

# GEF Annual Performance Report 2008

OCTOBER 2009



GLOBAL ENVIRONMENT FACILITY  
EVALUATION OFFICE



**Global Environment Facility  
Evaluation Office**

# **GEF Annual Performance Report 2008**

**October 2009**

*(The main findings and recommendations of this evaluation were presented to the GEF Council in June 2009.)*

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## Abbreviations

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APR	annual performance report	MSP	medium-size project
CEO	Chief Executive Officer	OPS4	Fourth Overall Performance Study
FSP	full-size project	PIF	project identification form
FY	fiscal year	PIR	project implementation report
GEF	Global Environment Facility	SGP	Small Grants Programme
M&E	monitoring and evaluation	UNDP	United Nations Development Programme
MAR	management action record	UNEP	United Nations Environment Programme



## Foreword

The Evaluation Office of the Global Environment Facility (GEF) is pleased to present its fifth annual performance report (APR) evaluating the performance of the GEF portfolio. In addition to building on and responding to work initiated in the preceding APRs, the evaluation based its conclusions on information collected by the monitoring and evaluation systems of the GEF Agencies.

The report presents independent assessments of topics highly relevant to the success of GEF efforts: project outcomes and sustainability, factors affecting attainment of project results, and quality of monitoring and evaluation arrangements. New in this APR is a review of changes in a project's result framework during implementation and a closer look at the factors associated with lower outcome achievement in completed projects. The report also presents an analysis of changes in quality of monitoring and evaluation at entry in full-size GEF projects. This work is a follow-up on a baseline assessment presented in APR 2005.

This APR has also been prepared as an input to the GEF's Fourth Overall Performance Study (OPS4). Therefore, analysis presented in the report is focused on the period since the Third Overall

Performance Study, FY 2005 to FY 2008. A review of the quality of supervision that was undertaken for this APR will be reported on in OPS4.

Because APR findings were to be incorporated in OPS4, it was decided to share APR 2008 with the GEF Council as an information document at the June 2009 Council meeting. Thus, the APR was not discussed in the GEF Council. In future years, the APR will again become a subject of Council discussion.

In preparing the report, the Evaluation Office discussed preliminary findings with the GEF Secretariat and Agencies on several occasions, which led to an improvement in the quality of this APR. Some of the analysis that is being presented for the first time—for example, on factors associated with lower outcome achievement in completed projects—is based on suggestions received from the Agencies. I would like to thank all of those involved for their support and criticism.



Rob van den Berg  
Director, Evaluation Office

## Acknowledgments

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The annual performance report is a joint effort of a number of GEF Evaluation Office staff and consultants. Serving as task manager for general development of the report was Aaron Zazueta, Senior Evaluation Officer in the GEF Evaluation Office. Neeraj Kumar Negi, Evaluation Officer, drafted the overall document. Ines Angulo, consultant, drafted the chapter on the management action record.

Appreciation is also due to colleagues in the Evaluation Office who reviewed the terminal evaluation

reports under the coordination of Neeraj Kumar Negi. They include Evaluation Officers Neeraj Kumar Negi and Anna Viggh; consultants Shaista Ahmed, Ines Angulo, Joshua Brann, Alejandro Imbach, Florentina Mulaj, Pallavi Nuka, Timothy Ranja, and Margaret Spearman.

The Evaluation Office also wishes to thank the staff of the GEF Secretariat and Agencies for their valuable comments and contributions to this evaluation. The Evaluation Office remains fully responsible for the contents of the report.

# 1. Background and Main Conclusions

## 1.1 Background

This document is the fifth annual performance report (APR) prepared by the Evaluation Office of the Global Environment Facility (GEF). It provides a detailed account of some aspects of project results, processes that may affect these results, and monitoring and evaluation (M&E) arrangements in completed GEF projects. This APR also contains an assessment of the M&E arrangements in GEF projects at entry, a follow-up to an assessment first presented in APR 2005. For the second time, a performance matrix is presented summarizing the performance of the GEF Implementing Agencies and the GEF Secretariat on various parameters tracked by the Office. The matrix will be a regular feature of future APRs. This year, the Evaluation Office also continued field verification of terminal evaluations.

APR 2008 has been prepared to provide input to the Fourth Overall Performance Study (OPS4) of the GEF. Therefore, much of the discussion focuses on projects whose terminal evaluations were submitted after the Third Overall Performance Study period—that is, after fiscal year (FY) 2004.

APR 2008 continues the annual presentation of assessment of project outcomes, project sustainability, project completion delays, materialization of cofinancing, and quality of monitoring. For

the **assessment of project outcomes, project sustainability, and delays in project completion**, 210 projects, for which terminal evaluation reports were submitted by the GEF Agencies to the Evaluation Office since FY 2005, were considered. Of these, 62 projects were submitted during FY 2008. The GEF investment in these 210 projects totaled \$989 million.

For **assessment of materialization of cofinancing**, all 285 projects for which terminal evaluation reports have been submitted since FY 2002 were considered. Information on materialization of cofinancing was provided for 210 projects (74 percent), either in the terminal evaluation reports and/or by the relevant GEF Agency. The GEF has invested a total of \$988 million in these 210 projects; they reported that an additional \$2.96 billion was leveraged in the form of cofinancing. Of these projects, 162 comprise the OPS4 cohort; these represent a GEF investment of \$705 million from which an additional \$1.43 billion in cofinancing was leveraged.

This year's **management action record (MAR)** tracks the level of adoption of 35 GEF Council decisions based on 12 GEF Evaluation Office documents. The Evaluation Office was able to verify 32 of these decisions and plans to carry out thematic assessments in the future to evaluate adoption of Council decisions that have not been verified so far.

The **performance matrix** provides a summary of the performance of the major GEF Agencies and the GEF Secretariat on relevant parameters. Several of the parameters included in the matrix are assessed on an annual basis by the Evaluation Office. For the remainder, the Office—in collaboration with the evaluation units of the GEF Agencies—is developing assessment approaches. Reporting on such parameters will be provided during OPS4.

The APR primarily involves review of the evidence presented in terminal evaluation reports, with verification of performance ratings based primarily on desk reviews. Although this methodology enables the Evaluation Office to make the performance ratings more consistent with the evidence provided in the terminal evaluation reports, it does not allow it to establish the veracity of the evidence presented. Direct verification permits the Office to address this concern. In addition, field verification provides the Evaluation Office with an opportunity to gather new information on post-project completion impacts. Beginning in FY 2007, the Evaluation Office has been piloting a methodology for field verification of terminal evaluation reports. To date, the Office has carried out seven field verifications. Nine more field verifications are planned for inclusion in OPS4.

One of the limitations noted in earlier APRs has been that, on many issues, the number of projects for which data were available was insufficient to allow for in-depth assessment of differences in performance and the underlying factors that affect performance. This constraint is gradually mitigated as each year the data pool increases. This year's second assessment of M&E arrangements in GEF projects at entry allows the Evaluation Office to assess changes compared to FY 2005, when the first assessment was carried out. While analysis of other issues remains constrained, this year the accumulated data enables the Office to present a

more in-depth discussion on project outcomes and quality of terminal evaluation reports.

## 1.2 Findings and Conclusions

### Results

**Conclusion 1: Eighty percent of the completed projects reviewed for OPS4 were rated in the satisfactory range; this is significantly higher than the 75 percent target specified in the GEF-4 replenishment agreement. The sustainability of project outcomes was rated as moderately likely or above for 58 percent of the projects.**

#### *Attainment of Project Outcomes*

The Evaluation Office rated the achievement of project outcomes on the criteria of relevance, effectiveness, and efficiency. Of the 210 terminal evaluation reports submitted since FY 2005, only 5 (2 percent) did not provide sufficient information to allow assessment of the level of attainment of project outcomes (table 1.1). The key findings of this assessment are as follows:

- Of the 205 projects whose outcomes were rated by the Evaluation Office, 80 percent were rated moderately satisfactory or above.
- Of the total \$983 million GEF investment in the rated projects, 79 percent was allocated to projects that were rated moderately satisfactory or above.
- The outcomes of 78 percent of the full-size projects (FSPs) and 84 percent of the medium-size projects (MSPs) were rated moderately satisfactory or above.

Compared to the other GEF Agencies, a greater proportion of the World Bank-implemented projects were rated in the satisfactory range (85 percent), when other variables such as project size, geographic scope, focal area, and region were controlled for.

National projects implemented in fragile states and in small island developing states have a lower probability of being rated in the satisfactory range.

Project performance for the OPS4 cohort exceeds the target set for the fourth GEF replenishment of 75 percent of projects having satisfactory outcomes (GEF EO 2006). Although the completed projects assessed since FY 2005 do not fall under the provisions of GEF-4, their performance indicates that it is realistic to expect that the target will be achieved for OPS4.

Of the terminal evaluation reports submitted during FY 2008, outcome achievements for 81 percent were rated moderately satisfactory and above. These projects account for 74 percent of the total GEF investment in projects included in the FY 2008 cohort. These results do not differ substantially from those for the projects from previous years.

### ***Sustainability of Project Outcomes***

The Evaluation Office rated sustainability based on its assessment of level of risk to sustainability of outcomes on four dimensions: financial, sociopolitical, institutional and governance, and environmental. Of the 210 terminal evaluation reports submitted since FY 2005, 18 (9 percent) did not provide sufficient information to allow

assessment of sustainability of project outcomes (table 1.1). The key findings of this assessment are as follows:

- Of the 192 projects rated, the sustainability of outcomes of 58 percent (111 projects) was deemed moderately likely or above.
- Of the total GEF investment in rated projects since FY 2005 (\$907 million), 60 percent (\$543 million) was invested in projects whose outcome sustainability was rated as moderately likely or above.

The Evaluation Office assessed the extent to which projects that were rated moderately satisfactory or above in achievement of outcomes were also rated moderately likely or above in sustainability of outcomes. The Office found that, of the rated projects, 54 percent were rated both moderately satisfactory or above in outcomes and moderately likely or above in sustainability. Of the total investment in rated projects, 55 percent of the GEF investment was in these projects.

Of the four dimensions of risk to sustainability, financial risks were found to pose the most frequent threat: 31 percent of the examined projects were rated unlikely or moderately unlikely to sustain project outcomes due to financial risks.

**Table 1.1**

### **Summary of Project Outcome and Sustainability Ratings**

<b>Factor</b>	<b>FY 2005</b>	<b>FY 2006</b>	<b>FY 2007</b>	<b>FY 2008</b>	<b>OPS4</b>
Number of terminal evaluation reports submitted	41	66	41	62	210
Number of projects with outcome ratings	39	64	40	62	205
% rated moderately satisfactory or above in outcome ratings	82	84	73	81	80
Number of projects with sustainability of outcome ratings	39	54	39	60	192
% rated moderately likely or above in sustainability of outcome ratings	49	65	59	57	58
Number of projects rated on both outcomes and sustainability of outcomes	39	54	39	60	192
% of rated projects rated moderately satisfactory or above on outcomes and moderately likely or above on sustainability of outcomes	44	61	51	60	192

Of the projects in the FY 2008 cohort, sustainability of outcomes of 57 percent rated moderately likely or above and 55 percent were rated both moderately satisfactory or above in terms of outcome achievements and moderately likely or above on sustainability of outcomes.

## Processes

### **Conclusion 2: On average, the materialization of cofinancing reported by the GEF Agencies is close to that promised at project approval.**

There is great variation among projects in terms of level of GEF investment, promised cofinancing, and reported materialized cofinancing. The figures for a cohort could easily be skewed by a few projects. Consequently, the average figures for cohorts may fluctuate despite the absence of an underlying trend. The cofinancing figures reported by the GEF Agencies for the OPS4 cohort (FY 2005 to FY 2008) need to be presented with this caveat.

The following analysis is based on the information available on 285 completed projects for which terminal evaluation reports were submitted since FY 2002. Terminal evaluation reports for 75 of these projects were submitted on or before FY 2004. The remaining 210 reports comprise the OPS4 cohort. Of the terminal evaluation reports submitted during or before FY 2004, information on materialization of cofinancing has been reported for 48 projects. For these, \$5.90 cofinancing had been promised for every dollar of GEF financing, and \$5.40 was reported to have materialized (table 4.1). Of the 210 terminal evaluation reports submitted since FY 2005, 162 reported on materialization of cofinancing. For these projects, an average of \$2.10 had been promised per dollar of approved GEF grant, and \$2.00 was reported to have materialized. As noted, the rate of materialization of cofinancing

is easily skewed by a few projects. Therefore, the difference—in terms of materialization of cofinancing—between the projects from the pre-OPS4 period and OPS4 period does not in itself indicate an underlying trend.

If all terminal evaluation reports submitted to the Evaluation Office to date are taken into consideration, information on cofinancing is available for 210 projects. For these, the Agencies promised an average of \$3.20 in cofinancing per dollar of approved GEF grant. The actual cofinancing reported was slightly lower: \$3.00 per dollar of approved GEF grant. Thus, an average of 95 percent of promised cofinancing was reported to have materialized.

Projects for which a lesser proportion of promised cofinancing actually materialized have a lower probability of being rated in the satisfactory range. However, it is not clear whether overall it is the lower materialization of cofinancing that is driving lower levels of achievement or whether the lack of progress toward achievement of results leads to lower materialization of cofinancing. These issues will be explored in greater detail in OPS4.

**On average, the projects ending during OPS4 were completed after a delay of 16 months; 22 percent were completed after a delay of at least two years.** The Evaluation Office began tracking project completion delays in FY 2005. The average project completion delay was 19 months for the FY 2005 cohort, 13 months for FYs 2006 and 2007, and 18 months for FY 2008. Delays of two years or more were experienced by 44 percent of the projects in the FY 2005 cohort, 17 percent of the FY 2006 cohort, 14 percent of the FY 2007 cohort, and 26 percent of the FY 2008 cohort. Thus, no definite trend is discernible.



## Monitoring and Evaluation

**Conclusion 3: There has been significant improvement in the quality of M&E arrangements at the point of endorsement by the Chief Executive Officer (CEO); 76 percent of projects endorsed by the CEO during FY 2008 met the existing GEF M&E minimum requirements. In FY 2005, only 58 percent had met the minimum requirements then in effect.**

The GEF Evaluation Office carried out an assessment of the quality of M&E arrangements of FSPs that were endorsed by the CEO during FY 2008 as a follow-up to an assessment carried out during FY 2005. An identical methodology was used in both assessments, which included reviews for all 74 FSPs approved in FY 2005 and all 82 FSPs approved in FY 2008.

The Office rated the M&E arrangements of 76 percent of the FSPs that were CEO endorsed in FY 2008 to be in compliance with the minimum requirements then in effect. This is a significant improvement over FY 2005, when 58 percent of the projects were rated as in compliance with the requirements then applicable. If the requirements in effect in FY 2005 are applied to the FY 2008 cohort, the percentage of projects rated as in compliance increases to 80 percent. A greater proportion of World Bank and climate change projects were rated to be in compliance in FY 2008 than in FY 2005. For other Agencies and focal areas, the number of observations is too small to allow similar conclusions. However,

for most, the direction of change is consistent with the overall trend.

**Conclusion 4: There is a strong association between quality at entry of M&E arrangements and actual quality of monitoring during project implementation.**

Of the terminal evaluations submitted during OPS4, 77 percent provided sufficient information to allow the Evaluation Office to rate performance on this parameter. Of these, 67 percent—including 72 percent from FY 2008—were rated moderately satisfactory or above in terms of quality of monitoring during implementation. This is significantly higher than the 55 percent that were so rated in the FY 2004 cohort (table 1.2).

The analysis of the information pertaining to terminal evaluation reports submitted for projects completed during OPS4 supports findings presented in APR 2006 and APR 2007, which indicate that there is a correlation between quality of M&E arrangements and actual quality of monitoring during project implementation. Of the completed projects from the OPS4 cohort that were rated both on quality of M&E at entry and quality of monitoring during implementation, only 39 percent of those rated in the unsatisfactory range for quality at entry were rated in the satisfactory range during implementation. In contrast, of those rated in the satisfactory range on quality of M&E at entry, 82 percent were also rated in the satisfactory range during implementation.

**Table 1.2**

### Quality of Monitoring during Project Implementation

Factor	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	OPS4
Number of terminal evaluation reports submitted	42	41	66	41	62	210
Number of terminal evaluations that reported on M&E	29	32	46	33	50	161
% of projects rated moderately satisfactory or above	55	66	78	61	72	67

**Conclusion 5: There has been significant improvement in the overall quality of terminal evaluation reports, but further improvement is needed regarding reporting on M&E and financial information.**

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Of the 210 terminal evaluation reports submitted to the Evaluation Office from FY 2005 to FY 2008, 89 percent were rated as moderately satisfactory or above by the Office; 92 percent of those submitted in FY 2008 were similarly rated. This represents an important improvement over the FY 2004 baseline, when only 69 percent of the terminal evaluation reports was rated moderately satisfactory or above on quality.

For the OPS4 cohort, there is little difference among Agencies in terms of terminal evaluation reports rated moderately satisfactory or above. For the World Bank, the percentage of terminal evaluations for MSPs that are rated moderately satisfactory or above in quality is lower than for FSPs. This reflects the lower level of attention the World Bank accords MSP terminal evaluation reports.

When the OPS4 period is split into two subperiods of two years each, the terminal evaluation reports submitted by the United Nations Environment Programme (UNEP) show significant improvement (table 6.1). These gains are linked to measures adopted by the Agency, including transfer of the responsibility for evaluation of GEF projects to the UNEP Evaluation Office and closer tracking of evaluation quality.

Despite improvements in the overall quality of terminal evaluation reports, performance along the various quality dimensions remains uneven. Ratings on reporting on M&E and on project financial information are considerably lower than ratings for other dimensions.

Outcome ratings in terminal evaluations provided by the evaluation units of the GEF Agencies are

generally consistent with those provided by the GEF Evaluation Office. On a binary scale, there are negative disconnects between GEF Evaluation Office ratings and those provided by the World Bank's Independent Evaluation Group and the UNEP Evaluation Office for only 4 percent of the projects; the United Nations Development Programme (UNDP) has not yet provided ratings on outcomes. Disconnects between GEF Evaluation Office ratings and ratings given in terminal evaluation reports and project implementation reports (PIRs) is significantly higher: 14 percent for terminal evaluations and 16 percent for PIR. This indicates that while there is much consistency in the ratings given by the GEF Evaluation Office and the evaluation units of the World Bank and UNEP, significant differences remain with regard to the ratings given in terminal evaluations and PIRs.

