches to Natural Resource Management", [109] the program would wish to be aware of the trade-offs between wide stakeholder engagement and efficiency.

Partnerships with the private sector

33. The private sector is increasingly featuring as an important partner in GEF projects. This is especially true of the Commodities IAP Program as it is geared towards a supply chain transformation and these supply chains are those of private sector firms such as traders and consumer goods companies. The private sector is becoming increasingly active in responsible commodity sourcing, driven by corporate social responsibility goals as well as pressure from

[108] *Tackling the Drivers of Global Environmental Degradation, op. cit.*, p. 5.
[109] *Science of Integration on Natural Resources Management, op. cit.*

their investors and consumers. Many consumer goods companies, along with the commodity traders that supply them, have committed to remove deforestation from their supply chains. In 2014 the New York Declaration on Forests[110] was signed by 37 governments, 53 multi-national companies, 16 groups representing indigenous communities and 63 NGOs among others. The declaration pledges to have the rate of deforestation by 2020 and end it by 2030. Though voluntary and non-binding, this and other commitments are a motivation for engagement in the Commodities IAP. For example, in December 2015, the British retailer Marks and Spencer, and the Dutch-British transnational consumer goods company Unilever signed a pledge committing to prioritize the development of sustainable palm oil, beef, paper and other commodities, as part of a major public-private partnership aimed at tackling deforestation.

34. Yet progress towards commitments can be slow, driven by the complexity of the task (particularly in complex commodity supply chains such as palm oil and soy) as well as the organizational will and expertise required to tackle it. A recent Greenpeace scorecard on progress towards cutting deforestation in the palm oil supply chain highlighted that "companies have yet to take control of their supply chains and are unable to say with any confidence that the palm oil they use is not driving the destruction of rainforests, threatening endangered species or contributing to social conflicts in Indonesia."[111] Additionally, Greenpeace points out that many companies have yet to start obtaining independent third-party verification to demonstrate that their palm oil is produced by companies operating in compliance with their own 'no deforestation' policies'.

35. The Commodities IAP Program is attempting to engage companies on their journeys and collaborate in ensuring they can meet their supply chain commitments. To that end, the program has leveraged strong private sector participation in the design. Private sector interviewees confirmed the relevance of the selected commodities and geographies of the Commodities IAP. The program suggested a strong private sector commitment as evident in the proposed cofinancing of $380 million out of an initial total project cost of $483 million through the child projects in the form of loans and equity. However, updated child project documents (requests for CEO endorsement) suggest that the private sector financing has yet to be realized. Further, the cofinancing amounts from all child projects do not add up to the initial figures in the parent project, showing a shortfall of about $180 million in cofinancing. The lack of private sector cofinancing, although just one indicator of private sector engagement, does speak to the difficulty in involving private sector entities in GEF projects.

36. The production project (GEF ID 9180) has benefitted greatly by input at the global and local level from the private sector during preparation of the projects through a program advisory committee comprising of representatives of the private sector (for example, American multinational confectionery, food, and beverage company Mondelez International), including

[110] The New York Declaration on Forests (NYDF) is a voluntary and non-binding international declaration, that grew out of dialogue among governments, companies and civil society, spurred by the Secretary-General's Climate Summit 2014, to take action to halt global deforestation.
[111] Greenpeace, Cutting Deforestation out of the Palm Oil Supply Chain – Company Scorecard, 2016, p. 2.

the banking sector (for example, Spanish banking group Banco Santander), along with other technical partners who have provided constructive feedback on emerging consumer trends.

37. Private sector companies see benefit in being involved at an early stage of the Commodities IAP Program. Producers particularly are interested in applying more efficient methods for use of resources. The program would be well advised to continuously demonstrate and articulate a 'value proposition' to ensure active sustained engagement of the private sector through all stages.

38. The demand child project (GEF ID 9182) has also identified and defined relevant roles for private and public sector stakeholders and sought input directly from the private sector or associations such as the Tropical Forest Alliance 2020 (TFA-2020), global consumer goods forum and various commodity round tables, throughout the design of the project. Given the multiplicity of private sector entities, the child project design has incorporated flexibility to shift focus between countries as supply chains shift, by using the commodity platforms as feedback loops for changes in supply and demand. While the private sector strategy is fairly comprehensive in its reach, minutes of key meetings should be documented and shared widely to enable iterative learning while the project is being implemented.

39. In interviews, private sector actors mentioned clear incentives for their companies to engage in the Commodities IAP Program. A case in point is the expected data enhancement in Paraguay, that began with UNDP's green commodities program, which will enable companies to be direct beneficiaries of improved technological information. This, in turn, can help them to identify appropriate land for cattle grazing for beef producers. Furthermore, growers in the supply chain have increased their awareness of international markets and the demand for certification and deforestation-free products.

40. Similarly, interviewees from the Brazilian private sector anticipate that improved data and land classification efforts through the efforts of the Commodities IAP Program will enable easier compliance with the Brazilian Forestry Law, as it rolls out across all regions in the country. Differentiation of Brazilian soy as more sustainable was also perceived as an asset and expected to be marketed as the design of the Brazilian Soy child project (GEF ID 9617) includes a soy traders' platform which is expected to engage interested traders, which have so far been untapped, according to interviews with the Sociedade Rural Brasileira (SRB), a rural producers association. Additionally, the Southeast Asian learning exchange is an example of innovation and engagement of government and private sector palm oil traders and buyers through the demand child project (GEF ID 9182).

41. According to interviews with stakeholders, sustained private sector engagement in project initiatives will need to demonstrate short, medium and long-term benefits to private sector participating in the design workshops and implementation stakeholder meetings. Further, small scale holders in local jurisdictions need capacity building support to be able to incorporate new agricultural practices while local government officials also need support to respond to the increasing demands of an expanding stakeholder base. The program design appears to consider

these aspects but it is too early to state whether the correct provisions are in place for these sustained engagements.

42. Noteworthy for the Commodities IAP Program is that collective action through fora such as TFA-2020 spurs individual company actions as 95 percent of participants in such groups commit to group initiatives to combat deforestation. Similarly, 98 percent of signatories to the New York Declaration on Forests have committed to reduce deforestation, so these group industry efforts appear to build peer pressure to sustain deforestation efforts. Such collective efforts should therefore be encouraged as sustaining mechanisms for altering industry standards around important challenges such as deforestation.

43. The enabling transactions child project (GEF ID 9696) is a unique attempt to encourage sustainable financing from financial institutions active in emerging markets for agri-specific sustainable commodity financing. The child project's design incorporates three critical private sector elements:

(a) that governments need to be supported to establish incentive structures (fiscal and public policies) if they wish to initiate new modes of operation by the financial and private sector

(b) dialog between financiers and producers is critical to achieve a transformation as neither party has sufficient incentive to undertake all dimensions of the transition on their own, and

(c) as public funding will remain constrained, the private sector will have to generate up to $700 billion by 2020 to potentially close the gap in climate financing, including investment in forestry management.

44. It will be necessary to strategically combine public financing, regulation, and private market participation into efficient and effective PPPs. The enabling transaction child project appropriately focuses on the strategic relationship between public and private finance to mobilize large-scale private finance and achieve supply chain sustainability objectives over the long term. Integration with the REDD+ agenda broadly and REDD+ finance specifically will be a key area of focus, given the potential for both upfront funding to pay for reform and implementation, and results based payments under the terms outlined in the Warsaw Framework for REDD+, a framework to support developing nations reduce greenhouse gas emissions from deforestation and forest degradation. This child project will also identify other potential sources of concessional or grant based financing that could be used to develop blended finance packages that accelerate the adoption of sustainable practices.

45. While the Commodities IAP Program and its child projects have, overall, incorporated private sector companies into the design, principally for the demand component, the absence of major palm oil consumers (such as India and China) and a major producer (Malaysia) is notable. Discussions with UNDP and the GEF Secretariat indicate that attempts were made to include these countries but perhaps the timing was not opportune and significant delays would have occurred if these consumers were to be included, while security situation in Malaysia Sarawak

region precluded its inclusion. However, the exclusion of consumers implies that the Commodities IAP lacks the ability to influence the primary markets of India and China, where most of the palm oil is consumed directly and is therefore seeking alternative measures to impact these markets. To partially remedy this situation, a workshop is planned in China in late 2017 to disseminate information and elicit support for the concept. Further enhancements of the design will focus on building further outreach efforts into these markets since they are not formally in the demand or production child projects of the Commodities IAP Program.

A5.3 Efficiency of the design and launch process

The country selection process

46. Although agricultural commodities are grown in many places across the world, soy, beef and palm oil are of particular importance for the GEF partnership due to the magnitude and significance of their impact resulting from the location and rate of expansion of the areas dedicated to their production. Collectively, these three commodities contribute substantially to deforestation, representing about 76 percent of global deforestation in 2008.[112]

47. Using the lens of tackling major commodities that cause deforestation, country coverage of the Commodities IAP Program is appropriate as it includes primary producers: for instance, Paraguay is emerging as the fourth largest beef producer in the world, Indonesia and Malaysia account for about 80 percent of global palm oil production. With global demand increasing West Africa has emerged as a new frontier of industrial palm oil production. Seven oil palm-growing African nations, including Liberia, pledged commitments towards protecting tropical forests by shifting palm oil production. Soy production is dominated by the United States, Brazil and Argentina, who together represented about 80 percent of total global market in 2013.

48. With this information as the backdrop, the design of the Commodities IAP Program benefitted from several planning workshops held over a ten-month period from June 2015 to April 2016 to inform the final design of the Commodities IAP Program and included the GEF Secretariat, STAP and a steering committee (represented by the GEF Secretariat and leads from all the implementing agencies) prior to detailed design of the Commodities IAP child projects. The goal of these meetings was to clearly articulate the value proposition of this Commodities IAP in the context of many existing initiatives in the sector and to reach common understanding of the design phase. A common agreement of the three main strategies of the program were agreed upon by all parties: (1) putting more degraded lands into commodity production; (2) stopping new conversion of land; and (3) seeking buyers' commitments.

49. While the GEF Secretariat was instrumental in selecting the final list of target countries within the Commodities IAP Program, these workshops helped to solicit feedback in-country from major producing or consuming countries (Brazil and Indonesia) with relevant private sector parties who dominate commodity supply chains (eight global traders and global consumer goods

[112] Brack, et al., 2016. Agricultural Commodity Supply Chains - Trade, Consumption and Deforestation, January 2016.

forum representing palm oil and soy) and important innovative research providers such as Stockholm Environment Institute (SEI).

Program-to-projects coherence

50. The Commodities IAP Program is designed to take an integrated supply chain approach that involves all stages of supply chain across multiple countries and landscapes through a multi-agency arrangement. The theory of change (TOC) for this program builds on the premise that the increased adoption of agricultural commodity production practices that are less destructive of forests is contingent on several factors: first, enabling land use policies promoting agricultural and degraded lands and reducing use of high conservation value and high carbon stock forests; second, increased producer capacity to adopt good agricultural practices (GAP) and improve yields; third, increased financial flows and economic incentives to support these GAPs in appropriate locations and fourth, consumer market awareness and demand for reduced deforestation supply are critical to promote more sustainable production. Hence, the program is organized into four major components that will be delivered by separate child projects: support to production, generating responsible demand, enabling financial transactions, and adaptive management and learning. The Brazil child project (GEF ID 9617) has elements of all these components.

51. The AML project is expected to be instrumental in ensuring cohesiveness in the Commodities IAP Program by having program-level monitoring and evaluation, engagement of partnership as well as knowledge management and communications strategy. This 'hub project' is designed to ensure the monitoring and evaluation, coordination and technical sequencing of efforts by the implementing agencies and additional partners to deliver on the inter-related outcomes. The hub project is expected to be instrumental in ensuring cohesiveness in the program.

52. The Brazil child project was added to the Commodities IAP Program after Council approval. While the projects in the other three participating countries (Indonesia, Liberia and Paraguay) are divided along the three sectors of the supply chains, it was decided that for the Brazil child project, it would include all sectors of the soy supply chain in one project,[113] which mirrors the design of the Commodities IAP Program in the sense that it resembles a smaller scale Commodities IAP specifically focused on soy.

53. Many of the strategies and activities in the IAP's child projects relate to or rely on voluntary sustainability standards (VSS) and certification and VSS-like mechanisms, which are important links among the child projects, providing a verifiable system for connecting reduced deforestation production with companies demanding reduced deforestation products.[114]

[113] GEF, Request for CEO endorsement: Taking Deforestation Out of the Soy Supply Chain, GEF ID 9617, February 2017, p. 7.
[114] GEF, Request for CEO endorsement: Adaptive Management and Learning for the Commodities IAP, GEF ID 9179, October 2016, p.31.

RBM and M&E design

54. At the project level, the Commodities IAP tracking tools require each GEF Agency to report on the several indicators which are different to what is reported in the latest progress report on the IAP to Council in May 2017.

55. Overall, the design of the program and project results frameworks are aligned with one another and the expected annual reporting on the indicators in the program-level results framework seems appropriate. M&E baselines have been established and show alignment across projects and the broader Program. The AML project (GEFID 9179) is expected to be instrumental in ensuring cohesiveness in the Commodities IAP by having Program-level monitoring and evaluation. According to the results framework for the program, the program level indicators expected to be monitored are:

(a) Level of coordination between finance, demand and production stakeholders for soy, been and oil palm in the four IAP target countries

(b) Level of engagement of IAP with global commodity initiatives, key partners as well as with practitioners and producers from the IAP target countries

(c) # of direct and indirect Program beneficiaries disaggregated by gender based on supply chain approach

(d) Learning on gender mainstreaming through this IAP program as it relates to commodity supply chain actions (as measured by # of project documents, publications, training materials and presentations that include a discussion of gender issues).

56. In recognition of the complexity of devising appropriate indicators, STAP reviewed the Commodities IAP and recommended that certain environmental and economic indicators be tracked.[115] While the environmental indicators relating to BD and CCM are incorporated in the design, no economic indicators for production efficiency have been included. Further, the STAP recommended indicator to assess market stability (percentage of production and sales to various standards and certification schemes) has been incorporated partially in the demand child project, but only for sustainable palm oil.

A5.4 Mechanisms for broader adoption

57. All Commodities IAP child projects have a broader adoption agenda, while the task of generating lessons from the national platforms and communities of practice and knowledge pieces falls largely on the ALM project. Project design expects to differentiate the platforms under Commodities IAP as practitioner-oriented regional fora compared to existing industry platforms (Consumer Goods Forum, TFA-2020, round tables, etc.) which appear to be convening platforms rather than knowledge exchanges.

[115] STAP, A Review of Indicators Used to Assess the Sustainability of Commodity Agricultural Production, May 2016. Council Document GEF/STAP/C.50/Inf.04.