## **Management Action Record**

**Conclusion 6: While the GEF system tends toward an overall high level of adoption of Council decisions, progress toward adoption has been slow in a few important cases.**

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This year's MAR tracks the level of adoption of 35 Council decisions based on 12 GEF Evaluation Office documents by presenting ratings from GEF management and verification of these ratings by the Evaluation Office. The Office was able to verify the adoption of 32 of these decisions.

The Evaluation Office has rated a total of 15 decisions as adopted since it introduced the MAR in FY 2005. These include 5 decisions whose adoption was rated as high in FY 2008 and 10 whose adoption was rated as high in prior years. The decisions adopted in FY 2008 include two from the Evaluation of the GEF Support to Biosafety and one decision each from the Joint Evaluation of the Small Grants Programme (SGP), APR 2007, and the Midterm Review of the Resource Allocation Framework.



Several Council decisions that require a more nuanced treatment have been deferred for further analysis and assessment during OPS4. These include the following:

- From the Country Portfolio Evaluation of Samoa, the extent to which the higher transaction costs of working in the Pacific have been taken into account in the design of programmatic approaches for this area
- From the Role of Local Benefits in Global Environmental Programs Study, the attention given in the GEF to social issues in project preparation and implementation
- From Council decisions on various evaluations (Costa Rica Country Portfolio Evaluation, the Philippines Country Portfolio Evaluation, and APRs 2004 and 2006), to prioritize development of a transparent and accurate management information system
- From the Evaluation of the GEF Activity Cycle and Modalities, the efficiency of the project identification form (PIF) process

For the second consecutive year, the percentage of Council decisions verified by the Evaluation Office whose adoption has been rated at a substantial or high level has increased: from 44 percent in FY 2007 to 59 percent in FY 2008. Also, while there was an increase in the percentage of Council decisions with no change in rating—from 33 percent in FY 2007 to 55 percent in FY 2008—the ratings for many of these projects reflect the fact that even though the GEF has taken measures to address the decisions, these cannot yet be considered to demonstrate a high level of achievement. The lack of change also reflects the fact that some proposals to the GEF Council have not yet been approved. If, and when, the Council does approve these proposals, substantial adoption is likely to occur.

The Evaluation Office considers that there has been little progress in the adoption of four Council decisions from the Local Benefits Study which point out the need to establish a system that ensures that local benefits are addressed in a more systematic way at all stages of the GEF project cycle. The GEF Secretariat currently cannot verify the quality of this aspect in project design or implementation because there is no system yet in place to involve specialized social development expertise in its project review processes.

Two issues pertaining to Council decisions have resurfaced. The first involves five decisions related to the improvement of the GEF project management information system (PMIS) and the need to ensure the transparency of, and better access to, information on GEF procedures, project approval criteria, and the status of projects in the GEF project cycle. These decisions come from the Costa Rica Country Portfolio Evaluation, the Philippines Country Portfolio Evaluation, and APRs 2004 and 2006. Particularly important is the Council decision based on APR 2006 that instructed the GEF Secretariat to make development of a management information system a priority activity.

The other issue pertains to the Council decision from the Samoa Country Portfolio Evaluation that requested that the Secretariat take into account Samoa's experience with the GEF in its further development of the proposed GEF-Pacific Alliance for Sustainability. Adoption of this decision was rated as high by both the GEF Secretariat and the GEF Evaluation Office in the last MAR. This year, the Evaluation Office considers that further analysis is needed on the inclusion of higher transaction costs in the Pacific Alliance for Sustainability project. OPS4 will take a more in-depth look into programmatic approaches and will verify whether or not it was justified to include, or not

include, transaction costs in the design of these types of projects.

## Performance Matrix

The performance matrix provides a summary of the performance of the GEF Implementing Agencies and GEF Secretariat on 13 parameters, including results, processes affecting results, efficiency, M&E, and learning. Several of the parameters included in the matrix are already assessed by the Evaluation Office on an annual basis. Since performance ratings on these parameters fluctuate from year to year, running averages of two to four years—depending on the parameter—are used in the matrix (see chapter 9 and annex D for methodological details on the performance matrix). Of the 13 parameters included in the performance matrix, ratings have been provided on 10; the rating on the indicator on independence of terminal evaluations is being included for the first time. Note that the information provided for parameter 13, improvement in performance, addresses only 2 of the parameter's 12 dimensions. In future, as data for more years become available, it will be possible to track improvements on a greater number of dimensions.

Based on the review of terminal evaluation reports submitted since FY 2005, the Evaluation Office rated outcome achievement (parameter 1) in 80 percent of the projects to be moderately satisfactory or above. As noted, this percentage is higher than the 75 percent target specified in the GEF-4 replenishment agreement, even though these projects are not subject to this provision. The percentage of World Bank projects with ratings in the satisfactory range (85 percent) has been significantly higher than the target.

On independence of terminal evaluations, those submitted by UNDP and UNEP have been rated satisfactory on a six-point scale for both FSPs and MSPs. The independence of the terminal evaluation reports for World Bank FSPs is rated highly satisfactory because, in addition to desk reviews of the reports, the World Bank's Independent Evaluation Group also conducts field verifications for a sample of terminal evaluation reports. The World Bank's terminal evaluation reports for MSPs are rated moderately unsatisfactory, because they do not undergo any review by the evaluation unit.

For parameter 13, changes in performance have been assessed on two dimensions:

- Change in the quality of M&E arrangements at entry (parameter 10)
- Change in the quality of terminal evaluation reports (parameter 12)

The project appraisal documents submitted by the World Bank and UNDP showed improvement in terms of quality of M&E arrangements at entry. However, there is still considerable room for further improvement. The number of observations for UNEP is too small for conclusions to be drawn: although the M&E arrangements in its project appraisal documents have made improvements on several parameters, the baseline information provided is not sufficient.

Ratings on changes in quality of terminal evaluation reports provided in the performance matrix of APR 2007 have not changed. In recent years, the terminal evaluations submitted by UNEP and UNDP have improved significantly; most of the terminal evaluations submitted by the World Bank continue to be in the satisfactory range.

## 2. Scope and Methodology

### 2.1 Scope

Each year in the APR, the Evaluation Office presents an assessment of the results of completed GEF projects, an analysis of the processes that affect accomplishment of results, and the findings of its oversight of project monitoring and evaluation activities across the portfolio. Through the APR, the Evaluation Office provides feedback to the GEF Council, other GEF institutions, and stakeholders to help improve the performance of GEF projects. Some issues are addressed in the APR annually, some biennially; others are addressed whenever such a need is felt.

One of the purposes of APR 2008 is to provide inputs to the Fourth Overall Performance Study of the GEF. Therefore, the projects whose terminal evaluations were submitted since the Third Overall Performance Study period—that is, from FY 2005 onwards—are the focus of the discussion. Special attention has been given to projects for which the terminal evaluations were submitted in FY 2008 and which are therefore not covered in earlier APRs (see annex B for the list of projects). APR 2008 includes the following:

- **An overview of the extent to which GEF projects are achieving their objectives (chapter 3).** This overview consists of an assessment of the extent to which the completed projects, for which terminal evaluation reports were

submitted from FY 2005 to FY 2008 (the complete cohort for OPS4), achieved expected outcomes and the risks to sustainability of the achieved outcomes. These issues are covered in the APR annually.

- **Presentation of assessments on some of the factors that affect attainment of project results (chapter 4).** This chapter reports on the implications of changes made in the results framework of a project during implementation, factors associated with lower achievement of project outcomes, the extent to which cofinancing promised at the point of project endorsement has materialized, and delays in project completion. The assessment on materialization of cofinancing is based on figures reported by the respective GEF Agencies.
- **An assessment of the quality of project monitoring (chapter 5).** This chapter includes an assessment of the quality of M&E arrangements at entry for full-size projects that were endorsed by the GEF CEO during FY 2008, and a comparison of findings with those of a similar assessment conducted for the FY 2005 cohort that was included in APR 2005. In addition, it includes an assessment of the quality of M&E during implementation in completed projects for which terminal evaluation reports were submitted during the OPS4 period.

- **An assessment of the quality of terminal evaluation reports submitted by the GEF Agencies to the GEF Evaluation Office (chapter 6).** This chapter provides information on the quality of terminal evaluation reports by focal area and by Agency and an assessment of trends in the quality of terminal evaluation reports. It also includes a comparison of the ratings on outcome achievements for assessed projects given by the Evaluation Office with those provided by others including the evaluation units of the GEF Agencies, in the terminal evaluations, and in project implementation reports submitted by the GEF Agencies. The progress made by the Evaluation Office in piloting a methodology for direct verification of terminal evaluations has also been summarized.
- **A presentation of findings on management action records (chapter 7).** As part of this annual assessment, the Evaluation Office reviews and follows up on the implementation status of evaluation recommendations that have been accepted by management and/or the GEF Council.
- **A presentation of the performance matrix (chapter 8).** This assessment was first presented in APR 2007 and is now a regular feature of the report. It summarizes the performance of the three primary GEF Implementing Agencies and the GEF Secretariat on key performance parameters.

## 2.2 Methodology

### Terminal Evaluation Reviews

#### *Terminal Evaluations Included in the Review*

Until FY 2006, the terminal evaluations included in the review were for full- and medium-size projects that had been closed after operational completion of project activities. Consequently, the

terminal evaluations for canceled projects—some of which had used a significant proportion of their GEF grant at the point of cancellation—and enabling activities did not form part of the project pool that was rated. From FY 2007 onwards, the Evaluation Office began reviewing the terminal evaluations of canceled projects for which a GEF grant of more than \$0.5 million had been used at the point of cancellation as part of the APR terminal evaluation review process. The Office also started reviewing terminal evaluations of those enabling activities with a GEF investment of more than \$0.5 million. The enabling activities included are reported here as either MSPs or FSPs, based on the level of GEF investment.<sup>1</sup>

#### ***Ensuring Reliability and Timeliness of Terminal Evaluation Reports***

The project terminal evaluation reports submitted by the GEF Agencies to the Evaluation Office form the core information source for much of the APR, particularly for those topics that are reported on annually. Ensuring the reliability of these reports is therefore critical. The Evaluation Office seeks to assess and strengthen this reliability in several ways, as described below.

The Office reviews terminal evaluation reports to determine the extent to which they address the objectives and outcomes set forth in the project document, to evaluate their internal consistency, and to verify that ratings are properly substantiated.

The reports are reviewed by Evaluation Office staff using a set of detailed guidelines to ensure that uniform criteria are applied (see annex A for these guidelines). When deemed appropriate, a

<sup>1</sup>The number of canceled projects with over \$0.5 million of their GEF grants utilized and of enabling activities with \$0.5 million in GEF investment is too small to be reported as a separate category.

reviewer may propose to upgrade or downgrade the project ratings presented in a terminal evaluation report.

A draft terminal evaluation review report is also examined by a peer reviewer with substantial experience in assessing terminal evaluations. The peer reviewer provides feedback on the report, which is incorporated by the primary reviewer in subsequent versions.

When projects are downgraded below moderately satisfactory (for outcomes), a senior evaluation officer in the GEF Evaluation Office also examines the review to ensure that the proposed ratings are justified. The reviews are then shared with the Agencies, and, after their feedback is taken into consideration, the reviews are finalized.

If a terminal evaluation report provides insufficient information to make an assessment or to verify the Agency ratings on outcomes, sustainability, or quality of project M&E systems, the Evaluation Office classifies the corresponding project as unable to assess and excludes it from any further analysis on the respective dimension.

The most pervasive limitation of this review process is that, ultimately, it is only based on a desk review of information provided by the terminal evaluation reports and other relevant documents. To address this weakness, the Evaluation Office has been piloting an approach to carry out verification of the terminal evaluation reports for a sample of completed FSPs. Seven verifications have been conducted so far. Nine more will be completed in time for their results to be incorporated in OPS4; these additional field verifications are being conducted in countries where OPS4 country case studies are being undertaken.

Another way to address the reliability concerns pertaining to terminal evaluation reports is to work with the GEF Agencies to more fully engage

their central evaluation groups in the process and, when necessary, to strengthen their independence. Presently, the World Bank's terminal evaluation process for FSPs meets most of the concerns of the GEF Evaluation Office. The Bank's Independent Evaluation Group conducts desk reviews of all the terminal evaluation reports produced by the management for FSPs and conducts direct verification for a sample of these reports. The terminal evaluations for World Bank-implemented MSPs are, however, not reviewed by the Independent Evaluation Group.

Beginning in FY 2006, the UNEP Evaluation Office started providing ratings and commentary on the quality of terminal evaluation reports for completed GEF projects implemented by UNEP. During FY 2007, it increased the scope of its commentaries by also assessing project outcomes, sustainability of outcomes, and implementation of M&E based on the evidence provided in the terminal evaluation reports. Although the ratings provided by the UNEP Evaluation Office are consistent with those provided by the GEF Evaluation Office, it is too early to determine their overall reliability since only a few assessments have been completed so far.

During FY 2007, the UNDP Evaluation Office began to provide commentary on the quality of terminal evaluations for some of its completed GEF projects. The UNDP Evaluation Office has yet to begin reviewing project performance in terms of outcomes, sustainability of outcomes, and implementation of M&E and to provide ratings on these parameters.

The GEF Evaluation Office will continue its dialogue with the GEF Agencies so that they undertake independent review of the terminal evaluations and verify ratings. At the same time, the Evaluation Office will continue to review terminal evaluation reports and verify their ratings.



The Office has been making efforts to ensure timely submission of terminal evaluation reports. Although the time lag between completion and submission has been declining, many reports are still being submitted after more than the two months that is the negotiated norm for this task. The World Bank has a system for automatic submission of an electronic version of terminal evaluation reports for its GEF-supported FSPs when these reports are completed. However, this system is effective only for projects that are identified in the World Bank database (warehouse) as GEF projects. There have been instances where projects, especially blended ones, supported by the GEF have not been identified as such. To address this lacuna, the Evaluation Office now undertakes a time-consuming process of identifying those projects that are expected to have been completed but for which terminal evaluations have not yet been submitted and then tracking the status of these projects in the World Bank Intranet. The terminal evaluations for the MSPs are generally submitted to the Evaluation Office annually. Other GEF Agencies have not yet developed automatic submission systems. The Office will work with the Agencies so that timely submission of all terminal evaluation reports can be ensured.

### **Data Limitations**

The Evaluation Office uses statistical tests to assess differences among groups of projects, and the findings reported here are significant at the 90 percent confidence level. Regression analysis was used to assess the magnitude and direction of change associated with different variables. During the past three fiscal years, there has been an improvement in the overall quality of information provided in terminal evaluation reports. However, information on financial issues, including materialization of cofinancing, and on M&E-related issues remains below expectations. When sufficient information on a performance parameter for a project

has not been provided in its terminal evaluation report, that project has not been included in the portfolio-level assessment for that parameter.

Since data are now available for a greater number of completed projects and over a longer period of years, the GEF Evaluation Office is better able to predict trends and assess differences in performance. However, assessing the performance of completed projects in terms of their outcomes, sustainability of outcomes, and implementation of M&E reflects actions that are now long past limits the extent to which information gathered from analysis of these data is useful in making real-time corrections in operations. Notwithstanding this limitation, this assessment provides a long-term perspective on the extent to which GEF projects are performing vis-à-vis expectations.

Some of the limitations are related to the use of a results-based framework on which outcome achievements of a project are assessed. Outcome achievements are generally assessed through comparison of actual achievements with the commitments made at inception. While this allows an assessment of the extent to which a project meets the ex ante expectations, it does not facilitate a direct inter-project and inter-period comparison because the deliverables promised for projects that are otherwise comparable may be different.

### **Quality of M&E at Entry**

This assessment is a follow-up of the assessment on quality at entry of M&E arrangements presented in APR 2005 and uses an identical methodology to facilitate comparisons over time. The Evaluation Office assessed the quality of M&E arrangements in FSPs at the point of CEO endorsement. All FSPs endorsed by the GEF CEO during FY 2008 were considered. The results of the review were then compared with those for the FY 2005 cohort, which were presented in APR 2005.

## **MARs Assessment**

Management action records facilitate review and follow-up on the implementation status of evaluation recommendations that have been accepted by management (that is, the GEF Secretariat and/or the GEF Agencies) and/or the GEF Council. For each MAR, the Evaluation Office completes the columns pertaining to recommendations, management responses, and Council decisions. Management is then invited to provide a self-rating of the level of adoption of Council decisions and add any comments as necessary. After management's response is included in a MAR, the Evaluation Office verifies actual adoption and provides its own ratings, with comments, in time for presentation to the Council.

## **Performance Matrix**

The performance matrix, which was presented for the first time in APR 2007, provides a summary of the performance of the three main GEF Implementing Agencies and the GEF Secretariat on relevant parameters. Performance on most of these parameters, such as project outcomes, implementation completion delays, materialization of cofinancing, quality of M&E during project implementation, and quality of project terminal evaluations, is already being assessed annually by the GEF Evaluation Office. Performance on other parameters, such as quality of supervision and adaptive management, realism of risk assessment,

and quality of project M&E arrangements at entry, is being assessed and updated every two or three years through special appraisals. For assessing performance on project preparation elapsed time, assessments will be presented based on the GEF Project Management Information System (PMIS) database and will be included from APR 2009 onwards. Performance on the indicator on independence of terminal evaluations is being reported on for the first time in this APR. Improvement in performance on these indicators has been included as a means of measuring institutional learning.

Two of the parameters included in the performance matrix—*independence of GEF partner Agency evaluation units*, and the *assessment of robustness of program result indicators and tracking tools*—will require development of new methodologies and approaches. Both parameters will be addressed as part of OPS4.

## **Review of Findings**

The preliminary findings of this report were presented to and discussed with the GEF Secretariat and GEF Agencies during an interagency meeting held in Washington, D.C., May 12, 2009. Individual reviews of project terminal evaluation reports have been shared with the Agencies and GEF Secretariat for comments, and their feedback has been incorporated.

## 3. Project Outcomes and Sustainability

This chapter discusses verified ratings on outcomes and sustainability for 210 projects for which terminal evaluation reports were submitted from FY 2005 to FY 2008. These completed projects constitute the cohort being assessed for OPS4 and account for a total of \$989 million in GEF investments.

Of the projects reviewed for OPS4, terminal evaluations for 62 of them were submitted in FY 2008. These included 32 full-size projects (including one enabling activity with a GEF investment of over \$1 million) and 30 medium-size projects.

### 3.1 Rating Approach

The Evaluation Office rated project outcomes of the FY 2008 cohort of 62 projects based on level of achievement of project objectives and expected outcomes in terms of **relevance** on a two-point scale and **effectiveness** and **efficiency** on a six-point scale. Up to APR 2007, relevance of outcomes had been rated on a six-point scale. The assessment of relevance primarily focuses on determining whether the anticipated outcomes are relevant to the GEF mandate for generating global environmental benefits.

This year, only **satisfactory** or **unsatisfactory** ratings were provided on relevance. Relevance ratings are considered critical: if the relevance of outcomes rating is unsatisfactory, then the overall outcome rating cannot be higher than

unsatisfactory. Among the other criteria, **effectiveness** continues to be a critical criterion; the overall rating on achievement of outcomes cannot be higher than the rating on effectiveness. The modifications made in the rating approach do not lead to changes in the outcome ratings presented in APR 2007; that is, the outcome ratings of the 210 projects reviewed for OPS4 are comparable.

During project implementation, the results framework of some projects was modified. This poses a challenge, because assessing actual outcomes for all projects based on original outcome expectations may discourage adaptive management. To address this challenge, for projects where modifications and improvements were made in the project objectives, outcomes, and outputs without a downscaling of their overall scope, the GEF Evaluation Office assessed outcome achievements based on the revised results framework. In instances where the scope of the project objectives, outcomes, and outputs was downscaled, the expected outcomes at the start of the project were used as a yardstick for performance assessment.

The Evaluation Office rated sustainability of outcomes based on an assessment of four key risk dimensions: financial, sociopolitical, institutional framework and governance, and environmental. Based on the evidence presented in the terminal evaluation reports, **risks to sustainability of outcomes** were assessed on each of these dimensions.



All risk dimensions were regarded as critical; overall ratings cannot be higher than the lower rating on any of these dimensions.

Of the 210 terminal evaluation reports reviewed, 5 (2 percent) did not provide sufficient information to allow the Office to rate outcome achievements, and 18 (9 percent) did not allow for rating of risks to sustainability of outcomes. Sufficient information was provided in all 62 of the terminal evaluation reports reviewed in FY 2008 to rate outcome achievements; the information provided was not adequate to rate sustainability of outcomes for 2 projects (3 percent).

### 3.2 Outcomes

Of the projects reviewed for OPS4, the outcome achievements of 80 percent were rated moderately satisfactory or above. This exceeds the target set for the fourth GEF replenishment of 75 percent of projects having satisfactory outcomes (GEF EO 2006). Although the completed projects assessed since FY 2005 do not fall under the provisions of GEF-4, their performance indicates that it is realistic to expect that the target will be achieved for OPS4.

Seventy-nine percent of the GEF investment in rated projects funds those rated moderately satisfactory or above. Although the proportions of projects and of investment in projects rated in the satisfactory range are similar overall, a few projects with high investment skew the annual cohorts somewhat (tables 3.1 and 3.2). Chapter 4 presents a detailed discussion of drivers of project outcome achievements.

Table 3.3 provides information on the outcome ratings of different categories of GEF projects by GEF Agency, type of executing agency, focal area, project size, geographic scope, region, and country groupings. Outcomes of 78 percent of the FSPs

and 84 percent of the MSPs were rated moderately satisfactory or above.

Analysis of outcome ratings on a binary scale for different categories of projects reveals the following:

- Compared to other Agencies, a greater proportion of the World Bank–implemented projects were rated in the satisfactory range (85 percent) when other variables such as project size, geographic scope, focal area, and region were controlled for.
- National projects implemented in fragile states and in small island developing states have a lower probability of being rated in the satisfactory range.
- Although a greater proportion of MSPs, climate change projects, national projects, projects executed by others including the private sector, and projects implemented in Asia are rated in the satisfactory range, the difference is not statistically significant.
- Although there is a higher probability of national projects being rated in the satisfactory range as compared to regional and global projects, the difference (owing to the small number of observations for the latter type of projects) is marginal.<sup>1</sup>

Differences in outcome achievement ratings among various project categories become more pronounced on the six-point scale. After controlling for other variables (project size, geographic scope, focal area, and region), the MSPs are rated higher than other projects. Projects implemented by UNEP and those implemented in Africa are rated lower.

<sup>1</sup>The difference is statistically significant at the 85 percent confidence level but not at 90 percent.

**Table 3.1****Distribution of GEF Projects by Outcome Rating**

	FY 2005	FY 2006	FY 2007	FY 2008	Total
Outcome rating	Percentage distribution				
Highly satisfactory	3	6	3	5	4
Satisfactory	54	44	35	52	46
Moderately satisfactory	26	34	35	24	30
<b>Moderately satisfactory or above</b>	<b>82</b>	<b>84</b>	<b>73</b>	<b>81</b>	<b>80</b>
Moderately unsatisfactory	10	14	8	13	12
Unsatisfactory	8	2	18	5	7
Highly unsatisfactory	0	0	3	2	1
<b>Moderately unsatisfactory or below</b>	<b>18</b>	<b>16</b>	<b>27</b>	<b>19</b>	<b>20</b>
Factor	Number				
Terminal evaluation reports submitted	41	66	41	62	210
Projects rated on outcomes	39	64	40	62	205

**Table 3.2****Distribution of GEF Investment by Project Outcome Rating**

	FY 2005	FY 2006	FY 2007	FY 2008	Total
Outcome rating	Percentage distribution				
Highly satisfactory	0	6	5	8	5
Satisfactory	64	30	18	55	43
Moderately satisfactory	20	53	46	12	31
<b>Moderately satisfactory or above</b>	<b>84</b>	<b>88</b>	<b>69</b>	<b>74</b>	<b>79</b>
Moderately unsatisfactory	15	11	14	13	13
Unsatisfactory	1	1	12	10	6
Highly unsatisfactory	0	0	5	3	2
<b>Moderately unsatisfactory or below</b>	<b>16</b>	<b>12</b>	<b>31</b>	<b>26</b>	<b>21</b>
Investment	Million \$				
Total GEF investment in reviewed projects	258.3	255.8	199.3	275.3	988.7
Total GEF investment in rated projects	255.3	254.3	198.3	275.3	983.2

Of the projects from the FY 2008 cohort, outcome achievements of 81 percent were rated moderately satisfactory and above. These projects account for 74 percent of the GEF investment in all rated projects. Thus, the results are not different from those for projects from other annual cohorts (table 3.1).

### 3.3 Sustainability of Project Outcomes

Rating of the sustainability of project outcomes assesses the likelihood of continued benefits after the GEF project ends. To assess outcome sustainability, the criticality and probability of risks

**Table 3.3****Projects Rated Moderately Satisfactory or Above, by GEF Agency, Focal Area, Size, Scope, and Location**

Category		Number reviewed	Number rated	% rated moderately satisfactory or above
<b>All projects</b>		<b>210</b>	<b>205</b>	<b>80</b>
<b>GEF Agency</b>	World Bank	95	93	85
	UNDP	85	83	78
	UNEP	30	29	72
<b>Executing agency</b>	Government or parastatal agency	109	107	82
	NGO or foundation	49	48	79
	Bilateral or multilateral agency	39	37	73
	Other, including private sector organization	13	13	92
<b>Focal area</b>	Biodiversity	117	116	81
	Climate change	51	49	84
	International waters	23	23	78
	Other	19	17	71
<b>Size</b>	FSP	116	114	78
	MSP	94	91	84
<b>Scope</b>	National (single-country project)	150	147	83
	Regional or global	60	58	74
<b>Location</b>	Africa	45	45	73
	Asia	57	55	85
	Europe and Central Asia	36	36	78
	Latin America and the Caribbean	52	51	84
<b>Country group<sup>a</sup></b>	Fragile state	11	11	64
	Small island developing state	14	14	71
	Least developed country	23	23	78
	Landlocked	24	24	83

a. For regional and global projects, includes only those projects in which all participating countries were members of the relevant group.

affecting continuation of benefits at the point of project completion are assessed. Of the 210 terminal evaluation reports submitted from FY 2005 to FY 2008, 18 did not provide sufficient information to allow assessment of sustainability of project outcomes. Of the 192 that were rated, the sustainability of outcomes of 58 percent were rated moderately likely or above; 54 percent were rated both moderately satisfactory or above in terms of outcome achievements and moderately likely or above in terms of sustainability. With regard to GEF

investment, 60 percent of this was in projects with sustainability of outcomes rated moderately likely or above; 54 percent was in projects that were rated both moderately satisfactory or above in terms of outcome achievements and moderately likely or above in terms of sustainability (table 3.4).

**Financial risks pose a threat to the sustainability of outcomes for the largest proportion of projects:** the outcomes of 10 percent of projects were unlikely, and of an additional 21 percent were moderately unlikely, to be sustained due to

**Table 3.4****GEF Investment in Projects with Outcomes/Sustainability Rated as Moderately Satisfactory/Moderately Likely or Above**

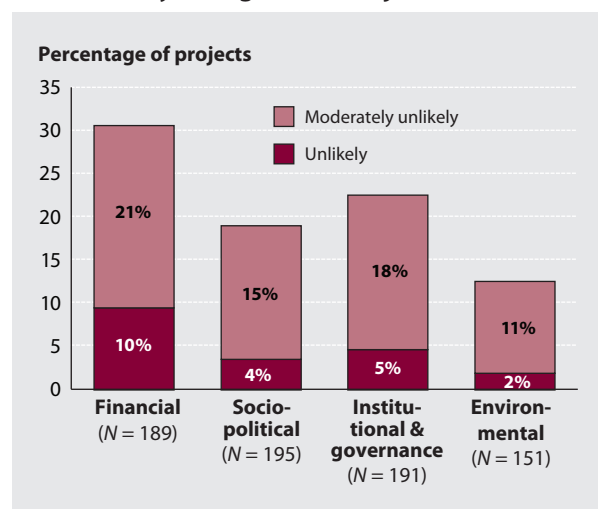
Factor	FY 2005	FY 2006	FY 2007	FY 2008	Total
% of projects with sustainability of outcomes rated moderately likely or above	49	65	59	57	58
% of projects with outcomes rated moderately satisfactory or above and with sustainability of outcomes rated moderately likely or above	44	61	51	55	54
% of GEF investment in projects with sustainability of outcomes rated moderately likely or above	65	60	55	58	60
% of GEF investment in projects with outcomes rated moderately satisfactory or above and with sustainability of outcomes rated moderately likely or above	60	56	44	56	55

risks pertaining to this category. The outcome achievements of 23 percent of the projects were unlikely or moderately unlikely to be sustained due to institutional and governance-related risks and for 19 percent due to sociopolitical risks (figure 3.1).

Of the FY 2008 cohort, the sustainability of outcomes of 57 percent of the projects was rated moderately likely or above; while 55 percent of the projects were rated both moderately satisfactory

or above in terms of outcome achievements and moderately likely or above in terms of sustainability of outcomes. Over half of the GEF investment (58 percent) was in projects that were rated moderately likely or above for sustainability of outcomes; 56 percent was in projects rated both moderately satisfactory or above in terms of outcome achievements and moderately likely or above in terms of sustainability of outcomes.

As with the OPS4 cohort, financial risks comprised the most important risk category for the FY 2008 cohort. The sustainability of outcomes for 5 percent of these projects was rated as unlikely and that of 22 percent was rated moderately unlikely due to this category of risk. For example, a lack of financial support for follow-up activities posed a considerable risk to the sustainability of outcomes from the Management of Indigenous Vegetation for the Rehabilitation of Degraded Rangelands in the Arid Zone of Africa project (GEF ID 504, UNEP) and the Conservation and Sustainable Use of Biodiversity in the Andes Region project (GEF ID 774, World Bank). For the Improving the Energy Efficiency of the Heat and Hot Water Supply project (GEF ID 983, UNDP), project management was unable to identify and leverage additional sources of funding from government and

**Figure 3.1****Perceived Risks Underlying Projects Receiving Low Sustainability Ratings: OPS4 Projects**

other donors for follow-up activities. Outcomes of a substantial proportion of the FY 2008 projects were unlikely or moderately unlikely to be

sustained due to sociopolitical risks (22 percent), institutional and governance risks (22 percent), and environmental risks (13 percent).

## 4. Factors Affecting Attainment of Project Results

Project outcomes may be affected by factors such as project design, quality of project implementation and execution, the operational context in which projects are implemented and executed, and exogenous factors beyond the control of project management. Given the wide range of variables and their interactions, it is difficult to isolate variables and determine their specific effects on a project's results. However, associations between variables and results can be determined. The Evaluation Office has been reporting on some of these variables such as cofinancing and delays in project completion annually. This year, the Office also reports on changes made in the results framework during implementation and the factors that are reported to have led to lower outcome achievements of reviewed projects.

### 4.1 Changes in the Results Framework

The results framework included in the project appraisal document submitted to the GEF for approval/endorsement by the CEO establishes project outcome expectations. At the time of project completion, these ex ante expectations generally serve as a yardstick for assessment of outcome achievements. However, in some instances during the course of project implementation, the GEF Agency may make changes to the results framework. As discussed in section 3.1 of this report, the Office takes into account the nature of these

changes to determine whether using the original results framework is more appropriate to assess the project's outcome achievements.

Changes in the results framework are generally indicative of adaptive management by the GEF Agencies. In some instances, they reflect attempts to adjust the framework to unexpected exogenous changes in a project's operational environment. In others, they may be required to protect the GEF investments from continued losses in certain project activities. This year, the Evaluation Office presents an assessment of the levels at which changes in the results framework of a project are made and the drivers for these changes. The discussion is based on evidence presented in the terminal evaluation reports submitted in FY 2008.

Of the 62 terminal evaluation reports submitted, 23 (37 percent) noted that changes had been made in the results framework during project implementation. Although the changes made vary across projects, they may be broadly categorized as changes made in

- development objectives and outcomes,
- project outputs,
- outcome indicators.

**The development objectives and outcomes of 8 projects were changed during implementation.** In three instances, the change in development objectives and outcomes reoriented the

scope of the project activities. The drivers for change include exogenous factors such as a shift in the political priorities of the participating countries and large-scale migration of the intended beneficiary community from the project area;<sup>1</sup> and endogenous factors such as newer problem analysis suggesting another approach to be more effective in enhancing the financial viability of a key project activity.<sup>2</sup> In two instances, the scope of the development objectives was reduced because of slow and inefficient project implementation.<sup>3</sup> In another three, the original project development objectives were modified because they were not well articulated.<sup>4</sup> In such cases, these changes did not lead to a substantive change in the scope and orientation of the respective project's objectives and activities.

**The expected outputs of 13 projects were changed during project implementation.** In five instances, some of the project outputs were dropped because of poor progress made during implementation. In the remainder, original outputs were replaced or modified to reflect the experience and knowledge gained during project

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<sup>1</sup>*Political priorities example:* Establishment of a Program for the Consolidation of the Meso-American Biological Corridor (GEF ID 243, UNDP); *large-scale migration example:* Conservation of Biodiversity in Pastaza in Ecuador (GEF ID 1301, World Bank).

<sup>2</sup>Egyptian Engineered Wetlands—Construction of Wetland Project Components (GEF ID 395, UNDP).

<sup>3</sup>Optimization of Biodiversity in Game Ranching Systems (GEF ID 359, UNDP) and Conservation Management of Eritrean Coastal, Marine and Island Biodiversity Project (GEF ID 411, UNDP).

<sup>4</sup>Management of Indigenous Vegetation for the Rehabilitation of Degraded Rangelands in the Arid Zone of Africa (GEF ID 504, UNEP), Caribbean Archipelago Biosphere Reserve: Regional Marine Protected Area (MPA) System (GEF ID 773, World Bank), and Conservation and Sustainable Use of Biodiversity in Dibe'en Nature Reserve (GEF ID 1438, UNDP).

implementation. For example, in the Capacity Building for Sustainable Land Management project in Bulgaria (GEF ID 2726, UNDP), some of the original activities were dropped because they had already been undertaken by other organizations by the time project implementation started. The resources saved from the dropped activities were used to undertake a greater number of demonstration activities. The expected outputs of the Methane Gas Capture and Use at a Landfill—Demonstration Project in Mexico (GEF ID 784, World Bank) were modified to support the installation of 88 additional wells to ensure sufficient supply for the generators. The resulting additional cost of \$0.27 million was met through savings in construction of the methane capture plant.

**The outcome indicators were modified for two projects.** The indicators for the Indigenous Management of Protected Areas in the Peruvian Amazon project (GEF ID 651, World Bank) were modified to reflect additional activities covered by the project and to address issues related to measurability and attribution. Similarly, indicators for Conservation and Sustainable Use of the Meso-american Barrier Reef (GEF ID 837, World Bank) were modified to better account for the activities being undertaken by the project.

In summary, of the 23 projects with reported changes in objectives, outcomes, outputs, and/or indicators, only for 7 did the changes appear to be driven by factors that reduce efficiency in project implementation. Furthermore, for only two projects were the inefficiencies considered to be pervasive enough to warrant changes at the development objective and outcome levels.

## 4.2 Factors Associated with Lower Outcome Achievements

In earlier APRs, lower outcome achievements have been linked with factors that could be broadly



classified as weakness in project design, weakness in project implementation, or exogenous changes in a project's operational environment that affect its ability to achieve intended outcomes. This year, the Office presents an assessment of the drivers of lower outcome performance for the completed projects reviewed for OPS4. Of the 210 projects reviewed, the outcome rating of 40 (20 percent) projects was in the unsatisfactory range (that is, moderately unsatisfactory, unsatisfactory, or highly unsatisfactory). This discussion pertains to these 40 projects.