58. Sustaining activities at the country level have been considered, and are designed into the project activities. For example, linking the implementation of Brazil's forest code in targeted landscapes with a 'whole supply chain approach' for soy production. The linking of the soy production project in Brazil with the Commodities IAP production-linked activities helps ensure that long-lasting impact is realized on the soy supply chain. Similarly, in Indonesia the specific focus on commodities sourced from the targeted landscapes, complemented by measures to enhance investment in reduced-deforestation commodities is expected to support ongoing efforts by the government and relevant stakeholders to tip the palm oil supply chain toward practices that do not lead to deforestation. In Liberia, the program will support efforts by the government to position the country as a sustainable palm oil producer. The Commodities IAP Program will support the ongoing efforts to develop national principles for responsible palm oil by the TFA-2020 Africa palm oil initiative and address many of the policy gaps, such as the lack of a nationally agreed definition of high carbon stock forests in Liberia.

59. As there are only a few traders that dominate almost the entire beef industry in Paraguay, progress in stimulating increased demand from them for sustainably produced beef will have an impact in the El Chaco region. The Government of Paraguay (State of Boqueron) is looking at the project as a pilot that can be replicated in other areas. The establishment of the Chaco regional platform will enable continued dialogue and consensus among key stakeholders of the beef supply chain, including cooperatives and traders, which represent a key element of project sustainability. The development of a national interpretation of an international standard to incorporate sustainability criteria will also be an important achievement. The project is expected to ensure sustainability also through its strengthening of the enabling environment for land use planning.

60. Given that the pilots will take place mainly in specific districts, project design allows for scaling up to reach provinces as demonstration of lessons begun in the districts. At the next level, scaling up will branch out to other provinces. In Brazil, the child project is expected to support the country's forest code with its rural environmental registry,[116] to enhance the registry of several thousand additional properties to prevent illegal deforestation of native forest into the future rather than just within the project timeframe.

61. The Commodities IAP also anticipates that the production projects (GEF IDs 9180, and 9617 in Brazil) will contribute to altering the overall structure of the global market for palm oil, soy and beef towards reduced deforestation products leading to innovations in business and market practices favoring preferential sourcing of deforested products. There is an implicit assumption that producers and knowledgeable buyers will remain aligned with these new

[116] In 2012, Brazil approved a new Forest Code, which created the Environmental Compliance Program (PRA). This Program rescinds fines for illegal deforestation up to 22 July 2008 on the condition that the rural property is registered in the rural environmental registry (CAR). The CAR is an electronic registry of rural properties and information with respect to permanent preservation areas (Áreas de Preservação Permanente – APP), so called "Legal Reserves" and forms the basis for monitoring and control and, hence, for combating illegal deforestation of native vegetation, as well as for the environmental and economic planning of rural properties.

practices and other analogous supply chains will eventually adopt these practices, too, leading to scale up opportunities in the sector.

62. The demand project's (GEF ID 9182) design hinges on applying global strategies to local contexts. A case in point is the consumer campaign in Indonesia targeting women who make purchasing decisions about palm oil, as well as supply chain mapping to the Commodities IAP production sites and the publishing of supply chain maps from origin to destination. Scaling-up will be promoted in the demand child project by expanding some of these innovations through the proposed corporate and government learning & exchange programs to other commodities and contexts. The demand project also expects lessons to be exchanged between South East Asia and Latin America through organized platforms.

63. The enabling transactions child project (GEF ID 9696) project is intended to support development of adequate blended and commercial financial products to catalyze adoption of sustainable commodity production and trade. An important element of the scaling up is expected from the financial regulators, who are expected to be instrumental in promoting regulatory interventions that will reduce pressure on forests. Changes in market practices by financial institutions and regulators are expected to lead to increased environmental, social and governance awareness and sustainable commodity financing and eventually to the strengthening of complementarity fiscal incentives governing the production of selected commodities in target countries with efforts to remove deforestation from supply chains.

64. A key market test to achieving broader adoption will be whether there are increased capital flows to reduced-deforestation commodities under the Enabling Transactions child project. The corollary of assessing if the project enabled reduced financial flows to unsustainable commodities is harder to quantify and track, though the theory of change for this project is partly premised on this assumption.

65. Overall, the Commodities IAP Program design recognizes that market transformation in commodity supply chains is a redirection of capital from routine business to sustainable alternatives. Therefore, the enabling transactions child project's design identifies the importance of overcoming significant barriers (lack of innovative financial instruments that incentivize risk taking, insufficient blended finance instruments, lack of mandatory deforestation risk analysis required by financial institutions, lack of emerging markets regulatory framework necessary to adopt such instruments) to realize market transformation. This is also borne out by reviews of GEF's private sector portfolio which highlight the critical role of regulatory frameworks in catalyzing private sector investments.

Buy-in by target groups at project, country and regional level

66. The Commodities IAP Program was proposed as a concept during the design of programming for GEF-6 by the GEF Secretariat and gathered momentum through contributions of UNDP. The buy-in has been consistent at the agency level with respective roles defined over time at design workshops held during the planning of the program.

67. For some GEF Agencies, the Commodities IAP Program represents an alignment of existing projects/program, albeit with distinctions or add-ons. For example, UNDP with its global green commodities program launched in 2009 to convene commodity stakeholders to create more enabling environments for sustainability commodity sectors to grow. Similarly, the Biodiversity Agriculture Commodities Program (BACP), a GEF-supported IFC implemented project, which ended in 2014, also worked on production aspects, better management, enabling environment, demand and financial transactions concerning biodiversity loss in agricultural productive areas.

68. From a country perspective, Paraguay, Indonesia and Liberia took well to the proposed program immediately, including regional stakeholders such as the state government of Boqueron in Paraguay and Kalimantan in Indonesia to give their support to the terms proposed. The IAP program's offer of set aside funds for programming, additional to country allocations determined by STAR reserves, increased the attractiveness of the Commodities IAP. Furthermore, the Commodities IAP Program also aligns with existing activities centered around sustainable production of commodities; namely national level platforms that are in place in all four countries.

69. Interviewees shared that initially, the Brazilian government was not completely in support of the program fearing that it could be a trade barrier with limitations to soy production. However, with more discussion this concern was dissuaded, particularly with the help of some lobbying by SRB and CI in Brazil, and the Ministry of Environment came out in favor of the approach with the stipulation that in Brazil, for ease of transaction and to reduce complexity, they would prefer one agency, CI, to implement the project.

70. Concerning private sector actors, international commitments such as net-zero deforestation and corporate sustainability pledges on the part of large private sector actors are also a motivation for buy-in to the IAP with the program representing an opportunity to work through platforms to help reach stated goals.

Innovation through knowledge capturing and learning

71. One of the unique aspects and underpinnings of the Commodities IAP Program is a distinct project dedicated to knowledge capture and learning. The Adaptive Management and Learning (AML) child project (GEF ID 9179) will function based on a continuous iterative learning and knowledge dissemination component. The need for such learning to support the Commodities IAP has been corroborated by STAP's information document on integrated approaches to NRM, which states that "the evolving scientific understanding of factors

influencing social, technical and institutional innovations should be harnessed and integrated into GEF's influencing models and theory of change, and be coupled with updated approaches for learning, adaptive management and scaling up".[117]

72. The success of this project will be contingent on the timely capture of important implementation lessons and an efficient exchange of this information amongst commodity platforms, as a first step. The AML will also facilitate knowledge exchange and learning through a global community of practice with tools for navigating a large evidence base and partnerships to enable sustainable action plans on important topics emanating from these global initiatives. It is expected that knowledge pieces will be disseminated through a number of ways, including via the Guardian sustainable business hub.

73. The AML project also plays a critical role in realizing the interlinkages between child projects to affect transformational change. The project has incorporated measures to catalyze market transformation by coordinating and integrating all the child projects and by facilitating adequate technical sequencing of activities and by ensuring adaptive management and knowledge management for increased learning and upscaling.

74. While the commodity platforms represent an efficient means of knowledge exchange, early donor feedback suggests that there is a perception of a preponderance of platforms whose value and utility are yet to be seen. This makes it incumbent for the Commodities IAP Program to continuously articulate the incremental value attributable to platforms and monitor contributions of these fora regularly so that this perception can be addressed through evidence-based responses.

[117] *Science of Integrated Approaches to Natural Resources Management, op. cit.*, p. 32.

ANNEX 6: FOOD SECURITY IAP PROGRAM FINDINGS

A6.1 Integrative nature of the Food Security IAP

Alignment of priorities across scales

1. The main objectives of the Food Security IAP as outlined in the introduction chapter suggest four main areas of interventions that are 'integrated' in this programmatic approach:

(a) Focusing on INRM and Sustainable Land Management (SLM) as the center piece of the Food Security IAP; with an integrated, multi-focal area approach that incorporates biodiversity, land degradation and climate change; and working at community and landscape levels. The extent to which common approaches should be used or developed poses an important question for the IAP. Child projects are concentrated in two broad agroecological environments in SSA that assure a certain extent of technical similarities.

(b) Building on an integrated approach to engage partners and stakeholders at multiple levels, to provide an enabling environment for scaling up of interventions, and to track environmental and socio-economic benefits and adaptive management and learning from experiences.

(c) Involving multiple countries and partners, including various GEF Agencies and non-GEF executing agencies, to optimize mainstreaming, multi-disciplinary approaches, peer learning and scaling up.

(d) Analyzing and applying best food security options for small-scale farmers and others in rural communities in view of multi-sectoral and multi-level approaches and options, including value chain development and non-farm alternative livelihoods.

2. Combining these four areas, the Food Security IAP aims at achieving a more holistic, integrated approach for addressing the food production and consumption drivers while at the same time mainstreaming a strong environmental perspective into the ongoing discussions about food security and resilience, and associated pathways out of poverty.

3. Country STAR allocations for specific focal areas were made at the beginning of the Food Security IAP Program's design process from each of the participating countries. All 12 child projects have land degradation (LD) objectives and outcomes. Eight of them also cover biodiversity (BD), and six cover climate change (CCM). Five child projects cover all three focal areas in terms of their allocations (Ghana, Kenya, Malawi, Swaziland and Tanzania; GEF IDs 9340, 9139, 9138, 9133 and 9132 respectively); three combine land degradation with biodiversity (Burundi, Ethiopia and Uganda; GEF IDs 9178, 9135 and 9137); one combines land degradation with climate change (Senegal, GEF ID 9134) and three child projects only address land degradation (Burkina Faso, Niger and Nigeria; GEF IDs 9141, 9136 and 9143).

Alignment and synergies with GEBs and MEAs

4. The Food Security IAP Program's PFD and child project results frameworks contain appropriate outcomes and indicators, designed to contribute to multiple GEBs across GEF focal areas. Specific quantitative targets for major GEB tracking tools of BD, LD and CCM are set in almost all child projects. However, these targets vary widely across child projects. For example, the hectarage targeted for improved sustainable land management (SLM) varies from 2,250 hectares in Senegal to one million hectares in Kenya. The minimum and maximum carbon sequestration (tCO_2e) varies from 12,621 (Burkina Faso) to 45,411,136 tCO_2e (Ghana). Whether these values make sense, and whether these are smart and integrated indicators, whether they are common in the program or project-specific, or whether they are just conforming to the general indicator(s) proposed in the tracking tool remains to be seen.

5. Key program level GEB and socio-economic indicators for the target geographies were identified by the GEF Secretariat in the proposed Food Security IAP multifocal tracking tool and communicated to GEF Agencies. Table 33 shows how they are summarized in the hub project.

Table 33: Food Security IAP key program level indicators

Key program level indicators	Target
1. Land under integrated and sustainable management (ha)	10 mil. ha
2. GHG emissions avoided or reduced (tons CO_2e)	10 to 20 mil. tons CO_2e
3. Conservation of genetic diversity on farm:	
3a. Number of varieties on farm and/or other metrics of biodiversity in production landscape (% increase)	15 to 25%
3b. Number of sector policies and regulatory frameworks that integrate biodiversity consideration	Target TBD
4. Land cover (trends in NDVI)	10 to 20%
5. Beneficiary households (number)	2 to 3 mil.
6. Food security index (to be elaborated by FAO)	Target TBD

Note: GHG = greenhouse gas. NDVI = normalized difference vegetation index. TBD = to be discussed.

6. In practice, there were several problems identified in applying these indicators in the child projects. Problems included the context-specific definition of these indicators, the unfamiliarity of some of them (i.e. carbon sequestration), the setting of realistic targets, the practicality of actual measurement tools to be used and the extent to which reality on the ground allows to carry out reliable and meaningful measurements. Thus, individual child project tracking tools mostly apply a selection of relevant indicators from this menu. There was also some confusion due to the relatively late introduction of the proposed tracking tool during the start-up phase. Several agencies noted that the proposed tracking tool was insufficiently tailored to the Food Security IAP, and was designed extracting indicators and targets from the existing focal area specific tracking tools.

7. Measuring GEBs in an integrated food security initiative in SSA is not an easy task. A review of the M&E experience from the Strategic Investment Program for Sustainable Land Management in Sub-Saharan Africa (SIP, GEF ID 2757), generally referred to as TerrAfrica/SIP, showed that almost all its child projects faced difficulties in measuring GEBs.[118] Meaningful baselines and targets were often not established and the duration of most projects made it difficult to detect changes in the ecosystems, where baselines had been done. The review indicated that M&E systems should be realistic and avoid being overcomplicated to be effective/feasible. ICRAF indicated that the alignment of global and landscape resilience indicators with local ones remains a major challenge since countries have insufficient policies, instruments and capital to manage landscapes in an integrated way that would be necessary to achieve measurable results at landscape scale. IFAD's experience in Niger and elsewhere showed that environmental indicators and tools, including for GEBs, need to be well adjusted, and often simplified, to correspond to national government and local capacities. Rome or Washington DC, head office designed internet tracking tools may sometimes be too ambitious when many of the project areas are not even internet connected. Geographic information system are often not available, and there are also major difficulties in basic spatial analysis: in several participating countries, even the hectares planted are often simply rough estimates.

8. The Food Security IAP Program is designed to work with each of the covered conventions in line with their specific objectives through an integrated approach. For UNCCD, the IAP directly contributes to implementing its 10-Year Strategic Plan (10YSP) 2008-2018. The Food Security IAP is expected to contribute to the operational objectives of the 10YSP on: (i) policy framework; (ii) science, technology and knowledge; and (iii) financing and technology transfer. All participating countries in the Food Security IAP have allocated STAR funding from the LD focal area, Furthermore, all 12 national child projects are consistent with countries' national action programs to combating desertification. With regards to the CBD, the Food Security IAP will contribute to the strategic plan for biodiversity 2011-2020 and the associated Aichi Target 7 on sustainable agriculture, aquaculture and forestry. The Food Security IAP Program focuses in its contributions on the CBD program on agricultural biodiversity and its cross-cutting initiative on food and nutrition, as well as the International Treaty on Plant Genetic Resources for Food and Agriculture. Child projects are consistent with their National Biodiversity Strategies and Action Plans (NBSAPs), especially the ten countries with STAR funding from the BD focal area: Burundi, Ethiopia, Ghana, Malawi, Kenya, Niger, Nigeria, Swaziland, Tanzania, and Uganda.