**For 30 projects (75 percent of the 40), weakness in project design was reported to be a driver of low outcome achievements.** Twenty-six projects had design weaknesses related to problem analysis, choice of activities, implementation and execution arrangements, and the project's theory of change. Eleven projects were reported to be over-ambitious, as they allocated inadequate resources in terms of finance and time frame to the problems being addressed; seven of these had other weaknesses related to project design.

For seven projects with lower outcomes stemming from weakness in project design, the project theory of change was weak. Even though project components and activities were completed in a timely manner, and the project did not face any exogenous change that could have affected its ability to achieve intended outcomes, the expected outcomes did not materialize because the activities chosen and assumptions made did not ultimately lead to the expected outcomes.

**For 24 projects (60 percent), lower outcome achievements were linked with problems related to implementation and execution.** These problems include weak technical capacity of hired staff, high staff turnover, delays in implementation of critical project activities such as hiring of staff, weak institutional capacity of the chosen

executing agency, financial mismanagement and weak oversight, and poor project supervision by the GEF Agency.<sup>5</sup> Due to these problems, project activities were either not complete at the time of project closure or had been completed after considerable delays,<sup>6</sup> leading to lower outcome achievements. For 15 of these projects, problems related to project design were also reported.

**For four projects (10 percent of the 40) lower outcome achievements were linked with exogenous factors beyond the control of the GEF partners involved in project implementation.**

For three projects, outcome achievements were reported to be lower because of political instability and civil strife in the project area. The activi-

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<sup>5</sup>*Staff technical capacity example:* Conservation of Biodiversity in the Lake Titicaca Basin (GEF ID 202, UNDP); *staff turnover example:* Sustainable Management of Mt. Isarog's Territories (GEF ID 798, UNDP); *implementation delay example:* Improving the Energy Efficiency of the Heat and Hot Water Supply (GEF ID 983, UNDP); *weak institutional capacity examples:* Conserving Mountain Biodiversity in Southern Lesotho (GEF ID 245, UNDP) and Improving the Energy Efficiency of the Heat and Hot Water Supply (GEF ID 983, UNDP); *financial mismanagement examples:* Conservation of Biodiversity through Integrated Collaborative Management in Rekawa, Ussangoda, and Kalametiya Coastal Ecosystems (GEF ID 802, UNDP); Community-Based Coastal and Marine Conservation in the Milne Bay Province (GEF ID 1261, UNDP), Barriers and Best Practices in Integrated Management of Mountain Ecosystems (GEF ID 1328, UNEP), and Dry Forest Biodiversity Conservation (GEF ID 815, World Bank); *poor project supervision examples:* Dry Forest Biodiversity Conservation; Optimizing Biological Diversity within Wildlife Ranching systems and A Pilot Demonstration in a Semi-arid Zone (GEF ID 359, UNDP).

<sup>6</sup>Relevant completed activities were time critical and where delays could have affected achievement of intended outcomes.



ties of one project had to be curtailed because of a natural disaster.<sup>7</sup>

### 4.3 Materialization of Cofinancing

The Office reports on materialization of cofinancing in completed projects every year based on the information presented in the terminal evaluation reports. However, many key issues such as the level of global environmental benefits that accrue from cofinancing, the processes through which these benefits accrue, and the costs incurred by the GEF partnership in mobilizing cofinancing have not been examined in detail so far. These issues are presently being assessed by the Evaluation Office and will be reported on in OPS4.

The analysis presented here is based on the information available on 285 completed projects for which terminal evaluation reports have been submitted since FY 2002. Terminal evaluations for 75

of these projects were submitted during or before FY 2004; the remainder (210 projects) comprise the OPS4 cohort. Information on materialization of cofinancing is available for 48 projects (64 percent) from the pre-OPS4 period and for 162 projects (77 percent) from the OPS4 period. Among the projects reviewed, all but one had at least some cofinancing promised; for all but three, some cofinancing was reported to have materialized.

For the projects from the pre-OPS4 period, for every dollar of approved GEF grant, on average, cofinancing of \$5.90 was promised and \$5.40 was reported to have materialized. In comparison, for the projects from the OPS4 period, for \$1.00 of approved GEF grant, on average, cofinancing of \$2.10 was promised and \$2.00 was reported to have materialized (table 4.1).

Although on average a higher amount of cofinancing was promised and was reported to have materialized for the projects from the pre-OPS4 period, the rate of materialization (cofinancing materialized vis-à-vis promised) is better for the OPS4 projects (98 percent compared to 92 percent). However, both average amount of cofinancing per dollar of approved GEF grant and

<sup>7</sup>*Political instability examples:* Aceh Elephant Landscape Project (GEF ID 26, World Bank); West Africa Pilot Community-Based Natural Resource Management Project (GEF ID 55, World Bank); Forestry and Conservation Project (GEF ID 513, World Bank); *natural disaster:* Dry Forest Biodiversity Conservation.

**Table 4.1**

#### Materialization of Cofinancing

Factor	FY of report submission			
	2002–04	2005–08 (OPS4)	2008	All years
Number of terminal evaluation reports submitted	75	210	62	<b>285</b>
Number of projects with cofinancing data available	48	162	53	<b>210</b>
Approved GEF grant per project (million \$)	5.9	4.4	3.9	<b>4.7</b>
Actual GEF grant per project (million \$)	5.0	4.1	3.7	<b>4.3</b>
Promised cofinancing per project (million \$)	35.0	9.0	7.4	<b>14.9</b>
Promised cofinancing per \$1.00 of approved GEF grant (\$)	5.90	2.10	1.90	<b>3.20</b>
Reported materialized cofinancing per project (million \$)	32.0	8.8	8.5	<b>14.1</b>
Reported materialized cofinancing per \$1.00 of approved GEF grant (\$)	5.40	2.00	2.20	<b>3.00</b>
Materialized cofinancing per \$1.00 of promised cofinancing (%)	92	98	114	<b>95</b>

rate of materialization of cofinancing tend to be skewed by a few projects. For example, two projects—Sichuan Gas Transmission and Distribution Rehabilitation in China (GEF ID 75, World Bank) and Renewable Resources Development Project in India (GEF ID 76, World Bank)—from the pre-OPS4 cohort account for 77 percent of the cofinancing raised by the projects pertaining to that cohort. If these projects are dropped from consideration, the average materialized cofinancing for the cohort drops from \$5.40 to \$1.40 per dollar of GEF grant. Figures for the OPS4 cohort are not as sensitive: when the top two projects in terms of cofinancing are dropped from consideration, the average materialized cofinancing drops from \$2.00 to \$1.70 per dollar of GEF grant.

Projects implemented by the World Bank had a greater amount of cofinancing promised and a greater amount of cofinancing materialized per dollar of GEF approved grant (table 4.2). For the OPS4 cohort, the difference among Agencies on this count has been reduced.

Overall within the OPS4 cohort, the projects with a lower proportion of promised cofinancing materialized have a lower probability of being rated in the satisfactory range. For example, of

projects where less than 80 percent of promised cofinancing materialized, outcomes of 73 percent were rated in the satisfactory range. In comparison, among the projects with 80 percent or more realization of promised cofinancing, outcomes of 83 percent were rated in the satisfactory range. The assessment on materialization of cofinancing vis-à-vis outcome ratings is affected by reverse causality. As reported in APR 2007, the inability of projects to show progress in earlier stages of their implementation is one of the major reasons leading to withdrawal of support by non-GEF donors.<sup>8</sup> In some instances, the expected project outcomes were reported as having been achieved despite cofinancing commitments not being fully met.<sup>9</sup> The overall direction of causality remains unclear because other pathways, which demonstrate negative effect of lower materialization of cofinancing

<sup>8</sup>Examples: Renewable Energy and Forest Conservation in Nicaragua (GEF ID 847, World Bank), Pilot Production and Commercial Dissemination of Solar Cooker in South Africa (GEF ID 1311, UNDP), Solar Development Group Project (GEF ID 595, World Bank).

<sup>9</sup>Example: Capacity Building for Greenhouse Gas Emission Reduction through Energy Efficiency in Romania (GEF ID 284, UNDP).

**Table 4.2**

**Materialization of Cofinancing by Agency**

FY of report submission	Factor	UNDP	UNEP	World Bank
2002–04	Number of projects with cofinancing data available	11	6	31
	Promised cofinancing per \$1.00 of approved GEF grant (\$)	3.60	1.10	6.50
	Reported materialized cofinancing per \$1.00 of approved GEF grant (\$)	2.80	1.00	6.00
	Materialized cofinancing per \$1.00 of promised cofinancing (%)	78	87	93
2005–08 (OPS4)	Number of projects with cofinancing data available	59	23	80
	Promised cofinancing per \$1.00 of approved GEF grant (\$)	1.6	1.5	2.4
	Reported materialized cofinancing per \$1.00 of approved GEF grant (\$)	1.6	1.5	2.3
	Materialized cofinancing per \$1.00 of promised cofinancing (%)	99	101	98

**Note:** Joint projects have been attributed to the lead GEF Agency.

on project outcomes, have also been reported. For example, in instances where cofinancing and the activities supported through cofinancing were well integrated in the project design, nonmaterialization of a significant proportion of promised cofinancing or delays in materialization cofinancing led to lower outcome achievements or stalled project progress.<sup>10</sup> These issues will be explored in greater detail in OPS4.

## 4.4 Delays in Project Completion

The GEF Evaluation Office tracks the time difference between expected closing at project start and actual closing to determine the extent to which projects supported by the GEF are being completed in a timely manner. Key causes of delay, as reported in APR 2007, include internal factors such as overly optimistic project design, communication problems among project partners, delays in transfer of money to the partners, cumbersome implementation procedures, and delays in hiring key staff; and external causes such as unanticipated political instability, changes in project processing requirements on the part of the host government, and financial crisis in the host country.

### **An assessment of the relationship between delays in completion of projects and their respective outcome ratings for the OPS4**

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<sup>10</sup>*Nonmaterialization examples:* Conservation of Globally Significant Forest Ecosystems in Suriname's Guayana Shield (GEF ID 661, UNDP) and Conservation of Biodiversity through Integrated Collaborative Management in Rekawa, Ussangoda, and Kalametiya Coastal Ecosystems (GEF ID 802, UNDP); *delays in materialization example:* Management of Indigenous Vegetation for the Rehabilitation of Degraded Rangelands in the Arid Zone of Africa (GEF ID 504, UNEP); *lower achievement/stalled progress examples:* Coastal and Marine Biodiversity Management Project in Mozambique (GEF ID 648, World Bank); Biodiversity Conservation in the Azov-Black Sea Ecological Corridor (GEF ID 412, World Bank).

**projects shows little correlation.** Similar results were reported in APR 2006. The evidence from the reviewed terminal evaluation reports shows that in some instances extension of project completion date facilitates achievement of the expected project outcomes.<sup>11</sup> In such cases, insistence on timely completion would mean that some activities are either not completed or are completed in haste, thus resulting in lower outcome achievements.

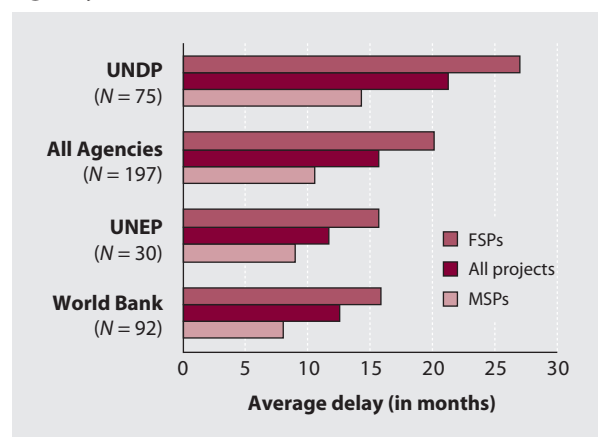
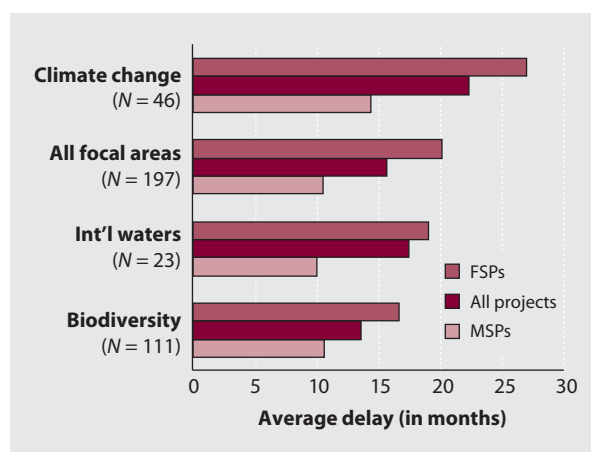
Although the relationship between delays in project completion and project outcome ratings remains unclear, the evidence from terminal evaluation reports shows that delays often indicate management inefficiency. Extended implementation often translates into higher management costs. Consequently, project management may downscale the scope of some activities or may look for additional funding to meet the resultant shortfall in funding.<sup>12</sup>

The average delay in project completion for OPS4 projects was 16 months (figures 4.1 and 4.2). On average, the FSPs were completed with a 20-month delay; the MSPs were completed with a significantly smaller delay of 11 months. Overall, 58 percent of the projects were completed within a year of their expected completion date at the point of project start, and 22 percent were completed after a delay of more than two years (table 4.3). Consistent with the level of complexity involved, a greater proportion of FSPs than MSPs are completed with a delay of more than two years (table 4.3).

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<sup>11</sup>Example: Environmental Protection of the Rio de la Plata and Its Maritime Front (GEF ID 613, UNDP).

<sup>12</sup>*Downscale example:* Coastal and Marine Biodiversity Management' in Mozambique (GEF ID 648, World Bank); *additional funding example:* Establishment of the Nuratau-Kyzylkum Biosphere Reserve as a Model for Biodiversity Conservation' in Uzbekistan (GEF ID 855, UNDP).

**Figure 4.1****Average Delay in Project Completion by GEF Agency, FYs 2005–08****Figure 4.2****Average Delay in Project Completion by Focal Area, FYs 2005–08****Table 4.3****Distribution of Project Completion Delays by Agency and Project Size**

Agency	% of projects completed within 1 year of expected completion date			% of projects completed after a delay of > 2 years of expected completion date		
	FSPs	MSPs	All projects	FSPs	MSPs	All projects
UNDP	39	53	45	49	12	32
UNEP	58	67	63	17	6	10
World Bank	57	79	66	26	8	18
<b>All Agencies</b>	<b>50</b>	<b>67</b>	<b>58</b>	<b>34</b>	<b>9</b>	<b>22</b>

On average, World Bank–implemented projects were completed with a delay of 13 months (16 months for FSPs and 8 months for MSPs). These delays are substantially less than those for projects implemented by the other GEF Agencies.<sup>13</sup> Projects implemented by UNDP are completed with a time lag of 21 months (27 months for FSPs and 13 months for MSPs). While the average delay for UNEP is lower than for the other Agencies the difference is not statistically significant.

<sup>13</sup>The difference is significant when other factors such as geographic scope, region, project size, and focal area are controlled for.

On average, projects in the biodiversity focal area were completed with significantly smaller delays, while those from the climate change focal area had significantly greater time lags.

The average project completion delay was 19 months for the FY 2005 cohort, 13 months for the FYs 2006 and 2007 cohorts, and 18 months for the FY 2008 cohort. Delays of two years or more were experienced by 44 percent of the projects in the FY 2005 cohort, 17 percent of the FY 2006 cohort, 14 percent of the FY 2007 cohort, and 26 percent of the FY 2008 cohort. Thus, no clear trend is visible.

## 5. Quality of Project Monitoring

A project's monitoring and evaluation system provides information early on about progress toward achievement of intended results. It also helps in identifying issues that warrant corrective measures to facilitate progress. The Council-approved 2006 GEF Monitoring and Evaluation Policy sets out minimum requirements for M&E for the different stages of the project life cycle. The requirements relevant to the design stage provide a basis for assessing the quality of a project's M&E arrangements at the point of CEO approval or endorsement; those relevant to the project implementation and completion stages provide a basis for assessing the quality of M&E implementation in completed projects.

The assessment of quality of M&E arrangements at entry presented here is a follow-up to a similar assessment in APR 2005. The assessment on quality of M&E during implementation is presented every year.

### 5.1 Rating Approach

To assess the **quality of M&E arrangements at the point of their entry into the GEF system**, the Office reviewed the M&E plans presented in the project appraisal documents of all FSPs endorsed by the CEO in FY 2005 and FY 2008. In all, the M&E plans of 156 FSPs—74 from FY 2005 and 82 from FY 2008—were reviewed. The results for the FY 2005 cohort have already been presented

in APR 2005. The M&E plans of the additional projects, the FY 2008 cohort, were reviewed following an identical methodology. The plans were assessed on 13 parameters that were classified as either “critical”—where noncompliance indicates serious deficiencies in M&E arrangements—or “other” (see annex C for detailed descriptions of these parameters). To be in compliance with the GEF M&E expectations at entry, a project needs to be in compliance with all the critical parameters and to perform sufficiently well on all the parameters together. To be classified as compliant, projects were required to score at least a 2 (on a scale of 1 to 3, with 3 being the highest) on each of the critical parameters and to have an aggregate score of 26 out of a maximum of 39. Here it should be noted that for the parameter on baseline information—a critical parameter—the GEF requirements have changed. In FY 2005, to be in compliance with the GEF M&E arrangements at entry requirements for baseline information, a promise to conduct a baseline survey in the first year of implementation was sufficient. In contrast, baseline information is now required at the point of CEO endorsement, and only in rare situations is an exception made to allow a GEF Agency to conduct a baseline survey within a year of project start. To account for this change, the minimum level of expected performance on this parameter has been adjusted for the FY 2008 cohort.



**Quality of project monitoring in completed projects** was assessed on a six-point scale. All 252 terminal evaluation reports submitted since FY 2004 were considered; this includes 42 reports submitted in FY 2004 that are not part of the OPS4 cohort. Of these reviewed, 191 terminal evaluation reports provided sufficient information to rate quality of monitoring during implementation. To rate quality of monitoring in completed projects, the Office assesses whether

- an M&E system was in place and facilitated timely tracking of results and progress toward project objectives by collecting information on chosen indicators continually throughout the project implementation period;
- annual project reports were complete and accurate, with well-justified ratings;
- the information provided by the M&E system was used for project management;
- the parties responsible for M&E activities were properly trained to ensure that correct

procedures were followed and quality was maintained in data collection.

## 5.2 Quality of M&E at Entry

The Office rated the M&E arrangements of 76 percent of FSPs that were CEO endorsed in FY 2008 to be in compliance with the minimum requirements applicable in FY 2008. This is a significant improvement over the FY 2005 performance, when 58 percent of the projects were rated as compliant with the requirements then in effect (that is, before implementation of the GEF Monitoring and Evaluation Policy). If the requirements applicable in FY 2005 are also applied to the FY 2008 cohort, the percentage of projects in compliance in that cohort increases to 80 percent (table 5.1). Larger proportions of projects to be implemented by the World Bank and UNDP and of those in the biodiversity and climate change focal areas were rated as in compliance in FY 2008 than in FY 2005. For other Agencies and focal areas, similar conclusions may not be drawn. However, for most, the direction of change is consistent with the overall trend.

**Table 5.1**

### Project Compliance with M&E Requirements at Entry, by Agency and Focal Area

Agency/focal area	FY 2005		FY 2008		
	Number of projects reviewed	% of compliant projects (2005 standards)	Number of projects reviewed	% of compliant projects (2005 standards)	% of compliant projects (2008 standards)
<b>GEF portfolio</b>	<b>74</b>	<b>58</b>	<b>82</b>	<b>80</b>	<b>76</b>
UNDP	25	68	36	83	83
UNEP	5	40	5	60	20
World Bank	30	50	25	80	80
Joint/other	14	64	16	81	69
Biodiversity	28	50	21	95	95
Climate change	21	76	25	88	88
International waters	11	55	10	70	70
Land degradation	3	33	10	80	67
Persistent organic pollutants	2	50	10	50	33
Multifocal	8	50	7	71	57

One parameter assessed was that the M&E plan specify at least one indicator for each expected outcome. A significantly larger percentage of projects in FY 2008 than in FY 2005 complied with this parameter—95 percent versus 57 percent. Moreover, a larger percentage of these specified indicators were assessed as sufficient or largely sufficient to allow measurement of progress toward achievement of expected outcomes: 94 percent of the FY 2008 cohort versus 76 percent of the FY 2005 cohort. Although a smaller percentage of projects in FY 2008 than in FY 2005 provided output targets in their M&E plans—85 percent compared to 95 percent—this is in line with expectations, because a shift to results-based management has led to an increased focus on outcome indicators vis-à-vis output targets.

Figure 5.1 presents the percentage of projects in compliance with three different levels of baseline information requirements. At the time the first M&E quality at entry assessment was carried out (FY 2005), the GEF M&E requirements for baseline information stipulated that, at the point of CEO endorsement, a project should provide

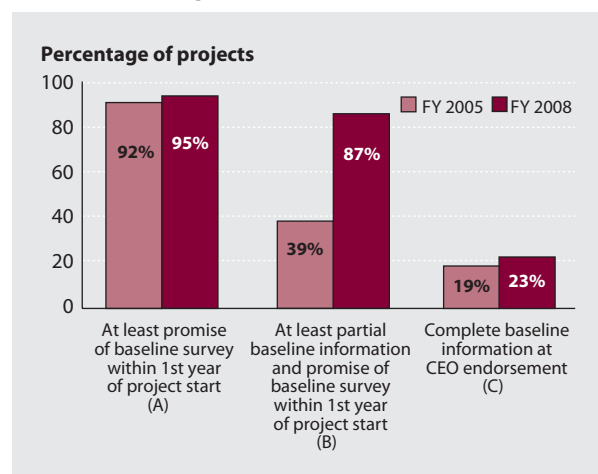
baseline information or should commit to conducting a baseline survey within a year of project start. When projects are assessed on this criterion, 95 percent of those from FY 2008 and 92 percent of those from FY 2005 meet the requirement (A). The difference between the two cohorts increases when they are assessed on the requirement that at least partial baseline information on important indicators along with the promise of a baseline survey in the project's first year be provided (B)<sup>1</sup>. The GEF Monitoring and Evaluation Policy, however, requires projects to provide baseline information at the point of CEO endorsement except in those rare cases when this is not possible. If this more stringent interpretation is applied, assuming those rare cases were absent from the pool of projects reviewed, only 23 percent of the projects from FY 2008 were in compliance (C). Thus, this figure encapsulates both the improvements made by the system in providing baseline information at the time of CEO endorsement (B), and the difficulties in achieving the most desirable state of performance (C).

### 5.3 Quality of Monitoring during Implementation

It is difficult to make robust conclusions on performance among Agencies and focal areas because a significant proportion of the terminal evaluations (23 percent of OPS4 projects) did not provide sufficient information to allow the Evaluation Office to rate performance on this parameter. Among those that did provide this information, 67 percent—72 percent in FY 2008—were rated moderately satisfactory or above in terms of quality of monitoring during implementation (figure 5.2). The proportion of projects from FY 2004 rated in this range was significantly lower—55 percent.

**Figure 5.1**

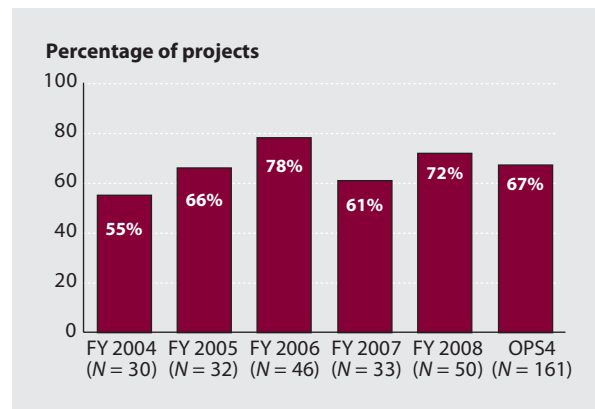
#### Percentage of Projects in Compliance with Baseline Information Requirements



<sup>1</sup>Requirement B has been taken as a standard to assess compliance for the FY 2008 cohort.

**Figure 5.2**

**Percentage of Projects Rated Moderately Satisfactory or Above for Quality of M&E**



As discussed in APR 2006 and APR 2007, projects that have a weak M&E plan at entry

are unlikely to be able to make sufficient corrections to improve their quality of project monitoring during implementation. Among the completed projects from the OPS4 cohort that were rated both on quality of monitoring during implementation and quality of M&E at entry, **only 39 percent of those rated in the unsatisfactory range on quality at entry were in the satisfactory range for quality of M&E during implementation.** In contrast, of those rated in the satisfactory range on quality of M&E at entry, 82 percent were also rated in the satisfactory range during implementation. Thus, quality at entry seems to be an important driver of the eventual quality of monitoring during implementation.



## 6. Quality of Terminal Evaluations

Terminal evaluations provide an assessment of project accomplishments and shortcomings. They are the building blocks for the assessment of completed projects' performance presented in the APRs. Their effectiveness as a learning tool for the GEF partnership may be compromised if the information they provide is inaccurate, incomplete, or biased. The GEF Evaluation Office reviews terminal evaluations to provide verified ratings on project performance and on the quality of terminal evaluation reports. By assessing the quality of the terminal evaluation reports, the Office identifies the areas where the reports could be improved.

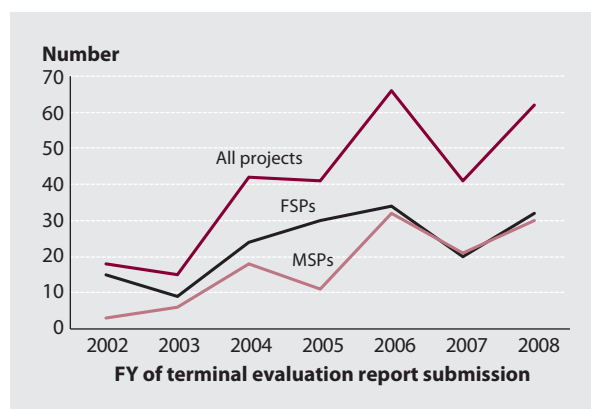
To date, 285 terminal evaluation reports have been submitted to the GEF Evaluation Office (figure 6.1). This is the fifth year the Evaluation Office has rated the quality of these reports; 252 have been rated thus far, including 210 considered for OPS4. In FY 2008, 62 terminal evaluation reports were submitted by the GEF Agencies.

Although delays in submission or nonsubmission of terminal evaluation reports has decidedly decreased, many reports continue to be submitted after considerable delays. The Office is working with the GEF Secretariat and GEF Agencies so that timely submission of terminal evaluation reports for completed projects can be tracked reliably.

Overall, the quality of 89 percent of the terminal evaluation reports considered for OPS4—including 92 percent of those submitted in FY 2008—was

**Figure 6.1**

**Number of Terminal Evaluation Reports Submitted for Review**



rated moderately satisfactory or above. As noted in the APRs for FY 2005, FY 2006, and FY 2007, the overall quality of terminal evaluations has improved substantially from the FY 2004 baseline, when only 69 percent of the terminal evaluation reports were rated moderately satisfactory or above in terms of their quality.

Up to FY 2006, the ratings verified by the Office had been based on desk review of the terminal evaluation reports, which limited the reliability of these reviews. Since FY 2007, the Office has been piloting a methodology for field verification of terminal evaluations to more rigorously confirm the results of completed projects. Since field verification is time consuming and costly, such verifications are being undertaken only for a

sample drawn from the completed full-size projects for which terminal evaluation reports have been submitted to the Office. So far, seven field verifications have been completed. Nine more are planned for inclusion in OPS4.

## 6.1 Rating Approach

The assessment approach adopted for the terminal evaluation reports submitted from FY 2005 to FY 2008 has remained the same; those submitted in FY 2004 were assessed using a slightly different, but comparable, methodology. The reports submitted since FY 2005 have been assessed based on the following criteria:

- Did the report present an assessment of relevant outcomes and achievement of project objectives in the context of the focal area program indicators, if applicable?
- Was the report consistent, the evidence complete and convincing, and the ratings substantiated when used?
- Did the report present a sound assessment of sustainability of outcomes?
- Were the lessons and recommendations supported by the evidence presented?
- Did the report include the actual project costs (total and per activity) and actual cofinancing used?
- Did the report include an assessment of the quality of the project M&E system and its use in project management?

Performance on each of these criteria is rated on a six-point scale. The overall rating is a weighted average of these ratings: the first two criteria are given a weight of 0.3 each, and the remainder a weight of 0.1 each.

The Evaluation Office also tracks consistency between the verified outcome rating provided by

it and those provided in the last project implementation report submitted to the GEF Secretariat, in the terminal evaluation report, and by the evaluation units of the GEF Agencies. Since not all ratings have been provided on the six-point scale used by the Office, ratings are converted to a binary scale to make comparisons possible.

To field-verify findings of terminal evaluations, the Office gathers information on project performance through

- interviews with key stakeholders;
- verification of the physical evidence of reported accomplishments;
- desk review of the project-related literature including, but not restricted to, terminal evaluation reports, audits, progress reports, and other reviews.

The rating approach used by the Evaluation Office in piloting field verifications is identical to that followed in terminal evaluation reviews. Elements of other approaches being adopted by the Evaluation Office to assess the impacts of GEF activities are also being incorporated in the field verification approach.

## 6.2 Findings

As noted, of the 210 terminal evaluation reports submitted for review during the period considered for OPS4, **the quality of 89 percent (187 projects) was rated moderately satisfactory or above** (table 6.1). The terminal evaluation reports of 92 percent of FSPs and 85 percent of MSPs were so rated.

By way of comparison, the proportion of reports rated moderately satisfactory or above was 92 percent in FY 2008, 95 percent in FY 2007, 84 percent in FY 2006, and 88 percent in FY 2005. Only 69 percent of the terminal evaluation reports

**Table 6.1****Percentage of Terminal Evaluation Reports Rated Moderately Satisfactory or Above, by Year of Submission and Agency**

Agency	FYs 2005–06			FYs 2007–08			FYs 2005–08 (OPS4)		
	FSPs	MSPs	All projects	FSPs	MSPs	All projects	FSPs	MSPs	All projects
UNDP	92	83	<b>89</b>	96	91	<b>94</b>	94	89	<b>92</b>
UNEP	63	57	<b>60</b>	100	100	<b>100</b>	75	83	<b>80</b>
World Bank	93	83	<b>89</b>	96	82	<b>90</b>	94	83	<b>89</b>
<b>All Agencies</b>	<b>89</b>	<b>79</b>	<b>85</b>	<b>96</b>	<b>90</b>	<b>93</b>	<b>92</b>	<b>85</b>	<b>89</b>

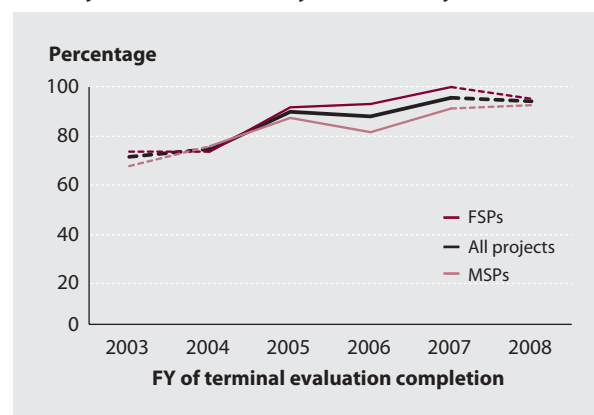
submitted in FY 2004, which are not part of the OPS4 cohort, had been so rated.

Table 6.1 presents the percentage of reports (pertaining to the OPS4) submitted by the GEF Agencies whose quality was rated moderately satisfactory or above. For the OPS4 period, there is little difference in quality ratings among the Agencies. Differences do exist, within Agencies. Specifically, for the World Bank, the percentage of terminal evaluation reports rated of moderately satisfactory or above quality is smaller for MSPs than for FSPs. This reflects the lower level of attention the World Bank accords to MSP terminal evaluations.

When the OPS4 period is split into two halves—FYs 2005–06 and FYs 2007–08—the improvements made in quality of terminal evaluations across Agencies can be better assessed. The terminal evaluation reports submitted in the second subperiod were more likely to be rated moderately satisfactory or above than those in the first. By Agency, there have been significant improvements over the two subperiods in the quality of terminal evaluation reports submitted by UNEP. Gains made by UNEP are linked to the transfer of responsibility for conducting terminal evaluations to its Evaluation Office and a closer tracking of the quality of evaluations.

To assess underlying trends in changes in terminal evaluation report quality, the Evaluation Office has,

since FY 2006, compared quality ratings based on the year of report completion rather than the year of report submission (figure 6.2). The efficacy of using year of completion as a basis for comparison is limited, however, by a time lag in the submission of terminal evaluation reports. Since all reports for some cohorts—especially the most recent one—have not yet been submitted, ratings for as-yet-unsubmitted reports are not known. Figure 6.2 uses dotted lines to represent those periods for which a significant proportion of terminal evaluation reports have not yet been assessed. The trends shown in the figure nonetheless confirm that the quality of terminal evaluation reports has indeed improved over time.

**Figure 6.2****Percentage of Terminal Evaluation Reports with Quality Rated Moderately Satisfactory or Above**

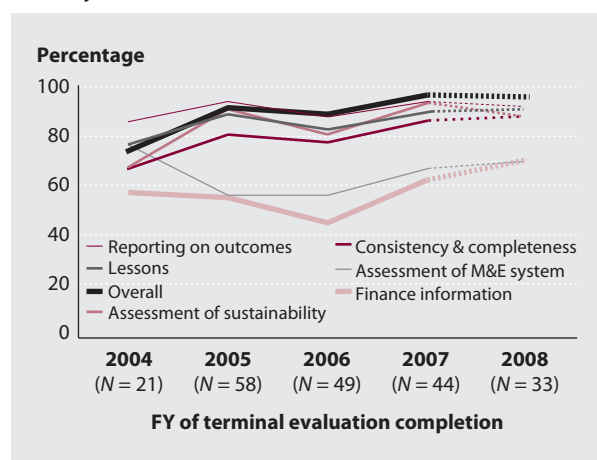
**Note:** The dotted lines indicate that the cohorts for those years are not yet complete.

## Performance by Quality Dimension

The overall quality rating for a terminal evaluation report is based on six quality dimensions. Figure 6.3 shows trends in percentage of terminal evaluation reports rated moderately satisfactory or above on these individual quality dimensions. Despite improvements in overall quality of terminal evaluation reports, improvements in performance on various quality dimensions have been uneven. The ratings for four dimensions—reporting on project outcomes, sustainability of outcomes, quality of lessons, and consistency and completeness of reporting—continue to be high, while those for reporting on M&E and project financial information are considerably lower. By Agency, a larger percentage of the terminal evaluation reports submitted by the World Bank are rated moderately satisfactory or above on the quality of financial information dimension. In recent years, reports submitted by UNEP have shown marked improvement in the quality of the financial information provided.

**Figure 6.3**

### Percentage of Terminal Evaluation Reports with Moderately Satisfactory or Above Ratings on Each Quality Dimension



**Note:** The dotted lines indicate that the cohorts for those years are not yet complete.

## Comparison of Ratings

The Office compares its verified project outcome ratings against those provided in

- the reviews conducted by the evaluation units of the GEF Agencies,
- the terminal evaluation reports,
- the last PIR submitted by the relevant GEF Agency before project completion.

Despite recent attempts by the Agencies at rating harmonization, the scales used to rate outcome achievements (or progress toward achieving expected outcomes, in the case of PIRs) for a significant number of OPS4 projects are not directly comparable to that used by the GEF Evaluation Office. Therefore, to make the ratings comparable, they were converted to a binary scale wherever possible.<sup>1</sup>

Disconnects between the outcome ratings given by the GEF Evaluation Office and others could potentially go in two directions: positive—when the Office rates the outcome achievements of a project as satisfactory, but the others rate them unsatisfactory; or negative—when the Office rates a project’s outcome achievements as unsatisfactory, but the others rate them satisfactory. For the OPS4 projects, there was no positive disconnect between the outcome ratings provided by the Evaluation Office and others. Several negative disconnects were observed, however.