9. The Food Security IAP Program also responds to UNFCCC priorities on issues related to agriculture. Among them, the identification and assessment of agricultural practices and technologies to enhance sustainable productivity, food security and resilience, considering the differences in agroecological zones and farming systems such as different grassland and cropland practices and systems (FCCC/SBSTA/2014/2). Child projects are expected to respond to priorities identified in their national communications to UNFCCC, especially those with STAR

[118] FAO, Informing Future Interventions for Scaling-up Sustainable Land Management - Lessons learned for decision makers from a review of experiences of the TerrAfrica Strategic Investment Programme on SLM in Sub-Saharan Africa (SIP) under the NEPAD – TerrAfrica Partnership Framework, April 2015, p. 20.

funding from focal area strategic objective CCM-2, which include Burundi, Ghana, Kenya, Malawi, Niger, Nigeria, Senegal, Swaziland, Tanzania, and Uganda. These countries have prioritized reduction of emissions from land use, land use change and forestry, and deforestation and forest degradation. In addition, four child projects also respond to priorities in the National Adaptation Program of Action (NAPA) to meet urgent and immediate needs to adapt to climate change (Burkina Faso, Burundi, Malawi, and Senegal).

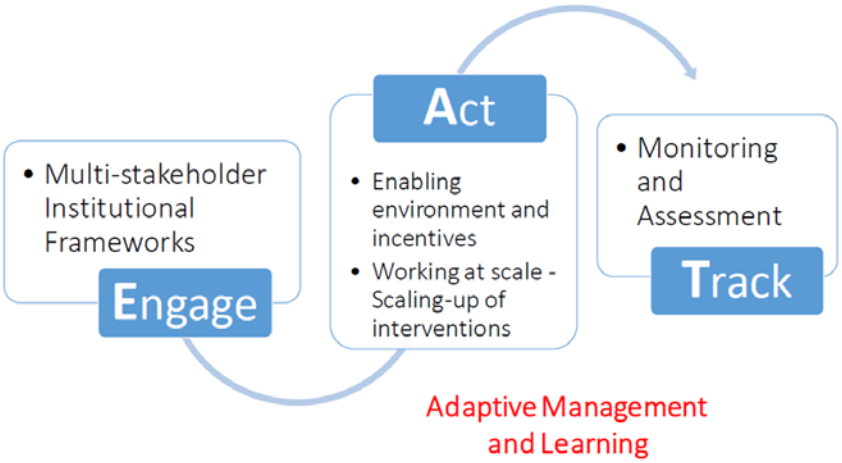
10. The UNFCCC Secretariat expressed reservations about the Food Security IAP Program. Interviewed partners found the whole IAP concept difficult to understand and failed to see why it is necessary. They see an inappropriate a-priori bias in GEF towards programmatic approaches. They believe that integrated approaches can be pursued in projects and do not require a program, and expressed reservations on whether the GEF is sufficiently clear on the differences between 'integrated', 'multi-focal' and 'programmatic' approaches, and wish these concepts could be better explained to them. The UNFCCC Secretariat is generally rather skeptical about what really drives integrated and multi-focal approaches at the GEF. Staff worries about these approaches being more resource than technically or scientifically driven, and is concerned that it may not pay sufficient attention to specific realities and priority needs in the countries. Interviews with CBD Secretariat staff provided a less specific critique of the Food Security IAP Program, but pointed to difficulties by partners in understanding how BD is related to food security, LD and CCM, and how to generate synergies across these areas. In their view, a much better planning process than the one followed for the Food Security IAP would be required for the GEF and for future individual programs. In contrast, the UNCCD Secretariat supports the GEF IAP approach to focal areas. They regard land as central to all environmental issues, including BD and CCM, and favor common country reporting for the three conventions.

Additionality

11. Innovation is broadly referred to in the PFD as taking various forms, including new technologies, but also adaptation or dissemination of well-known technologies to be applied in new geographic areas. Innovations also include new forms of assessments, moving beyond solely relying on measuring enhancements in agricultural production alone (i.e. assessing resilience); the inclusion of value-chains, nutrition, alternative livelihoods; migration; transcending system boundaries.

12. Formal coherence in the Food Security IAP is strong in terms of applying the same three components of the program theory of change (See figure 7) to all child projects. This means that each child project makes a commitment to the multiscale partnership and institutional capacity building goal of the Food Security IAP. Through the hub project, common program governance arrangements and management for synergy were agreed by all partners. Ways for institutional capacity building have been established at the program and child project levels, particularly for enabling policy environment and effective capturing of knowledge and learning. The theory of change of the Food Security IAP is also strong in terms of emphasizing broader adoption and putting into play policy platforms and mechanisms for innovations and changed behaviours of institutions, individuals, groups and business leaders.

Figure 7: Theory of change of the Food Security IAP



Source: Food Security IAP Program's PFD

13. The hub project mirrors the same three components, but it was approved 23 months after Council approval of the PFD in June 2015. The approval came too late to inform on the best way to structure and design each of the three components and help come up with a common approach for M&E in child projects. Nevertheless, 11 of 13 child projects make direct reference to the PFD's objectives and 10 child projects apply the same component structure of the PFD. Exceptions are related to those cases in which child projects are designed to integrate with and/or build upon the potential outcomes achieved by baseline projects.[119] However, this does not affect the basic intervention logic in terms of planned activities along the lines of the three components in the theory of change of the program.

14. Examples of innovative approaches and practices specifically listed in the PFD under innovation include: (i) Small-scale irrigation in Ethiopia, Nigeria and Swaziland (GEF IDs 9135, 9143 and 9133); (ii) Improved land-use planning, erosion and watershed management to protect biodiversity as well as carbon stocks in Burkina Faso, Burundi, Ghana, Malawi and Kenya (GEF IDs 9141, 9178, 9340, 9138 and 9139 respectively); (iii) Sustainable land management and improved grazing management linked to market development and value chains in Ghana, Niger, Senegal, Swaziland, Tanzania and Uganda (GEF IDs 9340, 9136, 9134, 9133, 9132 and 9137 respectively); and (iv) Payments for Ecosystem Services (PES) in Kenya. Another innovative element mentioned is the 'systematic assessment of agroecosystem resilience, adaptation and transformation' that would be widely disseminated and shared.

15. Child projects include a range of technological and institutional innovations. In Burkina Faso (GEF ID 9141), the child project is developing a watershed landscape approach for more holistic ecosystem services and protection. This approach focuses on agricultural production basins, protecting with tree planting the cereal producing land downstream and applying a

[119] Baseline projects are projects designed by the participating GEF Agencies with funds registered as the Food Security IAP Program's cofinancing, that would have been implemented in participating countries irrespective of the IAP program.

mixed production/ protection system upstream. The Malawi child project (GEF ID 9138) tries to move from micro- to macro-catchment areas. One of its main goals is to bring the irrigation team from the Ministry of Agriculture and the environment team from the Ministry of Environment to work together. The Swaziland child project (GEF ID 9133) is introducing an innovation fund for applied research on rainwater harvesting, home gardening and bee keeping, and rotational grazing on common lands. Similarly, the Uganda child project (GEF ID 9137) intends to pilot new sustainable land management/integrated natural resource management (SLM/INRM) technologies that have so far not been introduced in the region targeted by the project, mainly on rainwater harvesting, rangeland rehabilitation and value chains for traditional products. One of the most innovative parts in the Tanzania child project (GEF ID 9132) is institutional in nature. It foresees the setting up of intervillage natural resource management (NRM) committees as a forum of participatory management of shared national resources at landscape models. The UNIDO/IFAD implemented child project in Senegal (GEF ID 9134) specifically developed a range of environmental value-additions introducing renewable energy technologies in post-harvesting processes to cover the whole agricultural value chain.

16. In many cases, the innovations proposed in the Food Security IAP child projects are closely linked to the baseline projects. Eight out of 12 child projects were designed in parallel with baseline projects or are closely related to them, and only four child projects were designed completely separately (Ethiopia, Uganda, Nigeria and Burundi).

17. The Food Security IAP Program helps mainstreaming the environment in more production and/or market oriented ministries. As seen earlier, this approach introduces new forms of inter-ministerial partnerships involving the Ministry of Environment – where the GEF operational focal point (OFP) usually sits - and Agriculture, Livestock or Forestry Ministries, and partnerships with the private sector and CSOs. Interviewed stakeholders indicated that this approach is one of the main GEF contributions in the Food Security IAP in terms of innovations. The aim of such approach is to mainstream environmental issues more effectively in closely related productions sectors such as agriculture, livestock or forestry, and of offering a science and evidence-oriented platform for South-South dialogue and meetings of child project partners. A major contribution of the Senegal child project's value chains component is to bring stakeholders together that otherwise would not have gotten involved in food security, such as the Ministry of Energy. A government representative stated that "It is also good for our agencies that we learn to work together and harmonize some of our ideas and processes." One of the key aspects in the Ethiopia child project (GEF ID 9135) is fostering the linkages between agropastoral production system with alternative livelihood possibilities.

18. For many interviewed agencies, the most important innovative feature in the Food Security IAP Program is the hub project-supported knowledge platform for sharing experiences and learning. The platform is designed to serve the 12 child projects plus other projects or entities involved in climate resilient food security initiatives that may wish to join. While there are several food security platforms in SSA, most of them are more advocacy- than knowledge-oriented. The GEF fills a gap by providing a platform model that allows to exchange science-based information, develops new interventions around this knowledge, and brings together

different public and private sector partners around tested approaches. According to one voice, the Food Security IAP hub project is no armchair academic work, but an opportunity to test things and learn from them. This happens through knowledge sharing and establishing communities of practice. The cross-regional approach allows for comparisons. Most of the key players are there. IFAD staff pointed out that the Food Security IAP knowledge platform was seen by Niger, Malawi and Swaziland counterparts as a forum for learning about innovations, exchange ideas and to showcase their own projects. Furthermore, the hub project offers good opportunities for regional peer pressure for individual countries – in a positive sense – as one country is part of a bigger undertaking; this is already becoming visible in Tanzania, which does not wish to be left behind in the region. However, the knowledge platform will require a strong commitment and support by all participating entities to provide the services and benefits it has been designed for. There will need to be a strong evidence base on these benefits to assess whether they can provide the support and momentum needed to influence activities and perceptions associated with the program outcomes and sustainability.

A6.2 Analysis of partners and the wider constituency

Comparative advantages, roles and coordination

19. The main objectives, focus and design principles of the Food Security IAP Program are the result of a long evolutionary process and experience gained within GEF. Several projects and programs mainstreamed environmental management in agriculture and food security over the years, particularly in GEF-4 and GEF-5. Programs include the TerrAfrica/SIP program (GEF ID 2757), the Great Green Wall initiative (GEF ID 4511) to operationalize climate change with rural clients, among others. Integrating biodiversity and climate change with desertification/land degradation in addressing agriculture and food production as a main driver of environmental degradation has a long tradition in GEF (Tengberg and Valencia, 2017). This long history and the close work relationships developed with GEF Agencies also provides GEF with a strong head-start compared with international institutions concerned with similar environmental issues, such as the Green Climate Fund (GCF) or the Climate Investment Funds (CIF).

20. According to interviewees, much of this experience is indeed embodied in the program, brought in through personal and institutional knowledge and involvement, as well as some formal and, more often, informal processes. Food Security IAP designers have been around for some time and have been interacting closely during design, particularly GEF and IFAD. For many involved GEF Agencies and other executing partners, the most important role for GEF is that of a convener. The GEF offers participating agencies, countries and other interested parties a unique opportunity to develop – through the Food Security IAP – a regional forum for coordination, common strategy development, specific technical and institutional assistance to countries (through the hub-project) and a strategic learning agenda. This will allow GEF and its partners to take advantage of the economies of agglomeration associated with such close and dedicated networks.

21. The GEF endeavors in the Food Security IAP Program to take a strategic approach to partnering and effective mainstreaming; and of moving out of the environmental niche and bridging the conservation-food security divide in broader resilience programs. This happens particularly through strengthening relevant ministries within countries through the child projects (usually the Ministry of the Environment or of Forests). This should help these groups to collaborate and advocate more strongly at country level, building awareness and capacity for environmental and conservation mainstreaming through close collaboration with more production and market oriented ministries in respective countries. These efforts to enhance cross-institutional and -sectoral linkages are one of the most appreciated aspects of the Food Security IAP by participating agencies and by country stakeholders themselves. GEF partners in the Food Security IAP welcome this programmatic involvement by GEF. Forty percent of respondents in the country stakeholders survey specifically appreciated GEF's institutional experience.

IFAD as the Food Security IAP Program's lead agency

22. IFAD not only offers cofinancing and leverage, but also a lot of technical and organizational experience, and institutional capacity. This is fully agreed by all GEF Agencies. Interviews in the Secretariat indicated that the WB was considered as an alternative for the lead agency role. Apparently, there was resistance from GEF operational focal points as they saw the World Bank too much focused on the production rather than the environmental and conservation side. Furthermore, the World Bank took the lead in the Cities IAP Program. FAO would have been a credible alternative to IFAD as it is a well acknowledged technical leader in food security and the environment, and has a large network of country offices in Africa. The drawback was that FAO would not have been able to provide high cofinancing and associated leverage for scaling-up as IFAD.

23. In addition to above mentioned factors IFAD's division in charge of the Food Security IAP, the environment and climate division, brings along very recent and ongoing experience on the Adaptation for Smallholder Agriculture Programme (ASAP), a $366 million investment in 40 SSA countries that started in 2012, to operationalize climate change adaptation with rural clients. Another advantage of IFAD is that it has a large stake and interest in value chain development. IFAD already cooperates with CGIAR centers on climate change in value chains. Importantly, IFAD pays much attention to systematic scaling up and programmatic approaches in its current (10^{th}) replenishment cycle. Several tools were developed for scaling-up, such as thematic notes for different scaling-up pathways, depending on interventions and settings. Principle pathways include: other donors; mobilizing governments; beneficiaries themselves; and the private sector. IFAD also has the lead on agriculture and rural development in a global community of practice on scaling-up of Brookings Institution and the firm Management Systems International (MSI).

Executing agencies

24. UNDP is executing three child projects in Ethiopia, Nigeria and Uganda (GEF IDs 9135, 9143 and 9137), the latter with FAO. UNDP promotes inclusive and green value-chains, issues on which it has relevant experience. A special team in Addis Ababa will be deployed from the

UNDP-sponsored African Facility for Inclusive Markets (AFIM). Since 2012, AFIM has championed the concept of inclusive agri-business markets in Africa. In partnership with the East African Community (EAC), the Economic Community of West African States (ECOWAS) and the Common Market for Eastern and Southern Africa (COMESA), the facility has convened regional multi-stakeholder platforms in Eastern, Western and Southern Africa. One of AFIM's central goal is to promote small and medium enterprises for agricultural services and value chains. AFIM already cooperates with the new partnership for Africa's development (NEPAD), the comprehensive Africa agriculture development programme (CAADP), the African Union (AU) and the African Development Bank (AfDB), has gained some experience in Nigeria and Ethiopia, and brings in a large network of SSA partners.

25. As the largest UN agency for food and agriculture, FAO has broad and well-known experience in food security, strong technical experience on environmental and climate change issues. FAO is the GEF Agency of two child projects, in Uganda with UNDP, and in Burundi (GEF ID 9178). FAO also executes two hub project components, one on upscaling integrated approaches with UNDP, and the other on institutional frameworks in collaboration with UNEP.

26. UNIDO was pleased to get involved in the Food Security IAP Program, although the agency has limited experience in agricultural value chains. It successfully collaborated with IFAD in Morocco on value chains and builds on that experience in the Senegal child project. The parallel cooperation between UNIDO and the Senegalese government established in the IFAD baseline project was already agreed upon between IFAD and UNIDO before the collaboration in the IAP child project. UNIDO brings in a particular know-how into the Food Security IAP, in renewable energy technologies.

27. The World Bank was chosen by the Government of Ghana as GEF Agency as it is carrying out a long-running program in Northern Ghana with a history of GEF support, including in the Great Green Wall initiative (GEF ID 4511). The World Bank's capacity to bring in environmental aspects in agriculture and other rural programs has been long demonstrated in previous GEF programs.

Engagement of a broader constituency

28. A large number of non-GEF agencies is involved in the execution of important tasks in the Food Security IAP through the hub project. In late 2016, the GEF Secretariat brought in the World Agroforestry Center (ICRAF), Conservation International (CI) and the Alliance for Green Revolution in Africa (AGRA) as executing agencies into the hub project. On one hand, these agencies certainly bring specialized knowledge in the conservation and value chain sides of household, community and eco-system resilience. On the other hand, it adds to the operational complexity of the program, with likely inefficiencies in implementation if not closely managed. In 2015, FAO and UNEP expressed interest in coordinating the hub project. IFAD invited the FAO/UNEP team to submit a proposal for coordinating the hub project. At first, the GEF Secretariat itself had hinted at a possible IFAD - FAO/UNEP co-leadership of the Program, with FAO/UNEP as main executing agencies of the hub. In the end, it preferred to involve CI, AGRA

and UNDP in the hub and ICRAF as coordinator, all under IFAD's purview as lead agency. The comparative advantages of these executing agencies is discussed in the following paragraphs.

29. ICRAF hosts the program coordinating unit in Nairobi. According to key stakeholders interviewed, ICRAF was preferred by the GEF Secretariat to a team composed of FAO and UNEP. As a research center affiliated to the Consultative Group for International Agriculture Research (CGIAR), ICRAF is in a key position to support the technical and research side of the Food Security IAP Program. The center is very experienced on environmental issues surrounding food production, as part of its core competency in forestry and agroforestry. It also has dealt extensively with alternative livelihoods in drylands agriculture. ICRAF has considerable experience in most countries where child projects are active (i.e. in Kenya Lake Tana; Land Degradation Surveillance). ICRAF is also involved in a major consortium, the CGIAR Research Program on Forests, Trees and Agroforestry (CRP-FTA), which allowed it to bring in a stronger cofinancing (of $18 million) than the one indicated by the FAO/UNEP team.

30. ICRAF works under direct coordination and supervision of IFAD. Despite that, interviewees have questioned the appropriateness of the key coordination role to ensure programmatic impact and coherence being handled by ICRAF, a non-GEF agency mainly experienced in research programs with limited experience in multi-partner initiatives supported by the GEF involving multiple international donors and UN agencies, for which a technical role would have been more appropriate. FAO and UNEP's presence in the child project countries may have been better assured due to their country offices. Being involved in the implementation of two child projects as well as having execution tasks in two hub project components could have provided a more informed program coordination function.

31. CI and Bioversity International broaden the base of executing partners in the hub project with strong environmental credentials and international reputation. CI is also a GEF Agency. Bioversity International, a CGIAR center, strengthens the representation of agrobiodiversity in the program. These two agencies have been tasked with the monitoring and assessment component of the hub project, with CI taking the lead. AGRA has a relatively small assignment in the Food Security IAP. Working in collaboration with UNDP and AFIM, and building on its large history on value chains and staple food crops, AGRA promotes PPPs for accessing input and output markets for farmers. AGRA's investments amount to a total of $100 million from sources such as the Bill & Melinda Gates Foundation and the Rockefeller Foundation. An important share of investments focuses on countries in the geographies targeted by the Food Security IAP Program, which bodes well for scaling up.

32. As described above, the Food Security IAP Program is characterized by a large range of GEF Agencies and executing partners. By and large, they are individually well qualified, but their number increases the multitude of institutional preferences and the complexity of planning, coordination and arriving at common and synergistic approaches. This is compounded by the multi-country nature of the program as well as the multi-focal and multi-scale approach. The Food Security IAP also incorporated relatively new partners for GEF in agriculture and food security: CI and UNIDO as GEF Agencies; ICRAF and AGRA as executing agencies subcontracted

by IFAD and UNDP respectively. Some of these new partners cover important positions, such as ICRAF (hub coordination) and CI (program M&E). Some participants in the Food Security IAP see the final hub management structure as overly complex and fragmented, with resources spread too thin to make a real difference.

A6.3 Efficiency of the design and launch process

The country selection process

33. A widely-shared sense of discomfort with GEF Secretariat decision making during the launch phase emerged from interviews. The GEF Secretariat participated in the design workshops organized in 2015 in Nairobi and Addis Ababa, and in several planning meetings in 2016 in Rome. During these and other informal interactions, partners felt there was insufficient participatory discussion on how to structure the hub project in terms of choice of executing agencies and division of tasks, and how to select the child projects. Agencies would have preferred a more consultative process, in which the major decisions related to the hub project would have been taken more collegially. Furthermore, there was no public discussion on the maximum number of agencies to be involved, on how to ensure manageability during implementation and on which technical inputs in child projects would be needed to enable the program responsiveness to the three conventions.

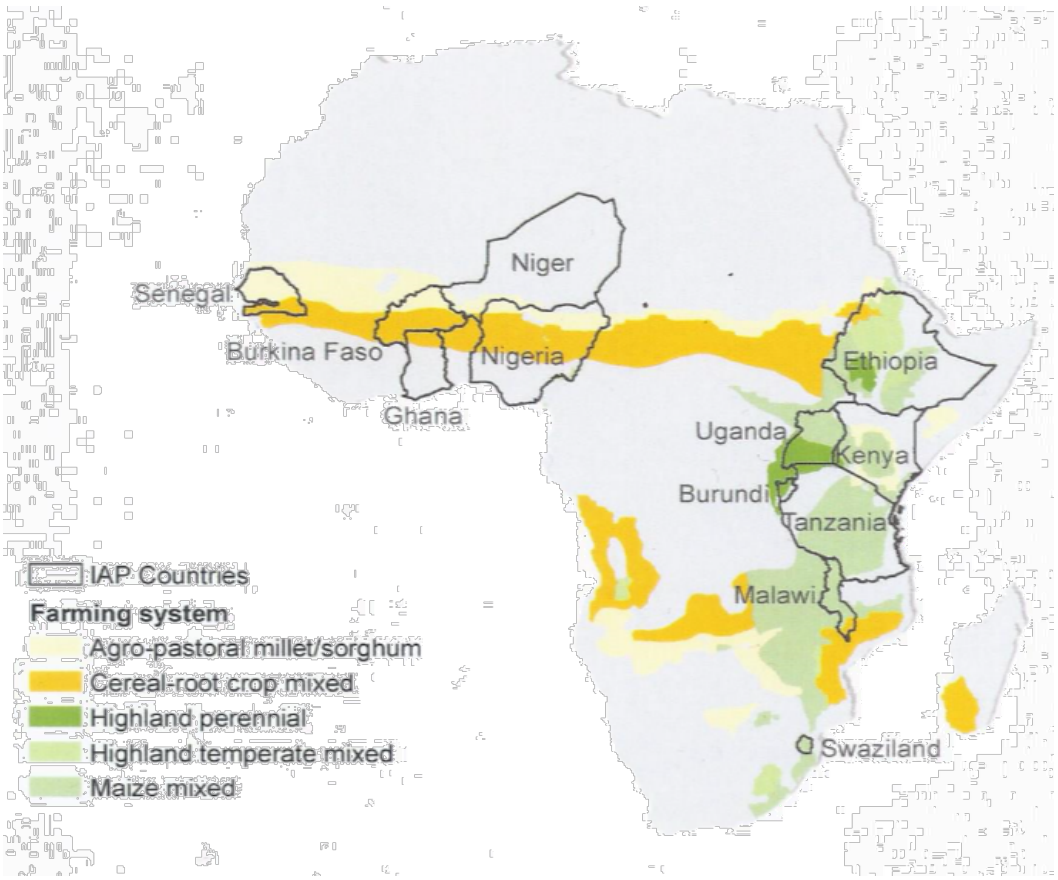
34. All the interviewed GEF Agencies critically commented on key aspects of the current GEF business model, questioning the appropriateness of the whole process of child project selection and country choice. Signing up countries requires a lot of competitive lobbying and promises being made in that process. Agencies claim that they incur in high transaction costs to convince countries to sign up to a program, with the outcome not necessarily being determined by strategic or technical considerations. IFAD reportedly spent a considerable amount of time to ensure its seven child projects in the Food Security IAP Program, and indicated that international finance institutions would be much helped in taking on lead functions in programs if they had some assurance of GEF support in signing up countries. A lead agency's investment in a programmatic approach only makes sense when it can obtain a reasonable portfolio.

35. It was also pointed out by several agencies that programmatic approaches require more financial investments to prepare from the GEF Agency than stand-alone projects. They involve kick-off meetings; bi-annual review meetings; special coordination tasks. Coordination needs to be budgeted for. In terms of administrative processes the rules of the game were not clear for a long time during the launch process, including the sub-contracting modalities between the lead agency and the various GEF and non-GEF executing partners in the hub project.

36. Country stakeholder perceptions on GEF Secretariat involvement in the launch were more positive. Twenty-six percent of survey respondents strongly agreed that the GEF Secretariat had actively promoted the IAPs and child projects in their country, and 22 percent believe the Secretariat engagement with countries in design was higher than in past projects and programs.

37. Country selection followed the criteria of the Food Security IAP Program's PFD: agroecological coverage, leverage and catalytic potential, and government interest and institutional support. Boundaries were given by the targeted major agroecological geographies, mainly dryland ecosystems in sub-Saharan Africa with a long record of concerns about food security and environmental sustainability, located in the Sahel and Eastern and Southern African high- and lowlands (Figure 8).

Figure 8: Countries and targeted geographies in Food Security IAP's child projects



38. Country selection also considered practical aspects of ensuring the potential for scaling-up in baseline projects, and bringing in experience from other non-GEF environmentally-oriented food security initiatives currently being implemented (i.e. Niger, Burkina Faso and Kenya). IFAD being the lead agency, countries were preferred where IFAD could align child projects with relevant baseline projects in similar project cycle phases.

39. Despite concerns of insufficient transparency in country selection (including selection of national executing agencies), voiced by several GEF Agencies involved, the selection fulfils most of the criteria set in the PFD. The only exception is the under-representation of the Southern Africa drylands/mountainous areas. It must be acknowledged that the Food Security IAP Program's design was conducted engaging with a broad constituency, including a wide range of relevant and experienced executing agencies.

40. There is favorable country buy-in into the Food Security IAP Program, as revealed by the country stakeholder online survey, which had substantial participation by country policy decision-makers. Respondents strongly support and appreciate the Food Security IAP approach of bringing various ministries and stakeholders together, and for developing models for replication and scaling-up of best INRM practices. Fifty-six percent of all stakeholders strongly agree that through the child projects the country will be able to bring together the various responsible ministries, agencies and other actors and the same number strongly agrees that the child projects will help with scaling up of best practices. Belief in transformative innovations through the child projects in terms of approaches, institutional arrangements and new technologies is somewhat lower, with only about one third of respondents being confident that it will happen. In terms of comparing the Food Security IAP child projects with other past GEF projects they had been involved in respondents felt clearly that child projects have stronger synergies with other projects, a higher potential for knowledge exchange and a stronger alignment with country priorities (Table 34).

Table 34: Comparison of Food Security IAP Program and child projects with past GEF projects

Topic	Answering options (percent)			
	Better	Same	Worse	Don't know
Synergies with other projects	80%	20%	0%	0%
Potential for knowledge exchange	80%	20%	0%	0%
Aligned with country priorities	71%	29%	0%	0%
Coordination with other projects in the IAP program	69%	29%	0%	3%
Monitoring of results	60%	34%	0%	6%
Role of GEF Agencies in Program design	49%	40%	0%	11%
Role of GEF Secretariat in Program design	46%	43%	0%	11%
Efficiency of program project start-up	46%	46%	0%	9%
Ability to report to multiple UN conventions	43%	37%	3%	17%
Access to funding regardless of sources	40%	40%	3%	17%

Source: Country Stakeholder Survey

41. GEF and IFAD are aware that the Food Security IAP Program's influence beyond national levels depends on working with Africa supra-national institutions. Among them, the African Union and its Environment Action Plan; UN-ECA (UN-Economic Commission for Africa); and the NEPAD-initiated comprehensive African agricultural development programme (CAADP). An IFAD staff position will be based in Addis Ababa. Closeness to the African Union in Addis enhances the Food Security IAP's policy leverage and its regional collaborative partnerships, in addition to carry out IFAD's supervision as well as fiduciary and quality control responsibilities.

Timing and delays

42. The Food Security IAP Program had been in the making for a while. Concrete ideas were presented by the GEF during a major IFPRI (International Food Policy Research Institute) conference on building resilience for food and nutrition security in Addis Ababa in early 2014. The design phase of the Food Security IAP was officially launched with a workshop for participating countries and GEF Agencies in Nairobi in February 2015. The Food Security IAP Program's PFD as well as the lead agency were approved by the GEF Council in June 2015. As of June 2017, five out of twelve country child projects are ready to take off or have already started (Burkina Faso, Kenya, Niger, Senegal and Ghana). At this moment in time, the remaining seven country child projects (Malawi, Swaziland, Tanzania, Burundi, Ethiopia, Nigeria and Uganda) as well as the hub project have been CEO endorsed.