The Independent Evaluation Group of the World Bank provides ratings on outcome achievements for all FSPs, but does not provide such ratings for MSPs. The UNEP Evaluation Office has

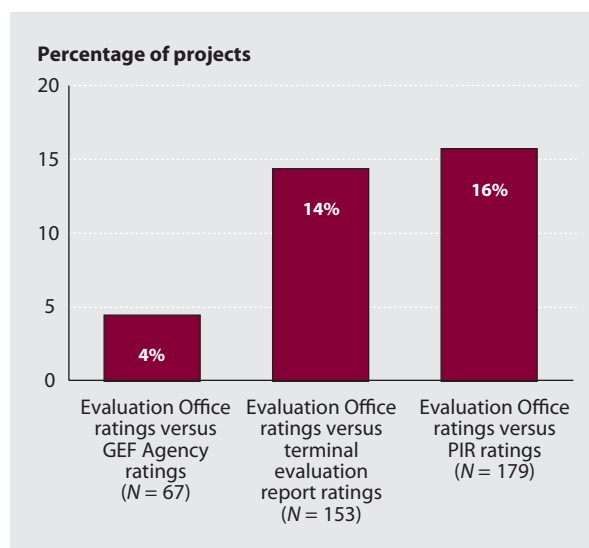
<sup>1</sup>On the GEF Evaluation Office six-point scale, moderately satisfactory, satisfactory, and highly satisfactorily scores become “satisfactory”; highly unsatisfactory, moderately unsatisfactory, and unsatisfactory scores become “unsatisfactory.”

provided ratings on outcome achievements since FY 2007 for both FSPs and MSPs. The UNDP Evaluation Office began rating the quality of terminal evaluation reports in FY 2007, but has yet to provide outcome achievement ratings. Overall, where provided, the outcome ratings given by the evaluation units of the GEF Agencies are consistent with those provided by the GEF Evaluation Office. Negative disconnects were found for only 4 percent of the projects. However, the ratings given in the terminal evaluation reports and those given in the last PIRs show negative disconnects for a comparatively higher 14 percent and 16 percent of projects, respectively (figure 6.4).

The extent of disconnects between the Evaluation Office outcome ratings and those provided in the PIRs are masked by the “missing” PIR ratings. For example, of the 175 projects for which the last PIR submitted included a rating on progress toward achievement of outcomes, the Evaluation Office rated the outcome achievements of only 16 percent in the unsatisfactory range. However, for the 26 projects for which the last PIR had not included such ratings, it rated a comparatively higher 31 percent in the unsatisfactory range. Such a bias was not observed for the ratings provided in the terminal evaluation reports and in the ratings provided by the evaluation units of the GEF Agencies. Thus, this underscores the inability of the PIRs to

**Figure 6.4**

### Negative Disconnects between Ratings by the GEF Evaluation Office and Others



report with candor on progress toward achievement of project outcomes and objectives.

### Piloting of Field Verification Approach

In FY 2007, the Evaluation Office piloted an approach to field verification of terminal evaluation reports. The experience gained through this process will be used to develop the field verification approach further. As only seven terminal evaluations have been field-verified thus far, there are too few observations from which to draw conclusions. Nine more field verifications are planned for inclusion in OPS4.

## 7. Management Action Record

The GEF management action records track the level of adoption of GEF Council decisions on the basis of evaluation findings and recommendations. The MARs also seek to increase GEF management accountability regarding Council decisions on monitoring and evaluation issues. The GEF Council approved the format and procedures for the MAR at its November 2005 meeting and requested that the GEF Evaluation Office prepare an updated MAR to be presented to the Council for review and follow up on an annual basis.

### 7.1 Rating Approach

The rating categories for the progress of adoption of Council decisions were agreed upon in a consultative process of the Evaluation Office, the GEF Secretariat, and the GEF Agencies and are as follows:

- **High**—fully adopted and fully incorporated into policy, strategy, or operations
- **Substantial**—largely adopted but not fully incorporated into policy, strategy, or operations as yet
- **Medium**—adopted in some operational and policy work, but not to a significant degree in key areas
- **Negligible**—no evidence or plan for adoption, or plan and actions for adoption are in a very preliminary stage
- **N.A.**—not applicable
- **Not possible to verify yet**—verification will have to wait until more data are available or proposals have been further developed

This year's MAR presents ratings of GEF management and the verification of these ratings by the Evaluation Office. They track management actions on Council decisions based on 12 GEF Evaluation Office documents, including 9 evaluations presented in last year's MAR:

- Role of Local Benefits in Global Environmental Programs (GEF/ME/C.27/4, October 2005)
- Annual Performance Report 2005 (GEF/ME/C.28/2/Rev.1, May 2006)
- Evaluation of Incremental Cost Assessment (GEF/ME/C.30/2, November 2006)
- Evaluation of the GEF Activity Cycle and Modalities (GEF/ME/C.30/6, November 2006)
- Evaluation of the GEF Support to Biosafety (GEF/ME/C.28/Inf.1, May 2006)
- Annual Performance Report 2006 (GEF/ME/C.31/1, May 2007)
- Country Portfolio Evaluation: Philippines (1992–2007) (GEF/ME/C.31/3, May 2007)
- Joint Evaluation of the Small Grants Programme—Executive Version (GEF/ME/C.32/2, October 2007)
- GEF Annual Report on Impact 2007—Executive Version (GEF/ME/C.32/4, October 2007)



The remaining three documents are new evaluations presented to Council in 2008:

- Annual Country Portfolio Evaluation Report 2008 (GEF/ME/C.33/4, March 2008)
- Annual Performance Report 2007 (GEF/ME/C.33/2, March 2008)
- Mid-term Review of the Resource Allocation Framework (GEF/ME/C.34/2, October 2008)

## 7.2 Findings

This year's MAR tracks management actions on 35 Council decisions (table 7.1). The GEF Evaluation Office was able to verify 32 of these. Two of the decisions that could not yet be verified are currently being assessed by the Office and will be incorporated in the Fourth Overall Performance Study. These include a review of the efficiency of the PIF process, and an assessment of the involvement of social and institutional expertise in project supervision.

### Decisions with Adoption Rated at a Substantial or High Level

**For the second consecutive year, the percentage of verified Council decisions that have been rated by the Evaluation Office at a substantial**

**or high level of adoption has increased, from 44 percent last year to 59 percent.** This year, adoption of most of the verified Council decisions deriving from the new evaluations included in the MAR have been rated as substantial or high. For example, in response to the Council recommendations on the midterm review of the Resource Allocation Framework, the GEF Secretariat has put substantial effort into preparing options for a new and improved system of allocations in GEF-5. In addition, following the Council decision stemming from the Annual Country Portfolio Evaluation Report 2008 requesting the development of "specific, proactive and more flexible engagement approaches with countries in Africa, particularly [least developed countries] that have limited capacity to access and implement GEF funding," the GEF Secretariat has proactively engaged with least developed countries from Africa and other regions by establishing initiatives such as the programmatic approach to sustainable forest management in the Congo Basin, and the West Africa Program .

According to the GEF Evaluation Office, five Council decisions reached a high level of adoption and will be graduated from next year's MAR. Two of these decisions came out of the Evaluation

**Table 7.1**

### Ratings of GEF Progress in Adopting Council Decisions

Management rating	GEF Evaluation Office rating					Sum of management ratings
	High	Substantial	Medium	Negligible	Not possible to verify yet	
High	5	6	5	—	—	16
Substantial	—	7	—	—	2	9
Medium	—	1	8	—	1	10
Negligible	—	—	—	—	—	0
Not possible to verify yet	—	—	—	—	—	0
<b>Sum of Office ratings</b>	<b>5</b>	<b>14</b>	<b>13</b>	<b>0</b>	<b>3</b>	<b>35</b>

**Note:** Highlighted fields show agreement between the ratings of management and the GEF Evaluation Office; fields to the right of the diagonal represent higher ratings by management than by the Evaluation Office (except in the case of not possible to verify yet). — = not applicable or not yet rated.

of the GEF Support to Biosafety; their high level of adoption is a result of the Council's having approved a program for GEF support to biosafety in GEF-4, which has incorporated the recommendations made in the evaluation and is now under implementation. A total of 18 projects have been approved under the biosafety program, accounting for \$21.6 million in funding and benefiting 28 countries. The other three decisions are each from a separate evaluation. The decision from the 2007 APR invited the GEF Agencies to provide information on progress regarding reduction of greenhouse gas emissions in their internal operations in June 2009. A decision from the Joint Evaluation of the SGP requested that the SGP Steering Committee report on actions taken to implement recommendations made at the April 2008 Council meeting. Finally, the decision from the Midterm Review of the Resource Allocation Framework allowed reallocation of unused funds in the last year of GEF-4.

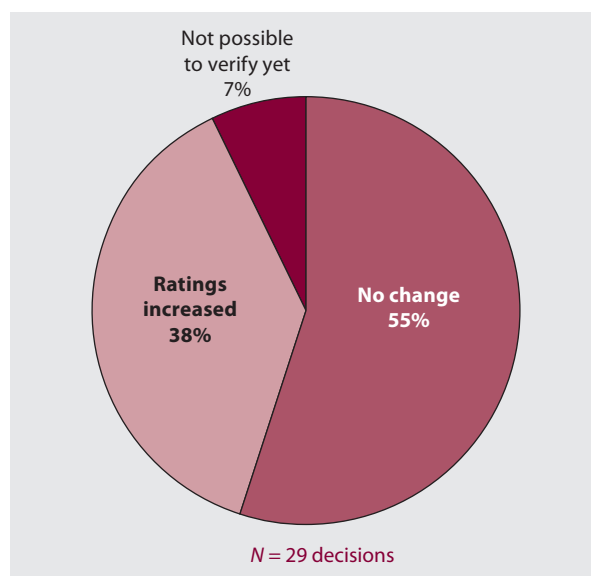
### Decisions That Have Shown No Change in Rating

**This year's MAR finds a notable increase in the percentage of Council decisions whose adoption rating has shown no change with respect to the previous year; this percentage increased from 33 percent last year to 55 percent (figure 7.1).** This categorization covers two very distinct sets of decisions, however: those for which progress has been made and a higher rating is imminent, and those for which the Evaluation Office considers little progress has been achieved.

**On 14 decisions, the GEF Secretariat has done substantial work toward achieving adoption, and the lack of increase in the rating reflects the fact that proposals to the Council are yet to be approved or that it is still too early for the Evaluation Office to verify the level of adoption properly.** For example, five of seven

**Figure 7.1**

### Change in Ratings on Adoption of Council Decisions since APR 2007 Assessment



decisions coming from the Joint Evaluation of the SGP had the same rating as last year. These decisions requested that the SGP Steering Committee propose a new level of management cost, begin a process to change SGP's central management system, and propose a revision of the current criteria for access to SGP resources, among others. The GEF Secretariat and the SGP have carried out consultations and as of this writing were preparing a paper for GEF Council consideration in June 2009. Similarly, ratings of adoption of decisions stemming from the Evaluation of Incremental Cost Assessment have not improved mainly because the strategies for GEF-5 are currently under development and will be discussed at the upcoming replenishment.

**For four decisions related to the Evaluation of the Role of Local Benefits in Global Environmental Programs, the Evaluation Office considers little progress toward adoption has been made.** These decisions, which aim to ensure that local benefits are more systematically addressed in

GEF activities at all stages of the project cycle, have maintained the same rating as last year, medium. The GEF Secretariat rated these decisions as fully adopted, pointing out that the Secretariat carried out studies on the involvement of indigenous peoples in GEF activities in April 2008 and on gender mainstreaming in November 2008, and that 80 percent of recently approved GEF projects have included social assessments. The Secretariat also notes that, as part of the ongoing focal area strategy development for GEF-5, each focal area's technical advisory group has articulated linkages between global environmental benefits and local benefits, and that a consultant will be hired in 2010 to help integrate social impacts and benefits in focal area tracking tools. Although the Evaluation Office finds these measures encouraging, it still maintains that socioeconomic issues, such as poverty and gender, cannot be effectively mainstreamed into GEF approaches without appropriate in-house expertise. The hiring of temporary consultants does not resolve this structural weakness.

### 7.3 Recurring Issues

Two issues discussed in last year's MAR have been revisited. The accuracy of and access to information in the GEF PMIS is an issue that has been raised in several evaluations. It was first noted in the 2004 APR and the Costa Rica Country Portfolio Evaluation. Later, the Philippines Country Portfolio Evaluation and the 2006 APR prompted Council decisions requesting that the GEF Secretariat "ensure transparency of, and better access to, information on GEF procedures and the status of projects in the GEF project cycle," and to "make the development of a management information system a priority activity," respectively. Last year, the GEF Secretariat rated the adoption of all Council decisions requesting increased transparency in the GEF approval process through an improved PMIS as high, and the MAR highlighted

the noticeable progress in the adoption of these decisions.

This year, however, the GEF Evaluation Office finds that there are still several issues that need to be addressed with regard to the PMIS. For example, the Egypt Country Portfolio Evaluation noted the lack of a comprehensive, updated database of GEF activities in the country. Project information coming from the GEF Secretariat, the GEF operational focal point, and the GEF Agencies did not always agree, and there was confusion regarding the status of some projects. While the Evaluation Office acknowledges that the PMIS is still a "work in progress," the fact that it is not considered to be a reliable source even within the Secretariat (as evidenced by the fact that GEF Secretariat managers still rely on their own databases for obtaining project information) raises the question of the degree to which the PMIS has been adopted into the GEF system. The Evaluation Office will continue to assess the issue of access to and quality of information available in the PMIS at both the country and project levels through its various evaluations.

The second recurrent issue pertains to the Council decision stemming from the Samoa Country Portfolio Evaluation, which requested that the Secretariat take into account Samoa's experience with the GEF in its further development of the proposed GEF-Pacific Alliance for Sustainability. Adoption of this decision was rated as high by both the GEF Secretariat and the GEF Evaluation Office in the last MAR.

This year, the Evaluation Office considers that further analysis needs to be done on the inclusion of higher transaction costs in the Pacific Alliance for Sustainability project. OPS4 will take a more in-depth look at programmatic approaches and will determine whether it was justified to include, or not include, transaction costs in the design of these types of projects.

## 7.4 Factors Influencing the Speed with Which Decisions Are Adopted

Levels of adoption vary by type of decision. Some Council decisions are very straightforward, and require simple and specific actions from the GEF Secretariat or the GEF Agencies. In general, such decisions are adopted fairly quickly. An example is the Council decision stemming from the 2007 APR inviting the GEF Agencies to “provide information in June 2009 on progress regarding reduction of greenhouse gas emissions in their internal operations.” This decision was made during the March 2008 Council and its adoption was rated as high in this MAR.

On the other hand, many Council decisions require substantial changes in strategies and processes, and therefore take longer to be fully adopted and integrated into the GEF system. Responses to Council decisions coming from the Joint Evaluation of the GEF Activity Cycle and Modalities (presented to Council in November 2006) requesting that the GEF Secretariat “expedite the project cycle” or “move the work program from being project-based to being program-based in line with GEF strategies and policies” are still at too early a point in the process for the Evaluation Office to assess their level of adoption.

Similarly, various decisions have arisen from several APRs involving the issue of establishing and improving the GEF system for monitoring and evaluating projects. This issue has been raised since the 2004 APR, and, although there has been substantial progress, some aspects still need to be improved. These will also need to be reconsidered in light of the possible changes the Evaluation Office might introduce to the GEF Monitoring and Evaluation Policy and to the Terminal Evaluation Guidelines in 2010.

## 7.5 Lessons Related to the MAR

The development and use of the MAR has been a valuable learning process for the GEF Evaluation Office. Not only has it allowed the Office to track the adoption of the recommendations presented to the Council, but it has served as a platform for reflection on the quantity and quality of these recommendations.

Regarding the quantity of recommendations included in each evaluation presented to the Council, the GEF Evaluation Office is looking into possible options for consolidating recommendations before their presentation in order to improve the efficiency of communication with the Council and the efficiency of the MAR process. A clear step forward in this direction was presenting a summary of findings and recommendations from the various country portfolio evaluations in an annual country portfolio evaluation report. Consequently, the number of recommendations related to country portfolio evaluations presented to the Council last year was 2 instead of 20, had each country portfolio evaluation been presented individually to the Council.

The Evaluation Office notes that, although the difference between its ratings and those given by the GEF Secretariat has decreased (from 49 to 37 percent), a significant discrepancy still persists. In many cases, the ratings made by the Evaluation Office and the ones made by the Secretariat differ due to their respective interpretations of Council decisions. These differences are more frequent where Council decisions do not provide specific targets, or describe progress using terms such as “improve,” “expedite,” and so on, instead of providing precise guidance.

A complete version of the 2008 MAR is available at the GEF Evaluation Office Web site ([www.gefeo.org](http://www.gefeo.org)).

## 8. Performance Matrix

The performance matrix provides a summary of the performance of the GEF Implementing Agencies and GEF Secretariat on a variety of parameters (table 8.1). Although several of these parameters are assessed by the Evaluation Office on an annual basis, to mitigate fluctuations in performance ratings due to differences in project mix or other idiosyncratic factors, the values presented in the matrix are, depending on the parameter, running averages of two to four years. Of the 13 parameters included in the matrix, information has been provided for 10. Note that the information provided for parameter 13, improvement in performance, addresses only 2 of that parameter's 12 dimensions. In the future, as data for more years become available, it will be possible to track improvement in performance on a greater number of dimensions. See annex D for methodological notes for the performance matrix data reported for this APR.

### 8.1 Rating Approach

Reporting methodology varies by parameter:

- Four performance parameters—**project outcomes, implementation completion delays, materialization of cofinancing, and quality of monitoring and evaluation during project implementation**—are reported as four-year running averages, as improvements on these parameters are expected to be gradual. The

figures listed in this year's matrix, however, are not four-year averages for all the parameters.