43. The average time elapsed between approval of the Food Security IAP program framework document and the country child projects (June 4, 2015) and the date of CEO endorsement was 21 months, ranging from 11 for the Ghana child project to 25 months for the child projects in Nigeria and Tanzania. The hub project took 23 months. Average elapsed time was 22 months for FAO and UNDP (4 child projects), 17 months for the IFAD country child projects (7 child projects) and 11 months for the World Bank's single child project in Ghana.

44. GEF Agencies indicated that the concurrent development of the hub project and the child projects had some advantages particularly for the design of the hub, but it was in the end sub-optimal. Late development of the hub project also meant that sufficient interactions and thematic guidance for the child projects in terms of specific thematic interventions and on program M&E could not be provided. In addition, the communication and exchange of ideas between the child projects during design was limited. A one-day launch and information exchange workshop was organized in September 2015 in Addis Ababa, Ethiopia, for participating agencies and project designers. No follow-up to was given after the workshop. Thus, there was not much opportunity for country teams and designers to communicate amongst each other.

RBM and M&E design

45. All child projects contain an M&E strategy or plan, and almost all child projects allocate GEF grant funds to M&E. Exceptions are the child projects Burkina Faso and Kenya, where M&E is planned to take place in the context of the baseline projects. All child projects do have some common and comparable indicators with the parent and hub project, but their specific

formulation is context and child project specific. Six out of 12 child projects were found to align outcomes and indicators rather well with the PFD and tracking tools (Burkina, Nigeria, Ethiopia, Senegal, Swaziland and Tanzania). Except for the child project in Burkina Faso, all child projects show a certain degree of coherence between project and program level indicators.

46. The development of aligned, meaningful and realistic M&E tools and indicators across all child projects was somewhat handicapped since the designated M&E coordinators of the hub project (from CI and Bioversity International) were not in place at design. The hub and the child projects were largely designed parallel and separately. M&E deficiencies in design were also specifically mentioned by surveyed country stakeholders. Surveyed stakeholders worry about the overall transparency and country involvement in the M&E of child projects, the practicality and scope of the proposed multifocal tracking tool - particularly as far as biodiversity and climate change are concerned, and the nature and timing of the baseline surveys. Surveyed stakeholders expressed the anticipation that M&E capacity building will follow once the hub project team will be in place.

47. GEF expects regular reports on the implementation of the Food Security IAP at the aggregate program level. However, the scope of program level reporting, the required detailed content of individual child projects' implementation reports and the standardization needed to allow for aggregation has not yet been agreed upon among stakeholders in the program. Without aggregate M&E reporting it will not be possible to demonstrate the additionality of the program over a set of disconnected stand-alone projects.

A6.4 Mechanisms for broader adoption

48. All child projects provide specific measures or plans for (i) sustaining project interventions; (ii) replication at a comparable administrative or ecological scale; and (iii) scaling up of interventions into larger geographical areas. Only the child projects in Niger and Swaziland do not directly refer to planned mainstreaming of knowledge and lessons into laws, regulations and other programs. Seven out of 12 child projects provide measures to help catalyze market transformation (Nigeria, Kenya, Malawi, Uganda, Niger, Swaziland and Tanzania). Project level indicators show a high degree of attention and concern during design about the long-term and transformational impact of associated broader adoption mechanisms.

49. In many cases, incremental benefits in the child projects are defined in concrete measures that will support institutional engagement in the long term.[120] Burundi will be relying on inter-sectoral bodies and an SLM learning alliance and Ghana will introduce robust multi-stakeholder platforms at national, district and community levels. A water fund platform and its management will be supported in Kenya, with a private-sector water services delivery partner, plus influence on policy design and implementation for climate smart agriculture. Tanzania plans to systematically "promote village land use planning (VLUP) to develop climate change adaptation capacities, sustainable land and water management and biodiversity conservation practices". Uganda will fully integrate environment and climate concerns in development

[120] Information based on GEF CEO endorsed child project documents.

processes at sub-regional and local levels, planning forums and use of existing platforms. These examples demonstrate the range of valuable initiatives enabling broader adoption of outcomes taken by the child projects in the Food Security IAP.

50. Many of these activities are based on or are supporting the generation of knowledge products in the Food Security IAP, as well as their dissemination, often through knowledge platforms. Knowledge and learning are an integral part of the Food Security IAP, particularly through program components one 'Institutional frameworks for influencing sustainability and resilience' and three 'Monitoring and assessment of ecosystem services, global environmental benefits and resilience'.[121] As depicted in the theory of change of the hub project,[122] efforts at country level are supported by partnerships with relevant innovative knowledge institutions and science policy platforms, as well as a framework of bringing about behavioral change through enhanced awareness by individuals, groups and business partners for investments in INRM.

51. In terms of funds by component, the child projects on average allocate 73 percent of GEF funds to component two of the IAP program 'Scaling up integrated approaches for sustainability and resilience,' which is mainly related to scaling-up efforts. The remaining funds go to components one and three, 15 and 12 percent respectively. This is roughly in line with IFAD's experience indicating the importance of maintaining an effective balance between on-the-ground investments with farmers and funds provided for the enabling environment, learning and other complementary activities in its projects.[123] It was also pointed out by participants that there will be a certain inherent tension in the allocation of resources, due to the intention to plan for broader adoption and scaling-up. This would suggest a stronger focus on Component two, particularly in situations where the child project adds to or complements parallel baseline projects (IFAD and World Bank) with extensive farm level work on which to build on for scaling-up. The GEF emphasizes - for the land degradation focal area - that GEF resources should be "directly channeled toward investment in on-the-ground implementation of SLM practices to generate multiple benefits at scale."[124]

52. Sixty percent of the cofinancing in the Food Security IAP Program is provided by various government entities, including central, sectoral and decentralized agencies, followed by GEF Agency baseline projects. The remainder is split among CSOs, private sector, beneficiaries and others. A large part of cofinance is in-kind, including from the government, CSOs and beneficiaries. The World Bank child project in Ghana has a much lower cofinance ratio compared to the other child projects; 2:1 versus 9:1 respectively. The highest cofinancing ratio can be found in the Ethiopia child project ($145 million, resulting in a cofinance ratio of 14:1), coming from a sector program managed by the Ministry of Environment consisting of several ongoing country-wide agriculture and climate initiatives. The overall cofinancing ratio for the Food

[121] *Food Security IAP PFD, op. cit*., pp. 2-3.
[122] IFAD, detailed design report 'Cross-cutting capacity building, knowledge services and coordination project for the Food Security Integrated Approach Pilot Program' (GEF ID 9140), October 2016, p. 75.
[123] For IFAD, it is common that about 80% of its resources are used for activities on the ground and 20% for the enabling environment.
[124] *GEF-6 Programming Directions, op. cit.,* p. 137.

Security IAP Program (table 2) is 7:1. Cofinancing commitments, even when in-kind, offer an opportunity for partnering, scaling-up and influence for the Food Security IAP Program.

Buy-in by target groups at project, country and regional level

53. Overall, a considerably higher share of resources has been allocated to land degradation in CEO endorsed child project documents than to biodiversity and climate change; 55 percent compared to 25 percent for biodiversity and 20 percent for climate change, which is also visible in Food Security IAP Program's STAR allocations by focal area in table 12. This reflects the high priority in national environmental policies on land degradation in the SSA region. Perceptions from interviews revealed that in many child projects the biodiversity and climate change aspects apparently came more as an after-thought in project design. Some GEF Agencies also pointed that when countries applied, not all priorities in the Food Security IAP Program were fully communicated – particularly its intended multi-focal integrated approach. Lower biodiversity and climate change allocations indicate that many countries chose land degradation as their major entry point for their child project. This is in line with perceptions by the GEF Secretariat that land degradation has always been 'in the nexus of GEBs.' For a long time, GEF promoted agrobiodiversity - using tougher and more robust species - in climate stressed areas to decrease climate risks and increase resilience. However, this approach risks sidelining biodiversity and climate change objectives during implementation.

54. From GEF Agencies' point of view, focal area integration is a necessity. IFAD underlined it has found it difficult in the past to keep land degradation, biodiversity and climate change separate. In fact, all seven IFAD child projects cover multiple dimensions of agroecosystem health, such as soil properties, soil organic matters, carbon sequestration, biodiversity, water absorption and infiltration rates.

55. In many child projects the type of interventions promoted often address integrated root causes and are rather synergetic. For example, the planned improved rangeland management, fodder production or increased tree cover will not only impact on soils and land-regeneration (as in the child projects in Uganda and Burkina Faso), but also in terms of adaptation to and mitigation of climate change, and rehabilitation of plants, trees and certain animal species. Regeneration of riparian areas (as in the child projects in Ghana, Tanzania and Malawi) may contribute not only to enhanced water catchment and adaptation to climate change, but also to increased biodiversity and pollination capacities. References to biodiversity and climate change triggered through the land degradation entry point include promoting agrobiodiversity with drought resistant crops. In some cases, these extend to specific biodiversity interventions, such as the study of wild plant relatives; and including biodiversity fairs and demonstration gardens for farmers in the Burundi child project, where the diversity of crops grown is a major child project objective. Similarly, pond rehabilitation in the Niger child project, or mangrove swamp protection in the Senegal child project, indicate biodiversity-specific interventions associated with the whole farming system. In other cases, biodiversity and climate change are only superficially mentioned in child project design documents. When present, those mentions are often in terms of generic references to maintaining traditional crops and agrobiodiversity,

drought and pest-resilient crops and climate and water-smart agriculture. Overall, not all countries that allocate biodiversity and climate change funds are very strongly addressing these areas, and only few of the countries with no or relatively low funding allocations for biodiversity and climate change in their child projects promote more specific interventions in these areas. See table 35 for Food Security IAP's focal area shares by child project.

56. Most countries committed to implement the three conventions through their child projects, and there are concrete references to the conventions' major objectives in the child project design documents for eight out of 12 child projects. Almost all surveyed country stakeholders are convinced that the Food Security IAP Program and its child projects will help their country to address the conventions at multiple levels (local, national and regional). In line with the above observations on the lower attention to biodiversity and climate change compared to land degradation, there are major differences among country stakeholders' assessments about how strongly the Food Security IAP directly addresses each specific convention. While 76 percent of them sees strong support for land degradation in the Food Security IAP Program, 59 percent believes this is the case for climate change, 41 percent for sustainable forest management and only 35 percent believes this is the case for biodiversity.

57. Almost all child projects contain specific measures planned at country level through IAP program component one 'Institutional frameworks for influencing sustainability and resilience,' to enhance cooperation across different ministries, government agencies and other stakeholders. This is regarded as the strongest contribution by the Food Security IAP to help all three conventions mainstream their programs in the countries. Eighty-two percent of surveyed country stakeholders strongly agree that specific measures for in-country inter-ministerial cooperation would contribute to re-enforcing implementation of the three conventions in an integrated way to maximize synergies and generate multiple GEBs.

Table 35: Focal area shares by child project and synergies

100% land degradation
> 75% land degradation & <100%
< 75% land degradation

Note: Percentages by focal area (biodiversity, land degradation and climate change) in this table refer to shares of total GEF grant committed to focal area in CEO endorsed document (Part I, Section A).

Country and Child Project (CP) Title	GEF Agency	Focal area coverage and synergy (integration) BD / LD / CC
Burkina Faso Fostering Participatory Natural Resource Management Project	IFAD	**100% LD ; BD 0% ; CC 0%** • + BD There are several references to support biodiversity • + CC Climate change is implicitly addressed, in terms of adaptation (SLM) and to a lesser extent mitigation, such as upstream reforestation

Country and Child Project (CP) Title	GEF Agency	Focal area coverage and synergy (integration) BD / LD / CC
Burundi Support for sustainable food production and enhancement of Food security and Climate Resilience in Burundi's Highlands	FAO	**89.6% LD ; BD 10.4% ; CC 0%** • BD ++ explicitly and extensively mentioned • agricultural biodiversity in terms of diversity of crops grown including trees and livestock (Output 2.2.4) • promote agro-biodiversity through a study of wild plant relatives • biodiversity fairs and demonstration gardens to make available diverse species/varieties to farmers • concerning biodiversity and agro-biodiversity, – with potential to adapt to erratic rainfall and poor soils while contributing to better nutrition – fodder plant and weed species. • opportunities for exploitation of neglected aspects of biodiversity (local crop fruit varieties as foods, local animal breeds, leguminous fodder crops, agroforestry, market niches, medicines, biomass, etc.) use of energy efficient stoves • extensive information (including local names) was collected on trees naturally occurring on farms and relative uses, tree species used in agro-forestry systems, crop species and varieties, neglected and underutilized crops (orphan crops)
Ethiopia Integrated Landscape Management to Enhance Food Security and Ecosystem Resilience	UNDP	**94.3% LD ; BD 5.7% ; CC 0%** • BD only addressed very generally: agro-biodiversity is touched, but without much depth and focus; just one of many things • Not much on CC
Ghana Sustainable Landscape Management Project in Northern Ghana	WB	**LD 46.7% ; BD 30.7% ; CC 22.6%** • ++ BD explicitly mentioned in terms of activities for scaling-up of bio-diversity management: - The program will expand biodiversity friendly activities within the Western Wildlife Corridor and CREMA (Community Resource Management Areas) - Theory of Change expresses BD goals specifically: 1. Maintain plant cover and incorporate more perennials “to improve the habitat for predators and parasitoids of crop pests” and to ensure “bio-connectivity for local bio-diversity” 2. Promote multi-cropping … 3. Recycling of crop residues and livestock manure … • + CC: Coping with CC effects is implicitly there
Kenya Establishment of the Upper Tana Nairobi Water Fund	IFAD	**LD 50.0% ; BD 25.0% ; CC 25.0%** • ++ BD/CC Definitely, an integrated multi-focal area approach was taken in this case; the main activities include SLM, riparian management, wetlands protection, reforestation, agro-forestry practices, terracing of hill slopes, improved stoves, biogas • Youth employment in bio-physical conservation and tree nurseries