- The figures reported for performance on **quality of project terminal evaluation reports** are two-year running averages, as meaningful changes can be attained in the short run.
- Changes in performance are also likely to be gradual for a second set of parameters: **quality of supervision and adaptive management, realism of risk assessment and risk management, and quality of project M&E arrangements**. Moreover, assessment of performance on these parameters requires intensive thematic appraisals. For the sake of efficiency, the Evaluation Office will take up such appraisals as part of the APR after a two- to three-year interval.
- Performance on parameter 7, **independence of terminal evaluations**, which is being reported on here for the first time, is rated on a six-point scale from 1, highly unsatisfactory, to 6, highly satisfactory. The findings on this parameter will be updated annually.

Several items cannot yet be reported on:

- For assessing performance on **project preparation elapsed time**, information will be analyzed from the GEF database. An assessment of the time taken in preparing and processing PIFs is being carried out by the Evaluation Office for



Table 8.1

## GEF Agencies and Entities Performance Matrix

Parameter	UNDP	UNEP	World Bank	GEF Secretariat	Overall GEF Performance
<b>Results</b>					
1. Project outcomes: percentage of completed projects with outcomes rated moderately satisfactory or above	78	72	85	—	80
<b>Processes affecting results</b>					
2. Quality of supervision and adaptive management: percentage rated moderately satisfactory or above	88	36	87	—	81
<b>Efficiency</b>					
3. Project preparation elapsed time: average number of months required to prepare projects	—	—	—	—	—
4. Implementation completion delays: average delay in completion of projects in months	21	12	13	—	16
5. Materialization of cofinancing					
a. Reported materialization of cofinancing per dollar of approved GEF financing	1.6	1.5	2.3	2.0	2.0
b. Reported materialization of cofinancing as percentage of promised cofinancing	99	101	98	98	98
<b>Quality of M&amp;E</b>					
6. Independence of Agency central evaluation units	—	—	—	—	—
7. Independence of terminal evaluations or independent review of terminal evaluations	S/S	S/S	HS/MU	—	MS
8. Realism of risk assessment (robustness of project-at-risk systems): percentage of projects rated moderately satisfactory or above in candor and realism in supervision reporting	75	29	80	71	71
9. Robustness of program result indicators and tracking tools	—	—	—	—	—
10. Quality assurance of project M&E arrangements at entry	83	—	80	—	76
11. Quality of project M&E during implementation	59	68	79	—	67
12. Quality of project terminal evaluation	94	100	90	—	89
<b>Quality of Learning</b>					
13. Improvement in performance					
x. Quality of M&E arrangements at entry	3	2	3	—	3
xii. Improvement in quality of terminal evaluations: on a scale of 1 (low performance) to 4 (high performance)	4	4	3	—	3

**Note:** See annex D for detailed information on the rating methodology for each of the parameters included in this table. HS = highly satisfactory; S = satisfactory; MS = moderately satisfactory; MU = moderately unsatisfactory.

OPS4. Findings from this assessment will be included in the matrix once they become available.

- Two parameters—**independence of GEF partner Agency evaluation units** and the

assessment of **robustness of program result indicators and tracking tools**—require development of new methodologies and approaches. This is being addressed as part of the work being carried out for OPS4.



## 8.2 Findings

Information has been provided on 9 of the 13 parameters included in the performance matrix. Three findings, which are more important than the others, are highlighted here.

**1. Ratings on outcome achievements.** Based on the review of terminal evaluation reports submitted to the Evaluation Office from FY 2005 to FY 2008, the Evaluation Office rated outcome achievement (parameter 1) in 80 percent of the projects to be moderately satisfactory and above. Although the rated projects do not fall under the provisions of the fourth GEF replenishment, the percentage is higher than the 75 percent target specified for GEF-4. Among the three Implementing Agencies, the percentage of World Bank projects with ratings in the satisfactory range has been significantly higher than the target (85 percent).

**2. Improvement in quality of M&E arrangements at entry.** A review was carried out in FY 2008 to assess the level of compliance of FSPs that were CEO endorsed in FY 2008 with the GEF M&E requirements at entry. This review was a follow-up to a similar review presented in FY 2005. The Evaluation Office rated 76 percent of the reviewed projects of the FY 2008 cohort as in compliance with the existing requirements. Had the requirements prevalent in FY 2005 been used to assess compliance, 80 percent of the projects of the FY 2008 cohort would have been in compliance. In either case, there has been a marked improvement over FY 2005 when 58 percent were rated as in compliance. By Agency, projects implemented by the World Bank and UNDP have shown considerable improvements. Although

UNEP's level of compliance is lower than that of the other Agencies, the number of observations available for UNEP is not sufficient to allow robust conclusions.

**3. Independence of terminal evaluations or independent review of terminal evaluations.** This year's ratings are based on the extent to which Agencies have put in place a system to independently recruit evaluators, and track and report on the quality of terminal evaluations. The independence of the terminal evaluations submitted by UNDP and UNEP are rated satisfactory for FSP and MSPs. Both Agencies have transferred the terminal evaluation process to their evaluation units, which are now responsible for hiring evaluators, developing terms of reference for evaluations, ensuring quality control, and reporting on the quality of terminal evaluations and quality of M&E during implementation. The independence of World Bank terminal evaluations of FSPs is rated highly satisfactory. Although task managers are responsible for conducting these evaluations, the reports are desk reviewed by the evaluation unit of the World Bank, which verifies outcome ratings and assesses the quality of the terminal evaluation reports and project M&E during implementation. The unit also conducts field verification for a sample of terminal evaluations. The independence of terminal evaluations for World Bank MSPs, on the other hand, is rated as moderately unsatisfactory, as these evaluations are not reviewed by the evaluation unit, and the World Bank does not have a process in place that can systematically track, control quality, or report on the quality of MSP terminal evaluations.



## Annex A. Terminal Evaluation Report Review Guidelines

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

### A.1 Criteria for Outcome Ratings

Based on the information provided in the terminal evaluation report, the terminal evaluation review will make an assessment of the extent to which the project's major relevant objectives were achieved or are expected to be achieved,<sup>1</sup> relevance of the

project results, and the project's cost-effectiveness. The ratings on the outcomes of the project will be based on performance on the following criteria:<sup>2</sup>

- a. **Relevance.** Were project outcomes consistent with the focal area/operational program strategies and country priorities? Explain.
- b. **Effectiveness.** Are project outcomes commensurate with the expected outcomes (as described in the project document) and the problems the project was intended to address (that is, the original or modified project objectives<sup>3</sup>)?
- c. **Efficiency.** Include an assessment of outcomes and impacts in relation to inputs, costs, and implementation times based on the following

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ment results to which a project or program is expected to contribute (OECD DAC 2002).

<sup>2</sup>*Outcomes* are the likely or achieved short-term and medium-term effects of an intervention's outputs. Outputs are the products, capital goods, and services that result from a development intervention; these may also include changes resulting from the intervention that are relevant to the achievement of outcomes (OECD DAC 2002). For the GEF, environmental outcomes are the main focus.

<sup>3</sup>The GEF Secretariat and GEF Agencies are currently seeking to better align the focal area program indicators and tracking tools with focal area strategic priorities and project objectives. This will enable the aggregation of outcomes and impacts for each focal area to annually measure progress toward targets in the program indicators and strategic priorities.

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<sup>1</sup>*Objectives* are the intended physical, financial, institutional, social, environmental, or other develop-

questions: Was the project cost-effective? How does the project's cost/time versus outcomes equation compare to that of similar projects? Was the project implementation delayed due to any bureaucratic, administrative, or political problems and did that affect cost-effectiveness?

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

The reviewer of the terminal evaluation will provide a rating under each of the three criteria (relevance, effectiveness, and efficiency). Relevance of outcomes will be rated on a binary scale: a satisfactory or an unsatisfactory rating will be provided. If an unsatisfactory rating has been provided on this criterion, the overall outcome achievement rating may not be higher than unsatisfactory. Effectiveness and efficiency will be rated as follows:

- **Highly satisfactory.** The project had no shortcomings.
- **Satisfactory.** The project had minor shortcomings.
- **Moderately satisfactory.** The project had moderate shortcomings.
- **Moderately unsatisfactory.** The project had significant shortcomings.
- **Unsatisfactory.** The project had major shortcomings.
- **Highly unsatisfactory.** The project had severe shortcomings.
- **Unable to assess.** The reviewer was unable to assess outcomes on this dimension.

The calculation of the overall outcomes score of projects will consider all three criteria, of which the relevance criterion will be applied first: the overall

outcome achievement rating may not be higher than unsatisfactory. The second constraint applied is that the overall outcome achievement rating may not be higher than the effectiveness rating. The third constraint applied is that the overall rating may not be higher than the average score of effectiveness and efficiency criteria calculated using the following formula:

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

In case the average score formula is lower than the score obtained after application of the first two constraints, then the average score will be the overall score. The score will then be converted into an overall rating with midvalues rounded upward.

## A.2 Impacts

Has the project achieved impacts, or is it likely that outcomes will lead to the expected impacts? Impacts will be understood to include positive and negative, primary and secondary long-term effects produced by a development intervention. They could be produced directly or indirectly and could be intended or unintended. The terminal evaluation review's preparer will take note of any mention of impacts, especially global environmental benefits, in the terminal evaluation report, including the likelihood that the project outcomes will contribute to their achievement. Negative impacts mentioned in the terminal evaluation report should be noted and recorded in section 2 of the terminal evaluation review template in the subsection on "Issues that require follow-up." Although project impacts will be described, they will not be rated.

## A.3 Criteria for Sustainability Ratings

Sustainability will be understood as the likelihood of continuation of project benefits after completion of project implementation (GEF 2000). To

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

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

- **Financial resources.** What is the likelihood that financial resources will be available to continue the activities that result in the continuation of benefits (income-generating activities and trends that may indicate that it is likely that in future there will be adequate financial resources for sustaining project outcomes)?
- **Sociopolitical.** Are there any social or political risks that can undermine the longevity of project outcomes? What is the risk that the level of stakeholder ownership is insufficient to allow for project outcomes/benefits to be sustained? Do the various key stakeholders see it as in their interest that the project benefits continue to flow? Is there sufficient public/stakeholder awareness in support of the long-term objectives of the project?
- **Institutional framework and governance.** Do the legal frameworks, policies, and governance structures and processes pose any threat to the continuation of project benefits? While assessing this parameter, consider if the required systems for accountability and transparency, and the required technical know-how, are in place.
- **Environmental.** Are there any environmental risks that can undermine the future flow of

project environmental benefits? The terminal evaluation should assess whether certain activities in the project area will pose a threat to the sustainability of project outcomes. For example, construction of a dam in a protected area could inundate a sizable area and thereby neutralize the biodiversity-related gains made by the project.

The reviewer will provide a rating under each of the four criteria (financial resources, sociopolitical, institutional, and environmental) as follows:

- **Likely.** There are no risks affecting that criterion of sustainability.
- **Moderately likely.** There are moderate risks that affect that criterion of sustainability.
- **Moderately unlikely.** There are significant risks that affect that criterion of sustainability.
- **Unlikely.** There are severe risks affecting that criterion of sustainability.
- **Unable to assess.** The reviewer was unable to assess risk on this dimension.
- **Not applicable.** This dimension is not applicable to the project.

A number rating of 1–4 will be provided in each category according to the achievement and shortcomings, with likely = 4, moderately likely = 3, moderately unlikely = 2, unlikely = 1, and not applicable = 0. A rating of unable to assess will be used if the reviewer is unable to assess any aspect of sustainability. In such instances, it may not be possible to assess the overall sustainability.

All the risk dimensions of sustainability are critical. Therefore, the overall rating will not be higher than the rating of the lowest rated dimension. For example, if the project has an unlikely rating in either of the dimensions, then its overall rating cannot be higher than unlikely, regardless of whether higher ratings in other dimensions of sustainability produce a higher average.

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

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

- a. **M&E design.** Projects should have a sound M&E plan to monitor results and track progress in achieving project objectives. An M&E plan should include a baseline (including data, methodology, and so on), SMART (specific, measurable, achievable, realistic, and timely) indicators and data analysis systems, and evaluation studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified. Questions to guide this assessment include: In retrospect, was the M&E plan at entry practicable and sufficient (sufficient and practical indicators identified; timely baseline; targets created; effective use of data collection; analysis systems including studies and reports; practical organization and logistics in terms of what, who, and when for M&E activities)?
- b. **M&E plan implementation.** The M&E system was in place and allowed the timely tracking of results and progress toward project objectives throughout the project. Annual project reports were complete, accurate, and with well-justified ratings. The information provided by the M&E

system was used to improve and adapt project performance. An M&E system should be in place with proper training for parties responsible for M&E activities to ensure that data will continue to be collected and used after project closure. Questions to guide this assessment include: Did the project M&E system operate throughout the project? How was M&E information used during the project? Did it allow for tracking of progress toward project objectives? Did the project provide proper training for parties responsible for M&E activities to ensure data will continue to be collected and used after project closure?

- c. **Other questions.** These include questions on funding and whether the M&E system was a good practice.
  - Was sufficient funding provided for M&E in the budget included in the project document?
  - Was sufficient and timely funding provided for M&E during project implementation?
  - Can the project M&E system be considered a good practice?

A number rating of 1–6 will be provided for each criterion according to the achievement and shortcomings, with highly satisfactory = 6, satisfactory = 5, moderately satisfactory = 4, moderately unsatisfactory = 3, unsatisfactory = 2, highly unsatisfactory = 1, and unable to assess = no rating. The reviewer of the terminal evaluation will provide a rating under each of these criteria (M&E design and M&E plan implementation) as follows:

- **Highly satisfactory.** There were no shortcomings in that criterion of the project M&E system.
- **Satisfactory.** There were minor shortcomings in that criterion of the project M&E system.
- **Moderately satisfactory.** There were moderate shortcomings in that criterion of the project M&E system.



- **Moderately unsatisfactory.** There were significant shortcomings in that criterion of the project M&E system.
- **Unsatisfactory.** There were major shortcomings in that criterion of the project M&E system.
- **Highly unsatisfactory.** There was no project M&E system.

The rating for M&E during implementation will be the overall rating of the M&E system:

**Rating on the Quality of the Project  
M&E System = b**

## **A.5 Criteria for Assessment of Quality of Terminal Evaluation Reports**

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

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

information generated by the M&E system was used for project management.

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

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

- **Highly satisfactory.** There were no shortcomings in the terminal evaluation report on this criterion.
- **Satisfactory.** There were minor shortcomings in the terminal evaluation report on this criterion.
- **Moderately satisfactory.** There were moderate shortcomings in the terminal evaluation report on this criterion.
- **Moderately unsatisfactory.** There were significant shortcomings in the terminal evaluation report on this criterion.
- **Unsatisfactory.** There were major shortcomings in the terminal evaluation report on this criterion.
- **Highly unsatisfactory.** There were severe shortcomings in the terminal evaluation report on this criterion.

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

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

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

## **A.6 Assessment of Processes Affecting Attainment of Project Outcomes and Sustainability**

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

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

## Annex B. Terminal Evaluations Reviewed during FY 2008

This annex lists the projects for which terminal evaluation reviews were conducted in FY 2008. Corresponding lists for previous reports are found

in APR 2004, annex D; APR 2005, annex F; APR 2006, annex B; and APR 2007, annex B.

GEF ID	Project title	Country	Region	Size	Agency
22	Commercialization of Super Insulated Building Technology	Mongolia	Asia	MSP	UNDP
98	Energy Conservation	China	Asia	FSP	WB
129	Biodiversity Conservation Management Project	Romania	ECA	FSP	WB
243	Establishment of a Programme for the Consolidation of the Meso-American Biological Corridor	Regional	LAC	FSP	UNDP
280	Reduction of Methane Emissions and Utilization of Municipal Waste for Energy in Amman	Jordan	Asia	FSP	UNDP
359	Optimizing Biological Diversity within Wildlife Ranching systems; A Pilot Demonstration in A Semi-arid Zone	Burkina Faso	AFR	FSP	UNDP
395	Lake Manzala Engineered Wetlands	Egypt	AFR	FSP	UNDP
411	Conservation Management of Eritrea's Coastal, Marine and Island Biodiversity	Eritrea	AFR	FSP	UNDP
412	Biodiversity Conservation in the Azov-Black Sea Ecological Corridor	Ukraine	ECA	FSP	WB
448	Industrial Energy Efficiency Improvement Project	Malaysia	Asia	FSP	UNDP
497	Conservation of Biodiversity and Protected Areas Management	Syria	Asia	MSP	WB
504	Management of Indigenous Vegetation for the Rehabilitation of Degraded Rangelands in the Arid Zone of Africa	Regional	AFR	FSP	UNEP
513	Forestry and Conservation Project	Papua New Guinea	Asia	FSP	WB
520	Experimental Validation of Building Codes and Removal of Barriers to Their Adoption	Tunisia	AFR	FSP	UNDP
571	Low-Cost/Low-Energy Buildings in the Czech Republic	Czech Republic	ECA	MSP	UNDP
613	Environmental Protection of the Rio de la Plata and Its Maritime Front: Pollution Prevention and Control and Habitat Restoration	Regional	LAC	FSP	UNDP
622	Energy Conservation and GHG Emission Reduction in Chinese Township and Village Enterprises (TVE), Phase II	China	Asia	FSP	UNDP
631	Conservation and Sustainable Use of Medicinal Plants	Ethiopia	AFR	FSP	WB
645	Oaxaca Sustainable Hillside Management Project	Mexico	LAC	MSP	WB