Country and Child Project (CP) Title	GEF Agency	Focal area coverage and synergy (integration) BD / LD / CC
Malawi Enhancing the Resilience of Agro-Ecological Systems (ERASP)	IFAD	**LD 61.2% , BD 17.6%, CC 21.2%** • + CC implicitly: climate change risk reduction; mentioned in text o Reforestation and regeneration of vegetation cover (565 hectares) o Mitigation: introduction of efficient cook stoves; sustainable charcoal supply, alternative energy project o Biomass energy production • BD rather perfunctorily dealt with; BD: drought tolerance and pest resilience of indigenous crops and animal varieties; claims to be able to achieve 2000 ha of conservation of genetic diversity
Niger Smallholder agricultural development programme	IFAD	**100% LD ; BD 0% ; CC 0%** • BD + explicitly mentioned in terms of pond rehabilitation (plus reference to Aichi BD 6, 9, and 11): Conservation of biodiversity through (1) creation of ponds in Ramsar sites and (2) developing passage corridors to eliminate invasive plant species. • CC + implicitly everywhere present in the Sahel • "All GEF activities support enhanced carbon-capture in the soil (re-greening, dune protection, live hedges, ponds)"
Nigeria		**100% LD ; BD 0% ; CC 0%** • BD - not much reference to BD • Perfunctory for CC, only indirectly in terms of Climate Smart Agriculture (CSA)
Senegal Agricultural Value Chains Support Project	IFAD/ UNIDO	**90% LD ; BD 0% ; CC 10%** • + CC is implicitly mentioned (as climate variability); but in particular, and more explicitly, in terms of alternative energy source development (UNIDO technology in greening value chains) • + BD is definitely there in mangrove swamp protection; to some extent in better crop/livestock residual use integration (but not strongly emphasized)
Swaziland Climate-Smart Agriculture for Climate-Resilient Livelihoods (CSARL)	IFAD	**LD 72.5% ; BD 12.5% ; CC 15.0%** • + CC Climate resilience (adaptation) is explicitly dealt with – also under the impression of the severe drought in Swaziland • + BD, implicitly addressed through various agro-forestry and agro-biodiversity related activities, innovation fund; and by "fostering biodiversity through carbon sequestration" through LD, forestry, management approvals for grazing on communal land

Country and Child Project (CP) Title	GEF Agency	Focal area coverage and synergy (integration) BD / LD / CC
Tanzania Reversing Land Degradation trends and increasing Food Security in degraded ecosystems of Semi-arid areas of central Tanzania	IFAD	**LD 21.9% ; BD 52.1% ; CC 26.0%** • ++ BD explicitly mentioned in biodiversity conservation and value chain development, business coaches would train among others on non-timber forest productions, wild fruits, medicinal plants etc. • ++ CC: Introduction of ex-ante carbon tool (EX-ACT), developed by FAO, to be used to prioritize mitigation options in agriculture o "Conservation of habitats sustaining drylands; biodiversity will be an integrated activity" o Support for formal introduction of integrated village land use planning (VLUP) at various levels (as part of component 1) is a key element of an integrated approach
Uganda Fostering Sustainability and Resilience for Food Security in Karamoja sub region	UNDP/ FAO	**LD 75.8% ; BD 24.2% ; CC 0%** • + BD and CC (implicit); many activities around INRM, rangeland management and fodder value chain, regeneration of soil cover are implicitly recognizing BD and CC aspects; plus introduction of multifocal area M&E tools

ANNEX 7: EVALUATION MATRIX

Key questions / indicators / what to look for	Evaluation criteria	Level	Sources of information	Methodology	Responsibility
1. To what extent is the IAP integrated programming concept - as applied to the three IAPs - truly integrated and does it differ from existing (non-) programmatic approaches?					
1. a. To what extent is the IAP integrated programming concept aligned with GEF-6 Programming Directions and the STAR resource allocation framework?			Program and project documents World Bank, Habitat and ADB documents	Desk analysis Project review protocol	IEO Evaluator Senior consultants Research analyst
Objectives and priorities of the program and its child projects are aligned with one another	Relevance	Strategic			
Objectives and priorities of program and its child projects are aligned with GEF-6 Programming Directions					
Origins and rationale of GEF-6 Programming Directions alignment regarding urban sustainability (Cities IAP)					
Objectives and priorities of the program and its child projects are aligned with STAR resource allocation framework					
Evidence of alignment of IAP programs with the STAR resource allocation framework					
Evidence as to whether STAR allocation affected countries' willingness to participate in IAP programs					
Evidence of coherence and integration in program design					
Profile of standard GEF project approaches in urban / commodities / food security interventions					
Approaches of other key international programs fostering urban sustainability / focusing on agricultural commodities and global deforestation / food security.					

Key questions / indicators / what to look for	Evaluation criteria	Level	Sources of information	Methodology	Responsibility
1.b. To what extent does the IAP integrated programming concept promote synergies between GEF focal areas?			Program and project documents	Desk analysis Project review protocol	IEO Evaluator Senior consultants Research analyst
PFD and CP results frameworks contain outcome and impact indicators that contribute to results across GEF focal areas	Relevance	Strategic			
Focus on major drivers, in the PFD and child project documents, that promote synergies in delivering focal area strategies					
Focal area alignment in the PFD and child project documents					
Rationale for the selection of some GEF focal areas aligned with the three individual IAPs					
Rationale for non-inclusion of LCDF/SCCF (an adaptation component) as focal area in the three individual IAPs					
1.c. To what extent does the IAP integrated programming concept demonstrate alignment of priorities across scales (local/cityscape, national and global)?			Program and project documents Key stakeholders of GEF, GEF Agencies, national and city government officials	Desk analysis Project review protocol Interviews	IEO Evaluator Senior consultants Research analyst
Specific measures planned at country level to enhance cooperation across ministries, agencies and other stakeholders; strategies; and at multiple levels	Relevance	Strategic			
Stakeholder group includes agencies at multiple scales					
Common priorities found in strategies and programs of stakeholder agencies across multiple scales					
Planning documents acknowledge the need for alignment across scales					
Stakeholders can articulate common priorities and the mechanisms for alignment across scales					
Review of existing governance, power and decision-making structures in the countries and specific locations/cities selected					
Do PFD and child project documents show sensitivity to the differences in existing governance, power and decision-making structures in countries and specific locations/cities selected?					

Key questions / indicators / what to look for	Evaluation criteria	Level	Sources of information	Methodology	Responsibility
1.d. To what extent does the IAP integrated programming concept provide additionality in terms of innovative approaches/processes/thinking and issues, compared to standard project approaches and previous programmatic approaches?			Program and project documents Key stakeholders of GEF, GEF Agencies, conventions	Desk analysis Project review protocol Interviews	IEO Evaluator Senior consultants Research analyst
Perceptions on coherence and integration	Relevance	Strategic			
Frequency and quality of references to innovative approaches, processes and thinking					
Evidence of innovative approaches, processes and thinking in program design					
2. To what extent does IAP integrated programming concept - as applied to the three IAPs - enable the GEF to fulfil its mandate vis-à-vis the conventions?					
2.a. To what extent does the IAP integrated programming concept demonstrate alignment with global environmental benefits (GEBs)?			Program and project documents Key stakeholders GEF, GEF Agencies, conventions	Desk analysis Interviews	IEO Evaluator Senior consultants
Program and child project results frameworks contain outcome and impact indicators that contribute to multiple GEBs across GEF focal areas	Relevance	Strategic			
Program and child project results frameworks contain GEB targets					
Level of complementarity between GEBs and (local) sustainability goals					
2.b. To what extent does the IAP integrated programming concept promote synergies between Multilateral Environmental Agreements (MEAs)?			Program and project documents	Desk analysis Project review protocol Interviews	IEO Evaluator Senior consultants Research analyst
Focus on major drivers, in the PFD and child project documents, that promote synergies in implementing MEAs	Relevance	Strategic			
Evidence of linkages through activities that are planned for sequential, synergistic associations and have cause-effect relationships for focal area strategies and implementing MEAs					
Concrete references in PFD and child project documents to the conventions' major objectives					

Key questions / indicators / what to look for	Evaluation criteria	Level	Sources of information	Methodology	Responsibility
3. To what extent has the IAP integrated programming concept - as applied to the three IAPs - harnessed the comparative strengths, advantages and unique selling points of the GEF Agencies, STAP, the GEF Secretariat and broader constituencies and partnerships?					
3.a. Part 1 - To what extent are Lead and Implementing Agencies chosen based on comparative advantage?			Program and project documents Sustainable cities / urban focused documentation of GEF Agencies Key stakeholders GEF, GEF Agencies	Desk analysis Interviews	IEO Evaluator Senior consultants Research analyst
Technical experience in the relevant themes: # and quality of relevant publications; length of work on the theme	Relevance	Strategic, Process			
Lead and Implementing Agencies active in targeted ecosystems in Africa, Southeast Asia and Latin America and the Caribbean: # of projects, length of engagement					
Resources and connections deployed for dialogue with governments and scaling up: leverage and catalytic potential; cofinancing funds, # of staff in the field					
Trusted by governments, regional institutions and non-Government agencies to mobilize and coordinate institutional support					
Lead and implementing agencies successfully worked with GEF in other projects and programs before					
Good practice examples of World Bank leadership in coordination and partnerships: support through platforms, GPSC, capacity and partnerships (Cities IAP)					
GEF facilitation of inter-agency collaboration in child project design and preparation					
Start-up efficiency and innovation of child project agencies: project status and delays, compliance with partnership and administrative requirements (i.e. reporting)					
World Bank's convening power across sectors and regions, its track-record in urban sustainability investments (Cities IAP)					
Child project agencies' engagement in support of governments operational needs for urban development (Cities IAP)					
Involvement of child project agencies in areas of urban and global sustainability relevant to Cities IAP (Cities IAP)					

Key questions / indicators / what to look for	Evaluation criteria	Level	Sources of information	Methodology	Responsibility
3.b. To what extent is the GEF an opportune key partner with a comparative advantage for tackling urban sustainability issues / the drivers for deforestation / the drivers for food insecurity and INRM more holistically			Program and project documents Key stakeholders of GEF, GEF Agencies and STAP	Desk analysis Interviews	IEO Evaluator Senior consultants
GEF has specialized technical capacity and track record to work on urban sustainability / deforestation / food security issues?	Relevance	Strategic, Process			
GEF has specialized technical capacity and track record to work more holistically across different focal areas?					
GEF has institutional experience to work multi-institutionally and multi-scale (local/cityscape, national, regional)					
GEF brings in grants to generate critical mass to address problems that are not covered by others?					
Good practice examples of GEF secretariat coordination in designing and launching the IAP programs					
STAP intellectual leadership and quality control over IAPs' program design and review					
GEF's IAP financing to address global urban / deforestation / food security issues with multiplier effects by pooling with other cofinancing sources					
3.c. How does the GEF and GEF Agencies engage with a broader constituency in IAP program design and start-up?			Program and project documents Key stakeholders of GEF, GEF Agencies, private sector and CSOs	Desk analysis Project review protocol Interviews	IEO Evaluator Senior consultants Research analyst
Have (in)formal public-private partnerships (PPPs) been developed as part of the three IAPs?	Relevance	Strategic, Process			
Has the private sector been engaged in the program and project design process?					
Have (in)formal partnerships been developed with civil society organizations as part of the three IAPs?					
Have CSOs been engaged with as part of the IAPs' design and start-up?					

Key questions / indicators / what to look for	Evaluation criteria	Level	Sources of information	Methodology	Responsibility
3.c. How does the GEF and GEF Agencies engage with a broader constituency in IAP program design and start-up?			Program and project documents Key stakeholders of GEF, GEF Agencies, private sector and CSOs	Desk analysis Project review protocol Interviews	IEO Evaluator Senior consultants Research analyst
Concrete references in PFD and child project documents to engagement with and roles for private sector partners	Relevance	Strategic, Process			
Concrete references in PFD and child project documents to engagement with and roles for CSOs					
Private and civil society partners can articulate common priorities and the mechanisms to be employed to ensure multi and cross sectoral alignment					
3.d. To what extent does the GEF work in collaborative partnerships in IAP program design and start-up?			Program and project documents Sustainable cities / urban focused documentation of GEF Agencies Key stakeholders of GEF, GEF Agencies, UN conventions, STAP and private sector	Desk analysis Project review protocol Interviews	IEO Evaluator Senior consultants Research analyst
Design and start-up harnessed the comparative strengths of the Agencies, STAP and the GEF secretariat	Relevance	Strategic, Process			
Program design to engage a broader constituency beyond the traditional entities					
Partnerships - extent to which the IAP works in concert with relevant external stakeholders germane to sustainable and supply and deforestation					
# of stakeholders contributing to the design and implementation of the IAP					
How has the private sector been involved in the IAPs' design and start-up?					
Has the private sector been considered as a partner in urban development and infrastructure? (Cities IAP)					
Arrangements in PFD and CP documents and budgets for partnering, collective action, new supportive policies and incentives, at program, project, country and regional level					

Key questions / indicators / what to look for	Evaluation criteria	Level	Sources of information	Methodology	Responsibility
4. To what extent have gender and resilience been taken into account in the three IAPs' design?					
4.a. Gender: evidence of any gender analysis, gender disaggregated or sensitive indicators and targets in IAP programs and CP documents, or proof of other measures to address gender differences and promote gender equality?			Program and project documents M&E planning documents Interviews GEF, GEF Agencies, national and city government officials	Desk analysis Project review protocol Online survey Interviews	IEO Evaluator Senior consultants Research analyst
PFD and child project documents contain gender in the (1) context description, (2) partner description, (3) project description, and/or (4) gender specific objectives and activities?		Process, Portfolio - Program and CP level			
Program and child project results frameworks and tracking tools contain (1) gender disaggregated indicators, and/or (2) gender specific indicators?					
Was a gender analysis, or social assessment with gender component, conducted at design?					
Do the PFD and child project documents include a gender mainstreaming strategy or plan?					
Share of men and women involved in project design?					
Share of men and women targeted as direct beneficiaries?					
To what extent were gender experts included in the projects' design and start-up?					
Quality at entry gender rating for the programs and child projects					
Share of project cost for specific gender objectives or activities?					
Share of men and women identified in lead roles in program and project management					

Key questions / indicators / what to look for	Evaluation criteria	Level	Sources of information	Methodology	Responsibility
4. To what extent have gender and resilience been considered in the three IAPs' design?					
4.b. Resilience: evidence of any strategic resilience analysis, resilience indicators and targets in IAP programs and CP documents?			Program and project documents M&E planning documents Interviews GEF, GEF Agencies, national and city government officials	Desk analysis Project review protocol Online survey Interviews	IEO Evaluator Senior consultants Research analyst
Resilience is used in the PFD and child project documents (1) as part of project risk management, (2) as a specific co-benefit, (3) resilience is integrated into a multiple benefits framework		Process, Portfolio - Program and CP level			
Resilience as used in the PFD and child project documents makes reference to (1) resilience in a more static system sense, (2) incremental adaptation, and (3) transformational changes					
Program and child project results frameworks and tracking tools contain resilience focused indicators?					
Mention and/or use of RAPTA in PFD and child project documents					
Mention and/or use of alternative resilience guidelines or tools in PFD and child project documents					
Share of project cost for specific resilience objectives or activities?					
Perceptions on usefulness, difficulty, actual use, etc. of resilience concept(s) (if applied) with involved stakeholders					
Perceptions on usefulness, difficulty, actual use, etc. of resilience tools used with involved stakeholders					

Key questions / indicators / what to look for	Evaluation criteria	Level	Sources of information	Methodology	Responsibility
5. How efficiently has the design and launch process of the three IAP programs been, and what has been the buy-in by the target groups thus far?					
5.a. Evidence of coherence and child projects-to-program integration in IAP programs' design?			Program and project documents Urban sustainability literature review Interviews GEF, GEF Agencies, national and city government officials	Desk analysis Project review protocol Interviews	IEO Evaluator Senior consultants Research analyst
Coherence in Objectives and design established across projects: number of child projects aligned	Relevance, Efficiency	Strategic, Process			
Coherence of PFD regarding international urban sustainability policies and best practices (Cities IAP)					
Global cross-cutting child project (hub) supports program integration through establishing three platforms: timing of platform establishment, demonstrated contributions during child project design, references to innovative ways in hub child project/platform design, content, and operation					
Role of IAP coordinator and AML Manager under the Adaptive Management and Learning Project is well defined and demonstrates clear reporting lines within the Coordination Structure project (Commodities IAP)					
Alignment of objectives and priorities of PFD and country child projects and selection of participating cities (Cities IAP)					
Differences in objectives and intended outcomes in IAP child projects compared to (i) other project or program cofinanciers and (ii) previous phase(s) of project or program with or w/o GEF contribution					
Relevance of country child projects to local and national urban sustainability priorities as identified by GEF Agencies (Cities IAP**)**					
Quality of implementation arrangements of country child projects and their likelihood of attaining projected outputs and outcomes					
Potential of the GPSC (hub-project) as designed, launched and organized to function as the coordination mechanism for the Cities IAP (Cities IAP)					
Potential of RT to interface the Cities IAP with global communities of practice in urban sustainability (Cities IAP)					

Key questions / indicators / what to look for	Evaluation criteria	Level	Sources of information	Methodology	Responsibility
5.b. Evidence of coherence and integration of M&E common standards and baselines in IAP programs' and projects' RBM and M&E design?			Program and project documents M&E planning documents	Desk analysis Project review protocol	IEO Evaluator Senior consultants Research analyst
Programs and child projects have SMART indicators in results framework and tracking tools	Relevance	Strategic, Process, Portfolio - Program and Child Projects (CP)			
Common standards for program/project monitoring and reporting developed					
Extent to which M&E baselines have been established or are being planned for CPs					
M&E burden for parent vis-à-vis CPs					
Coherence of Project Results Frameworks across the portfolio and with the hub-projects' metrics					
5.c. IAP programs' and projects' design modalities and costs			Program and project documents Urban sustainability literature review Sustainable cities / urban focused documentation of GEF Agencies Interviews GEF, GEF Agencies and STAP	Desk analysis Project review protocol Interviews	IEO Evaluator Senior consultants Research analyst
Alignment, or the lack thereof, of cofinanciers conditionalities with CP objectives and intended outcomes	Efficiency, Relevance	Strategic, Process, Portfolio - Program and Child Projects (CP)			
Program / project design was done in a consultative and participatory way					
PFD and CP design was sufficiently contextualized in specific country context					
Evidence for alignment of IAP programs with the STAR resource allocation framework					
Evidence for the way that access to additional funding sources through STAR affected country willingness to participate in IAP programs as compared with previous GEF projects					
Program concept development from STAP background paper to PFD via GEF secretariat and World Bank collaboration **(Cities IAP)**					
Were PPG amounts for project preparation and other mobilization of technical capacities sufficient for the program and project design?					

Key questions / indicators / what to look for	Evaluation criteria	Level	Sources of information	Methodology	Responsibility
5.d. To what extent was country selection based on relevance and established criteria?			Program and project documents Urban sustainability literature review Sustainable cities / urban focused documentation of GEF Agencies Interviews GEF and GEF Agencies	Desk analysis Project review protocol Interviews	IEO Evaluator Senior consultants Research analyst
Is the selection of target countries and target cities **(in the case of Cities IAP)** based on relevance?	Relevance	Strategic, Process, Portfolio - Program and Child Projects (CP)			
PFD and CP design documents articulate a definition of 'relevance' for country / city selection. Or, were the criteria for selection suitably established?					
To what extent do PFD and CP design documents articulate the case for selection based on relevance?					
To what extent were the selected cities the most appropriate, based on their relevance / need for more sustainable urban development? **(Cities IAP)**					
# of CP documents reference MEAs					
# of CP documents reference to IAPs' expected key results					
# of CP documents reference focal area strategies					
# of cities that are members of global cities coalitions **(Cities IAP)**					
# of CP documents that reference Paris Agreement; The Sendai and Addis Ababa Agreements and Habitat III **(Cities IAP)**					
Comparisons/ranking of development need found in program and project design documents					
Identified development need aligns with SDGs.					
GEF agency personnel can articulate and justify selection of cities based on comparative need with other cities' development needs **(Cities IAP)**					

Key questions / indicators / what to look for	Evaluation criteria	Level	Sources of information	Methodology	Responsibility
5.e. Buy-in by target groups at project, country and regional level			Program and project documents Interviews GEF, GEF Agencies, national and city government officials	Desk analysis Project review protocol Online survey Interviews	IEO Evaluator Senior consultants Research analyst
Engagement, ownership and buy-in are addressed in PFD and CP design documents	Relevance	Strategic, Process, Portfolio - Program and Child Projects (CP)			
Kind of engagement, ownership and buy-in articulated in PFD and CP design documents					
Perception of stakeholders on the consultation and participation processes, ownership and buy-in in program and CP design by GEF Agencies					
Stakeholders' role in project planning, management and delivery articulated in program and CP design documents					
Number and type of actions taken at this point at the project, country and regional level, i.e. designation of institutions, allocation of offices and staffs to CPs					
Stakeholders committing personnel to the program and projects					
Stakeholders committing cofinancing to the program and CPs					
Stakeholders integrating IAP programs' and project information into their strategic and planning documents					
Type of personnel assigned to and engaged in IAP programs and projects					
Stakeholders can articulate the nature of their involvement					
Stakeholders can articulate program vision, goals and objectives					

Key questions / indicators / what to look for	Evaluation criteria	Level	Sources of information	Methodology	Responsibility
6. Have funding sources been strategically allocated for integrated programming (i.e. GEF set aside funding, cofinancing leverage)?					
Are PPP's being examined as options for further implementation? Are PPP's being examined as funding source for further future financing?	Relevance, Efficiency	Process, Portfolio - Program and CP level	Program and project documents Interviews GEF, GEF Agencies, national and city government officials	Desk analysis Project review protocol Interviews	IEO Evaluator Senior consultants Research analyst
Role and sector contributions of private sector cofinancing in country CPs					
Alignment of cofinanciers' priorities with CP objectives and intended outcomes					
GEF funding by programming direction as shown in PFD and CP documents					
Logic for GEF funding by programming direction					
Type of cofinanciers (GEF Agency, other multi-lateral non-GEF agency, bilateral aid agency, foundation/trust fund, micro-finance institute, CSO/(I)NGO, national government, local/city government, private sector, beneficiaries, other, namely...) by programming direction in PFD and CP documents					
Type of cofinancing modalities (in-kind, cash, grant, public investment, equity, concessional debt (25% grant component), loan, guarantee or risk-sharing instrument) by programming direction in PFD and CP documents					
Benefits and limitation of used cofinancing modalities					

Key questions / indicators / what to look for	Evaluation criteria	Level	Sources of information	Methodology	Responsibility
7. To what extent are there mechanisms for broader adoption (mainstreaming, scale-up, replication, market transformation), features that enable knowledge capture and mechanisms for learning from previous projects?					
7.a. To what extent are there mechanisms for broader adoption (mainstreaming, scale-up, replication, market transformation)?			Program and project documents Urban sustainability literature review Interviews GEF, GEF Agencies, national and city government officials	Desk analysis Project review protocol Interviews	IEO Evaluator Senior consultants Research analyst
What is the envisaged role of the private sector in replication, scale up and further market transformation?	Relevance, Efficiency				
Existing mechanisms for institutional capacity building mentioned in PFD and CP documents, covering enabling policy environment for broader adoption					
Existing mechanisms for scaling-up mentioned in PFD and CP documents.					
PFD and CP design documents demonstrate projects are drawing from lessons learnt from previous and on-going urban sustainability / commodities / food security projects					
CPs promote further uptake by more cities nationally of urban sustainability approach as promoted by Cities IAP **(Cities IAP)**					
Consolidation of IAP programs' approaches, in PFD, GEF-6 programming directions and linkages with GEF 2020 strategy, to ensure continuation beyond current commitments					

Key questions / indicators / what to look for	Evaluation criteria	Level	Sources of information	Methodology	Responsibility
7.b. What are the design features enabling knowledge capture?			Program and project documents Sustainable cities / urban focused documentation of GEF Agencies Interviews GEF, GEF Agencies, national and city government officials	Desk analysis Project review protocol Interviews	IEO Evaluator Senior consultants Research analyst
Existing mechanisms for institutional capacity building in PFD and CP documents, covering effective knowledge and learning	Relevance, Efficiency				
Mechanisms for informed decision making in PFD and CP documents					
Potential of hub-projects and RT (stand-alone resource project, **Cities IAP specific**) to create opportunities for knowledge capture and dissemination among participating cities and beyond **(Cities IAP)**					
Potential of GEF Secretariat and GEF agencies for integrating lessons learned through IAP programs in their operational practices					
7.c. How does the design ensure learning from previous projects incorporated in this project?			Program and project documents Sustainable cities / urban focused documentation of GEF Agencies Interviews GEF, GEF Agencies, national and city government officials	Desk analysis Project review protocol Interviews	IEO Evaluator Senior consultants Research analyst
PFD and CP design documents include lessons learnt from previous PAs	Relevance, Efficiency				
Potential of hub-projects, based on PFD and CP documentation and interviews with stakeholders, to provide access to global experience					
Potential of hub-projects, based on PFD and CP documentation and interviews with stakeholders, to act as a conduit between country CPs, regional projects, global focus of IAP programs and cities across participating countries					
Potential of RT (stand-alone resource project), based on PFD and CP documentation and interviews with stakeholders, to draw from a global platform of cases, references, examples and best practices that feed into implementation **(Cities IAP)**					

ANNEX 8: LIST OF KEY STAKEHOLDERS CONSULTED

Name	Title / Function	Organization	IAP program	Location
Mahamat Assouyouti	GEF Coordinator	AfDB	Cities	Cote d'Ivoire
João Francisco Adrien		Sociedade Rural Brasileira (SRB)	Commodities	Brazil
Eduardo Allende		UNDP	Commodities	Paraguay
Gabriela Honnicke Antures		Ministry of Environment	Commodities	Brazil
Margarita Astralaga		IFAD	Food Security	
Judy Baker	Lead Urban Specialist, Advisor to the GPSC	World Bank	Cities	Washington, DC
Mohamed Bakarr		GEF Secretariat	Food Security	
Karine Barcelo		Conservation International	Commodities	Brazil
Rolando de Barros Barreto		Ministry of Environment (SEAM)	Commodities	Paraguay
Gino Van Begin	Secretary General	ICLEI	Cities	Germany
Fritjof Boerstler			Food Security	
Andrew Bovarnick		UNDP	Commodities	Panama
John Buchana		Conservation International	Commodities	Brazil
Melchiade Bukuru	Chief of the Liaison Office	UNCCD	All programs	Washington, DC
Gustavo Candia	Jefe de Gabinete	Municipalidad de Asunción	Cities	Paraguay
Luvys Cañete		Asociación Global Chaco	Commodities	Paraguay
Isabelle Celine Kane	Task Team Leader Senegal	The World Bank	Cities	Senegal
Paxina Chileshe		IFAD	Food Security	
Geordie Colville	Task Manager, GEF Coordinator	UNEP	Cities	South Africa
Ruth Coutto	Task Manager	UNEP	Cities	Brazil
Hector Cristaldo		Union de Gremios de la Producción – Production Union	Commodities	Paraguay
Bruce Dunn	GEF coordination officer	ADB	Cities	Vietnam
Paula Durruty		National Forest Institute (INFONA)	Commodities	Paraguay
Karem Elizeche		Ministry of Environment (SEAM)	Commodities	Paraguay

Ethel Estigarribia		National Bureau of Climate Change	Commodities	Paraguay
Ilaria Firmian		IFAD	Food Security	
Alexander Fischer		UNDP	Commodities	Panama
Ami Fraenkel		CBD	Food Security	
Veronique Gerard	Task Manager	UNDP	Cities and Commodities	Paraguay
Laurent Granier	GEF coordination officer	World Bank	Cities	Washington, DC
Jeff Griffin			Food Security	
Stephen Hammer	Climate Change Manager	World Bank	Cities	Washington, DC
Rebbie Harawa		AGRA	Food Security	
Carlos Andres Hernandez	Regional Technical Advisor	UNDP	Cities	Paraguay
Niels Holm-Nielsen	Global Lead Specialist for Resilience and Disaster Risk Management	World Bank	Cities	Washington, DC
Gabriela Huttemann		Asociación Global Chaco & National Office of Climate Change in Paraguay	Commodities	Paraguay
Fareeqah Ibkal		GEF Secretariat	Food Security	
Ede Jorge Ijjasz-Vasquez	Senior Director Cities GP	World Bank	Cities	Washington, DC
Satoshi Ishi	Task Manager	ADB	Cities	Vietnam
Hubert Jenny	Principal Infrastructure Specialist, Former Task Manager	ADB	Cities	Vietnam
Bashir Jama		AGRA	Food Security	
Devra Jarvis		Biodiversity International	Food Security	
Gayatri Kaungo		World Bank	Food Security	
Phemo Kgomotso		UNDP	Food Security	
Alejandro Kilpatrick		UNFCCC	Food Security	
Robin King	Director of Urban Development	WRI Ross Center for Sustainable Cities	Cities	Washington, DC
Gernot Laganda		IFAD	Food Security	

Tonilyn Lim	Task Manager	UNIDO	Cities	India, Malaysia
Vitor de Lima Magalhães		Ministry of Planning, Development and Management	Commodities	Brazil
Datuk Nik A Faizul Bin Abd Mallek	Program Director	Cleantech Innovation and Sustainable Cities	Cities	Malaysia
Maria Elena Mangiafico		IFAD	Food Security	
Diego Di Martino		ADM	Commodities	Brazil
Moses Massah		UNDP	Commodities	Liberia
Joanna Mclean Masic	Task Manager	World Bank	Cities	China
Rodrigo Medeiro		Conservation International	Commodities	Brazil
Marcos Medina		Ministry of Agriculture and Livestock (MAG)	Commodities	Paraguay
Alfredo S. Molinas M.		Union de Gremios de la Producción – Production Union	Commodities	Paraguay
Stefano Mondovi			Food Security	
Estibalitz Morras		IFAD	Food Security	
Sheila Mwanundu		IFAD	Food Security	
Torben Nilsson		IFAD	Food Security	
Andrea Nunes		Ministry of Science, Technology, Innovation and Communications	Commodities	Brazil
Rikke Olivera		IFAD	Food Security	
Maria Eugenia de la Peña	Task Manager	IDB	Cities	Mexico
Milciades Javier Pacce		Ministry of Environment, Regional Government of Boquerón	Commodities	Paraguay
Eric Patrick		IFAD	Food Security	
Rosenely Peixoto		UNDP	Commodities	Brazil
Maelle Peltier		IFAD	Food Security	
Lauren Phillips		IFAD	Food Security	
Tomas Rath		IFAD	Food Security	
Bertrand Reysset		IFAD	Food Security	

Isis Smidt Lara Resende		Ministry of Planning, Development and Management	Commodities	Brazil
Tania Delfino Ribeiro		Ministry of Planning, Development and Management	Commodities	Brazil
Abog María José Roig		National Forest Institute (INFONA)	Commodities	Paraguay
Alice Ruhweza		Conservation International	Food Security	
Ralph Simms	Advisor	STAP	Cities	New Zealand
Marieta Sakalian		UNEP	Food Security	
Roland K. Sandstrom		GEF Secretariat	Food Security	
Fabio Scarano		Fundação Brasileira para o Desenvolvimento Sustentável (FBDS)	Commodities	Brazil
Philippe Scholtes		UNIDO	Food Security	
Lizzie Schueler		WWF	Commodities	Washington, DC
Meryem Sghir		UNIDO	Food Security	
Jean Marc Sinassamy		GEF Secretariat	Food Security	
Fergus Sinclair		ICRAF	Food Security	
Pedro Tiê Candido Souza		Ministry of Foreign Affairs B46	Commodities	Brazil
Doddy Surachman		UNDP	Commodities	Indonesia
Xiaomei Tan	Cities IAP Task Manager	GEF Secretariat	Cities	Washington, DC
Anna Tengberg	Consultant	IFAD	Food Security	
Brian Thomson		IFAD	Food Security	
Darlington Tuagben		Forest Development Authority	Commodities	Liberia
Debra Turner			Food Security	
Stephen Twomlow		IFAD	Food Security	
Ricardo de Vecchi	Task Manager	IDB	Cities	Peru
Yolando Velasco		UNFCCC	Food Security	
Rodrigo Vieira		Ministry of Environment	Commodities	Brazil
Sameh Wahba	Urban Director	World Bank	Cities	Washington, DC
Xueman Wang	Task Team Leader	World Bank	Cities	Singapore

Bruce Wise		IFC	Commodities	Washington, DC
Ann Woodfine	Consultant	FAO	Food Security	
Ana Yaluff		ADM	Commodities	Paraguay
Victor Yambay		National Forest Institute (INFONA)	Commodities	Paraguay

REFERENCES

Barona, E., Ramankutty, N., Hyman, G., and Coomes, O.T., 2010. The Role of Pasture and Soybean in Deforestation of the Brazilian Amazon, 2010. Environmental Research Letters 5(2).

Béné, C., Godfrey-Wood, R., Newsham, A., and Davies, M., 2012. Resilience: New utopia or new tyranny? Reflection about the potentials and limits of the concept of resilience in relation to vulnerability reduction programmes. IDS working Paper 405. Brighton: Institute of Development Studies (IDS). ISBN 978 1 78118 091 4.

Béné, C., Mehta, L., McGranahan, G., Cannon,T., Gupte, J., and Tanner, T., 2017. Resilience as a policy narrative: potentials and limits in the context of urban planning, Climate and Development Journal, March 2017, 1-18. ISSN 1756 5537.

Brack, D., Glover, A., and Wellesley, L., 2016. Agricultural Commodity Supply Chains: Trade, Consumption and Deforestation, January 2016. Energy, Environment and Resources. ISBN 978 1 78413 108 1.

Brown-Lima, C., Cooney, M., and Cleary, D., 2010. An overview of the Brazil-China Soybean Trade and its Strategic Implications for Conservation, 2010. Arlington, VA: The Nature Conservancy.

Brusinsma, J., 2009. The Resource Outlook to 2050: by how much do land, water and crop yields need to increase by 2050? Paper presented at the FAO Expert Meeting 24-26 June, 2009 on "How to Feed the World in 2050?"

Bustamante, M.M.C., Nobre, C.A., Smeraldi, R., and Ometto, J.P.H.B., 2012. Estimating greenhouse gas emissions from cattle raising in Brazil, 2012. Climate Change 115.

ECOSOC, 2016. Report of the Secretary-General, Progress towards the Sustainable Development Goals, June 2016. Document number E/2016/75. New York, NY: United Nations Economic and Social Council (ECOSOC).

GEF, 2013. Draft GEF-6 Programming Directions – Part II, August 2013. Replenishment Meeting Document GEF/R.6/13/Rev.01, 66. Washington, DC: Global Environment Facility (GEF).

GEF, 2013. System for Transparent Allocation of Resources (STAR), March 2013. Policy Document PL/RA/01. Washington, DC: Global Environment Facility (GEF).

GEF, 2014. Background Document - Global Environment Facility Sustainable Cities Integrated Approach Pilot (IAP): A common platform to help build sustainable cities, for the Sustainable Cities IAP Consultative Meeting, August 2014. Washington, DC: Global Environment Facility (GEF).

GEF, 2014. GEF-6 Programming Directions, May 2014. Assembly Document GEF/A.5/07/Rev.01. Washington, DC: Global Environment Facility (GEF).

GEF, 2014. GEF 2020 – Strategy for the GEF, May 2014. Assembly Document GEF/A.5/10. Washington, DC: Global Environment Facility (GEF).

GEF, 2014. GEF Programming Strategy on Adaptation to Climate Change, LDCF, SCCF, June 2014. Council Document GEF/LDCF.SCCF/Inf. 02. Washington, DC: Global Environment Facility (GEF).

GEF, 2014. Highlights of the 45th GEF Council's Discussions, January 2014. Washington, DC: Global Environment Facility (GEF).

GEF, 2015. Cancellation Policy, June 2015. Policy Document OP/PL/02. Washington, DC: Global Environment Facility (GEF).

GEF, 2015. Improving the GEF Project Cycle, December 2015. Council Document GEF/C.47/07/Rev.01. Washington, DC: Global Environment Facility (GEF).

GEF, 2015. GEF-6 Indicative STAR Allocations, July 2015. Council Document GEF/C.47/Inf.08. Washington, DC: Global Environment Facility (GEF).

GEF, 2015. Highlights of the 48th GEF Council's Discussions, August 2015. Washington, DC: Global Environment Facility (GEF).

GEF, 2015. Instrument for the Establishment of the Restructured Global Environment Facility, March 2015. Washington, DC: Global Environment Facility (GEF).

GEF, 2015. PFD document of Cities-IAP: Sustainable Cities Integrated Approach Pilot (IAP-PROGRAM), GEF ID 9077, April 2015. Washington, DC: Global Environment Facility (GEF).

GEF, 2015. PFD document of Commodities-IAP: Taking Deforestation out of Commodity Supply Chains Integrated Approach Pilot (IAP-PROGRAM), GEF ID 9072, April 2015. Washington, DC: Global Environment Facility (GEF).

GEF, 2015. PFD document of Food Security-IAP: Sustainability and Resilience for Food Security in Sub-Saharan Africa Integrated Approach Pilot (IAP-PROGRAM), GEF ID 9070, May 2015. Washington, DC: Global Environment Facility (GEF).

GEF, 2015. Sustainable Cities GEF Integrated Approach Pilot, 4-page Glossy, November 2015. Washington, DC: Global Environment Facility (GEF).

GEF, 2016. Project and Program Cycle Policy, November 2016. Policy Document OP/PL/01. Washington, DC: Global Environment Facility (GEF).

GEF, 2016. Request for CEO Endorsement: Adaptive Management and Learning for the Commodities IAP, GEF ID 9179, October 2016. Washington, DC: Global Environment Facility (GEF).

GEF, 2017. Global Platform for Sustainable Cities (GPSC) Work Program 2017-2018, January 2017. Washington, DC: Global Environment Facility (GEF).

GEF, 2017. Request for CEO Endorsement: Taking Deforestation Out of the Soy Supply Chain, GEF ID 9617, February 2017. Washington, DC: Global Environment Facility (GEF).

GEF, 2017. GEF-7 Programming Directions and Policy Agenda, March 2017. Replenishment Document GEF/R.7/02. Washington, DC: Global Environment Facility (GEF).

GEF, 2017. Request for CEO Endorsement: Cross-cutting capacity building, knowledge services and coordination project for Food Security Integrated Approach Pilot Program, GEF ID 9140, March 2017. Washington, DC: Global Environment Facility (GEF).

GEF, 2017. Tackling the Drivers of Global Environmental Degradation through the Integrated Approach Pilot Programs - Progress Report for GEF Council October 2016 - April 2017, May 2017. Council Document GEF/C.52/Inf.04, 12. Washington, DC: Global Environment Facility (GEF).

Greenpeace, 2013. Certifying Destruction: Why consumer companies need to go beyond the RSPO to stop forest destruction, September 2013. Amsterdam: Greenpeace.

Greenpeace, 2016. Cutting Deforestation out of the Palm Oil Supply Chain – Company Scorecard, 2016. Amsterdam: Greenpeace.

Hosunuma N., Herold, M., de Sy, V., De Fries, R.S., Brockhaus, M., Verchot, L., Angelsen A., and Romijn, E., 2012. An Assessment of deforestation and forest degradation drivers in developing countries, 2012. Environmental Research Letters, 7(4)0440009.

IEO, 2016. Sixth Comprehensive Evaluation of the GEF (OPS6) - Approach Paper, May 2016. Council Document GEF/ME/C.50/07. Washington, DC: Independent Evaluation (IEO) of the GEF.

IEO, 2017. Evaluation of the Multiple Benefits of GEF Support through Its Multifocal Area Portfolio, IEO Brief, March 2017. Washington, DC: Independent Evaluation (IEO) of the GEF.

IEO, 2017. Evaluation of the Programmatic Approaches in the GEF, May 2017. Council Document GEF/ME/C.52/Inf.01/Rev.01. Washington, DC: Independent Evaluation (IEO) of the GEF.

Kissinger, G., Herold, M., and De Sy, V., 2012. Drivers of Deforestation and Degradation: A Synthesis Report for REDD+ Policy Makers, August 2012. Vancouver: Lexeme Consulting.

Laurance, W.F., Koh, L.P., Butler, R., Sodhi, N.S., Bradshaw, C.J.A., Neide, J.D., Consunji, H., and Vega, J.M., 2010. Improving the performance of the RSPO on Nature Conservation, 2010. Conservation Biology, 24(2), 377-81.

Nepstad, D.C., Stickler, C.M., and Almeida, O.T., 2006. Globalization of the Amazon Soy and Beef Industries: Opportunities for Conservation, June 2006. Conservation Biology.

Newton, P., Agrawal, A., and Wollenberg, L., 2013. Enhancing the sustainability of commodity supply chains in tropical forest and agricultural landscapes, 2013. Global Environment Change.

OECD, 2013. Green Growth in Cities, May 2013. ISBN 978 9 26419 532 5. Paris: Organisation for Economic Co-operation and Development (OECD).

ONU-REDD+ Paraguay, 2015. Metodologia de procesamiento y analisis de datos del Inventario Forestal Nacional (IFN): Informe del equip técnico, October 2015.

STAP, 2014. Delivering Global Environmental Benefits for Sustainable Development: Report to the 5th GEF Assembly, May 2014. Assembly Document GEF/A.5/03. Washington, DC: Scientific and Technical Advisory Panel (STAP) of the GEF.

STAP, 2014. Sustainable Urbanization Policy Brief: Proliferation of Urban Centres, their Impact on the World's Environment and the Potential Role of the GEF, June 2014. Washington, DC: Scientific and Technical Advisory Panel (STAP) of the GEF.

STAP, 2015. Knowledge Management in the GEF: STAP Interim Report, May 2015. Council Document GEF/STAP/C.48/Inf.03/Rev.01. Washington, DC: Scientific and Technical Advisory Panel (STAP) of the GEF.

STAP, 2016. A Review of Indicators on Sustainability of Commodity Agricultural Production, May 2016. Council Document GEF/STAP/C.50/Inf.04. Washington, DC: Scientific and Technical Advisory Panel (STAP) of the GEF.

Tengberg, Anna, and Valencia, Sandra. 2017. Science of Integrated Approaches to Natural Resources Management. February 2017. A STAP Information Document. Washington, DC: Scientific and Technical Advisory Panel (STAP) of the GEF.

UNCED, 1992. Rio Conference 1992, Agenda 21 Chapter 7: Promoting sustainable human settlement development, June 1992. United Nations Conference on Environment and Development (UNCED).

UN GA, 2016. New Urban Agenda, December 2016. General Assembly Resolution 71/256. New York, NY: United Nations.

UNDP, 2001. Guiding Cities: The UNDP/UNCHS/World Bank Urban Management Programme, June 2001. New York, NY: United Nations Development Programme (UNDP).

UNDP, 2016. Sustainable Urbanization Strategy - UNDP's support to sustainable, inclusive and resilient cities in the developing world, October 2016. New York, NY: United Nations Development Programme (UNDP).

UNEP, 2000. The Sustainable Cities Programme – Sustainable Cities and Local Governance, November 2000. Nairobi: United Nations Environment Programme (UNEP).

UNEP, 2012. Keeping Track of our Changing Environment, May 2012. Nairobi: United Nations Environment Programme (UNEP).

UNIDO, 2016. Sustainable Cities - Hubs of Innovation, Jobs, Industrialization, and Climate Action, 2016. Vienna: United Nations Industrial Development Organization (UNIDO).

USDA, 2015. World Agricultural Supply and Demand Estimates, November 2015. Washington, DC: United States Department of Agriculture (USDA).

Vidal, Ludovic-Alexandre, and Marle, Franck, 2008. Understanding project complexity: implications on project management. Kybernetes, Vol. 37 Issue: 8, pp.1094-1110, Emerald Publishing.

World Bank, 2004. Urban environment and infrastructure: Towards livable cities, 2004. Washington, DC: World Bank.

World Bank, 2014. Urbanization as Opportunity, May 2014. Policy Research Working Paper 6874. Washington, DC: World Bank.

World Bank, 2016. Investing in Urban Resilience: Protecting and Promoting Development in a Changing World, 2016. Washington, DC: World Bank.

World Bank, 2017. Global Platform for Sustainable Cities - Work-program 2017-2018, February 2017. Washington, DC: World Bank.