GEF ID	Project title	Country	Region	Size	Agency
648	Coastal and Marine Biodiversity Management Project	Mozambique	AFR	FSP	WB
651	Indigenous Management of Protected Areas in the Amazon	Peru	LAC	FSP	WB
653	Coastal and Marine Biodiversity Conservation in Mindanao	Philippines	Asia	FSP	WB
655	Ozone Depleting Substance Consumption Phase-out Project : Tranche III - Small Grant Program (SGP) - Residual ODS Phase Out Management Component	Russian Federation	ECA	FSP	WB
773	Caribbean Archipelago Biosphere Reserve: Regional Marine Protected Area System	Colombia	LAC	MSP	WB
774	Conservation and Sustainable Use of Biodiversity in the Andes Region	Colombia	LAC	FSP	WB
780	Development of Mnazi Bay Marine Park	Tanzania	AFR	FSP	UNDP
784	Methane Capture and Use (Landfill Demonstration Project)	Mexico	LAC	FSP	WB
802	Conservation of Biodiversity through Integrated Collaborative Management in Rekawa, Ussangoda, and Kalametiya Coastal Ecosystems	Sri Lanka	Asia	MSP	UNDP
815	Dry Forest Biodiversity Conservation	Grenada	LAC	MSP	WB
837	Conservation and Sustainable Use of the Mesoamerican Barrier Reef	Regional	LAC	FSP	WB
855	Establishment of the Nuratau-Kyzylkum Biosphere Reserve as a Model for Biodiversity Conservation	Uzbekistan	ECA	MSP	UNDP
864	Multi-agency and Local Participatory Cooperation in Biodiversity Conservation in Yunnan's Upland Ecosystem	China	Asia	MSP	UNDP
874	Assessments of Impacts and Adaptation to Climate Change in Multiple Regions and Sectors (AIACC)	Global	CEX	FSP	UNEP
876	Partnership for Natural Ecosystem Management Program (PAGEN)	Burkina Faso	AFR	FSP	WB
906	Landscape-scale Conservation of Endangered Tiger and Rhinoceros Populations in and Around Chitwan National Park	Nepal	Asia	MSP	UNDP
922	Baltic Sea Regional Project, Tranche 1	Regional	ECA	FSP	WB
925	Conservation of Montane Forest and Paramo in the Colombian Massif, Phase I	Colombia	LAC	FSP	UNDP
945	National Protected Areas System	Ecuador	LAC	FSP	WB
957	Conservation and Sustainable Use of Biodiversity in the Amarakaeri Communal Reserve and Adjoining Indigenous Lands	Peru	LAC	MSP	UNDP
983	Improving the Energy Efficiency of the Heat and Hot Water Supply	Turkmenistan	ECA	MSP	UNDP
1067	Integrated Coastal and Marine Biodiversity Management	Gambia	AFR	MSP	WB
1086	Developing an Integrated Protected Area System for the Cardamom Mountains	Cambodia	Asia	MSP	UNDP
1159	Agricultural Pollution Control Project - under WB-GEF Strategic Partnership for Nutrient Reduction in the Danube River and Black Sea	Romania	ECA	FSP	WB
1301	Conservation of Biodiversity in Pastaza	Ecuador	LAC	MSP	WB
1307	In-situ Conservation of Native Landraces and their Wild Relatives in Vietnam	Vietnam	Asia	MSP	UNDP
1318	Reducing Greenhouse Gas Emissions through the Use of Biomass Energy in Northwest Slovakia	Slovak Republic	ECA	MSP	UNDP
1340	Promoting Industrial Energy Efficiency through a Cleaner Production/ Environmental Management System Framework	Global	CEX	MSP	UNEP

GEF ID	Project title	Country	Region	Size	Agency
1344	Conservation of Gramineae and Associated Arthropods for Sustainable Agricultural Development in Africa	Regional	AFR	MSP	UNEP
1409	Galapagos Oil Spill : Environmental Rehabilitation and Conservation	Ecuador	LAC	MSP	UNDP
1416	Community -based Conservation and Sustainable Use of the Atiquipa and Taimara Lomas Ecosystems	Peru	LAC	MSP	UNDP
1438	Conservation and Sustainable Use of Biodiversity in Dibeena Nature Reserve	Jordan	Asia	MSP	UNDP
1604	Sustainable Conservation of Globally Important Caribbean Bird Habitats: Strengthening a Regional Network for a Shared Resource	Regional	LAC	MSP	UNEP
1611	Developing a Model Conservation Programme-Conservation of the Gobi Desert Using Wild Bactrian Camels as an "Umbrella Species".	Mongolia	Asia	MSP	UNDP
1650	Enabling Activities Leading to the Second National Communication of the Argentine Government to the Conference of the Parties to UNFCCC	Argentina	LAC	EA	WB
1694	Development of the Econet for Long-term Conservation of Biodiversity in the Central Asia Ecoregions	Regional	ECA	MSP	UNEP
1702	Rehabilitation and Expansion of Small Hydro-Plants on the River Raba in Hungary	Hungary	ECA	MSP	WB
1794	Removing Obstacles to Direct Private-Sector Participation in In-situ Biodiversity Conservation	Bolivia	LAC	MSP	WB
1952	Support for World Parks Congress, September 8-17, 2003, Durban, South Africa	Global	CEX	MSP	UNEP
2042	Strengthening the Implementation Capacities for Nutrient Reduction and Transboundary Cooperation in the Danube River Basin (Tranche 2)	Regional	ECA	FSP	UNDP
2167	Global Support to Facilitate the Early Development & Implementation of Land Degradation Programs & Project Under the GEF Operational Programme N 15	Global	CEX	MSP	UNEP
2263	Control of Eutrophication, Hazardous Substances and Related Measures for Rehabilitating the Black Sea Ecosystem: Tranche 2	Regional	ECA	FSP	UNDP
2726	Capacity Building for Sustainable Land Management (SLM) in Bulgaria	Bulgaria	ECA	MSP	UNDP

**Note:** AFR = Africa; CEX = global; ECA = Europe and Central Asia; LAC = Latin America and the Caribbean.

## Annex C. Quality of M&E Arrangements at Project Entry

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This annex presents the instrument used to assess quality of M&E plans and the percentage of projects in compliance with the minimum expected level of performance. For more information, see annexes D and E of APR 2005.

Projects that scored 2 or more on a parameter were rated as being in compliance with the

requirements on that parameter. The percentage of projects in compliance with minimum requirements on respective parameters is provided in table C.2. Note that since the GEF has shifted to results-based management, targets for outcome achievements are now accorded lesser importance in M&E plans.



**Table C.1****Instrument for Assessment of M&E Plans**

No.	Parameter	Response and raw score
1	Is there at least one specific indicator in the logframe for each of the project objectives and outcomes?	Yes..... 3 No..... 1
2	Are the indicators in the logframe relevant to the chosen objectives and outcomes?	Yes..... 3 Yes, but only some are relevant..... 2 No..... 1
3	Are the indicators in the logframe sufficient to assess achievement of the objectives and outcomes?	Sufficient..... 3 Largely sufficient..... 2 Some important indicators are missing..... 1
4	Are the indicators for project objectives and outcomes quantifiable?	Yes..... 3 Some of them are..... 2 No, or else it has not been shown how the indicators could be quantified..... 1
5	Has the complete and relevant baseline information been provided?	Yes, complete baseline info provided..... 3 Partial info but baseline survey in 1st year..... 2.5 No info but baseline survey in 1st year..... 2 Only partial baseline information..... 1.5 No info provided..... 1
6	Has the methodology for determining the baseline been explained?	Yes..... 3 No..... 1
7	Has a separate budget been allocated to M&E activities?	Yes..... 3 No..... 1
8	Have the responsibilities been clearly specified for the M&E activities?	Yes, and clearly specified..... 3 Yes, broadly specified..... 2 No..... 1
9	Have the time frames been specified for the M&E activities?	Yes, for all the activities..... 3 Yes, but only for major activities..... 2 No..... 1
10	Have the performance standards (targets) been specified in the logframe for the project outputs?	Yes, for all the outputs..... 3 Yes, but only for major outputs..... 2 No..... 1
11	Have the targets been specified for the indicators for project objectives and outcomes in the logframe?	Yes, for most..... 3 Yes, but only for some of the indicators..... 2 No..... 1
12	Are the specified targets for indicators of project objective and outcomes based on initial conditions?	Yes, for most..... 3 Yes, but only for some of the indicators..... 2 No..... 1
13	Do the project documents mention having made a provision for midterm and terminal evaluation?	Yes, both midterm and terminal evaluation..... 3 Only terminal evaluation..... 2.5 Only midterm evaluation..... 1.5 No information provided..... 1

**Table C.2****Percentage of Projects Meeting the Minimum Criteria**

No.	Parameter	FY 2005	FY 2008
1	Is there at least one specific indicator in the logframe for each of the project objectives and outcomes? (Yes)	57	95
2	Are the indicators in the logframe relevant to the chosen objectives and outcomes? (Yes, all or at least some are relevant)	100	100
3	Are the indicators in the logframe sufficient to assess achievement of the objectives and outcomes? (Sufficient or largely sufficient)	76	94
4	Are the indicators for project objectives and outcomes quantifiable? (Yes or some of them are)	97	99
5	Has the complete and relevant baseline information been provided? (Yes, complete baseline info provided, or partial info but baseline survey in 1st year, or no information but baseline survey in 1st year)	92 (36)	95 (76)
6	Has the methodology for determining the baseline been explained? (Yes)	84	99
7	Has a separate budget been allocated to M&E activities? (Yes)	92	95
8	Have the responsibilities been clearly specified for the M&E activities? (Yes, and clearly or broadly specified)	99	100
9	Have the time frames been specified for the M&E activities? (Yes, and clearly or broadly specified)	99	100
10	Have the performance standards (targets) been specified in the logframe for the project outputs? (Yes, for all outputs or for major outputs)	95	85
11	Have the targets been specified for the indicators for project outcomes in the logframe? (Yes, for all outcomes or for major outcomes)	89	99
12	Are the specified targets for indicators of project outcomes based on initial conditions? (Yes, for all outcomes or for major outcomes)	82	94
13	Do the project documents mention having made a provision for midterm and terminal evaluation? (Yes, both midterm and terminal evaluation, or at least the terminal evaluation)	81	100

**Note:** Figures in parentheses indicate compliance with requirements for baseline information as specified in the 2006 GEF Monitoring and Evaluation Policy (which was not operational when projects of the FY 2005 cohort were approved).

**Table C.3****FY 2008 Projects Reviewed for Quality of M&E Arrangements at Entry**

<b>GEF ID</b>	<b>Project name</b>	<b>Agency</b>	<b>Country</b>	<b>Focal area</b>	<b>Size</b>	<b>Compliant w/ FY 2008 requirements</b>
967	Private Sector Led Development of On-Grid Wind Power in Tunisia	UNDP	Tunisia	CC	FSP	Yes
1017	Partnership Interventions for the Implementation of the Strategic Action Programme for Lake Tanganyika	UNDP	Regional	IW	FSP	Yes
1027	Strengthening Governance and Financial Sustainability of the National Protected Area System	UNDP	Ukraine	BD	FSP	Yes
1028	Mainstreaming Conservation of Migratory Soaring Birds into Key Productive Sectors along the Rift Valley/Red Sea Flyway (Tranches 1 and 2)	UNDP	Regional	BD	FSP	Yes
1032	Sustainable Management of the Shared Marine Resources of the Caribbean Large Marine Ecosystem and Adjacent Regions	UNDP	Regional	IW	FSP	No
1040	Solar Thermal Hybrid Project	WB	Egypt	CC	FSP	No
1156	Mainstreaming Conservation and Sustainable Use of Medicinal Plant Diversity in Three Indian States	UNDP	India	BD	FSP	Yes
1197	Enhancing the Effectiveness and Catalyzing the Sustainability of the W-Arly-Pendjari Protected Area System	UNDP	Regional	BD	FSP	Yes
1207	Regional System of Protected Areas for Sustainable Conservation and Use of Valdivian Temperate Rainforest	UNDP	Chile	BD	FSP	Yes
1234	Community-based Coastal and Marine Biodiversity Management Project	WB	Benin	BD	FSP	Yes
1239	Sustainable Development of the Protected Area System	UNDP	Ethiopia	BD	FSP	Yes
1252	Bay of Bengal Large Marine Ecosystem	FAO/WB	Regional	IW	FSP	Yes
1331	Demonstrating Cost-effectiveness and Sustainability of Environmentally-sound and Locally Appropriate Alternatives to DDT for Malaria Control in Africa	UNEP	Regional	POP	FSP	No
1420	Reducing Dependence on POPs and other Agro-Chemicals in the Senegal and Niger River Basins through Integrated Production, Pest and Pollution Management	UNEP	Regional	MF	FSP	No
1520	Development of a National Implementation Plan in India as a First Step to Implement the Stockholm Convention on Persistent Organic Pollutants	UNIDO	India	POP	FSP	No
1607	Increased Access to Electricity Services	WB	Zambia	CC	FSP	Yes
1614	Demonstrating the Development and Implementation of a Sustainable Island Resource Management Mechanism in a Small Island Developing State	UNDP	Antigua and Barbuda	MF	FSP	No
1620	Mainstreaming Biodiversity Management into Production Sector Activities	UNDP	Seychelles	BD	FSP	Yes
1802	Demonstrating and Promoting Best Techniques and Practices for Reducing Health-care Waste to Avoid Environmental Releases of Dioxins and Mercury	UNDP	Global	POP	FSP	No
2035	SFM Strengthening Protected Area System of the Komi Republic to Conserve Virgin Forest Biodiversity in the Pechora River Headwaters Region	UNDP	Russian Federation	BD	FSP	Yes

GEF ID	Project name	Agency	Country	Focal area	Size	Compliant w/ FY 2008 requirements
2096	Development of a National Implementation Plan in Brazil as a First Step to Implement the Stockholm Convention on Persistent Organic Pollutants	UNEP	Brazil	POP	FSP	No
2127	Conservation and Adaptive Management of Globally Important Agricultural Heritage Systems	FAO	Global	BD	FSP	Yes
2129	Demonstrating and Capturing Best Practices and Technologies for the Reduction of Land-sourced Impacts Resulting from Coastal Tourism	UNEP	Regional	IW	FSP	Yes
2133	Lake Skader-Shkoder Integrated Ecosystem Management	WB	Regional	IW	FSP	Yes
2261	Building Partnerships to Assist Developing Countries to Reduce the Transfer of Harmful Aquatic Organisms in Ships' Ballast Water (GloBallast Partnerships)	UNDP	Global	IW	FSP	Yes
2268	SIP: Integrated Ecosystem Management in Four Representative Landscapes of Senegal, Phase 2	UNDP	Senegal	LD	FSP	Yes
2329	Global Programme to Demonstrate the Viability and Removal of Barriers that Impede Adoption and Successful Implementation of Available, Non-Combustion Technologies for Destroying Persistent Organic Pollutants	UNIDO	Philippines	POP	FSP	No
2355	Agricultural Productivity and Sustainable Land Management	WB	Kenya	LD	FSP	Yes
2368	Hanoi Urban Transport Development	WB	Vietnam	CC	FSP	Yes
2372	Forest and Mountain Protected Areas Project	WB	Bosnia-Herzegovina	BD	FSP	Yes
2377	Sustainable Land Management in the High Pamir and Pamir-Alai Mountains - and Integrated and Transboundary Initiative in Central Asia Phase I	UNEP	Regional	LD	FSP	No
2499	Productive Uses of Renewable Energy in Guatemala	UNDP	Guatemala	CC	FSP	Yes
2509	Sustainable Land Management for Combating Desertification (Phase I)	UNDP	Pakistan	LD	FSP	Yes
2511	Groundnut Basin Soil Management and Regeneration	UNDP	Senegal	LD	FSP	Yes
2517	Sustainable Environmental Management for Sixaola River Basin	IDB	Regional	MF	FSP	Yes
2545	Catalyzing the Implementation of Uruguay's National Protected Area System	UNDP	Uruguay	BD	FSP	Yes
2555	Promotion of a Wind Power Market	WB	Jordan	CC	FSP	Yes
2584	Nile Transboundary Environmental Action Project, Phase II	UNDP	Regional	IW	FSP	Yes
2589	Institutionalizing Payments for Ecosystem Services	UNDP	Global	BD	FSP	Yes
2600	Strategic Partnership for the Mediterranean Large Marine Ecosystem-Regional Component: Implementation of Agreed Actions for the Protection of the Environmental Resources of the Mediterranean Sea and Its Coastal Areas	UNEP/UNIDO	Regional	MF	FSP	Yes
2604	Sustainable Public Transport and Sport: A 2010 Opportunity	UNDP	South Africa	CC	FSP	Yes
2609	GEF-World Bank-China Urban Transport Partnership Program	WB	China	CC	FSP	Yes

GEF ID	Project name	Agency	Country	Focal area	Size	Compliant w/ FY 2008 requirements
2611	Integrated Energy Services for Small Localities of Rural Mexico	WB	Mexico	CC	FSP	Yes
2614	Adaptation to Climate Change - Responding to Shore-line Change and its human dimensions in West Africa through integrated coastal area management.	UNDP	Regional	CC	FSP	Yes
2615	National Grasslands Biodiversity Program	UNDP	South Africa	BD	FSP	Yes
2625	Energy Efficiency Project	WB	Argentina	CC	FSP	Yes
2633	Mainstreaming and Sustaining Biodiversity Conservation in Three Productive Sectors of the Sabana Camaguey Ecosystem	UNDP	Cuba	BD	FSP	Yes
2689	Latin America: Multi-country Capacity-building for Compliance with the Cartagena Protocol on Biosafety	WB	Regional	BD	FSP	No
2700	Implementation of Sustainable Development Strategy for the Seas of East Asia	UNDP	Regional	IW	FSP	No
2703	Effective Conservation and Sustainable Use of Mangrove Ecosystems in Brazil	UNDP	Brazil	BD	FSP	Yes
2720	Regional Project to Develop Appropriate Strategies for Identifying Sites Contaminated by Chemicals listed in Annexes A, B and/or C of the Stockholm Convention	UNIDO	Regional	POP	FSP	No
2753	Participatory Coastal Zone Restoration and Sustainable Management in the Eastern Province of Post-Tsunami Sri Lanka	IFAD	Sri Lanka	MF	FSP	Yes
2764	National Biodiversity Mainstreaming and Institutional Consolidation Project	WB	Brazil	BD	FSP	Yes
2774	Community-based Adaptation Programme	UNDP	Global	CC	FSP	Yes
2777	Barrier Removal to the Cost-Effective Development and Implementation of Energy Standards and Labeling Project	UNDP	Regional	CC	FSP	Yes
2794	SIP-Country Program for Sustainable Land Management	WB	Ethiopia	LD	FSP	No
2801	Promotion of Environmentally Sustainable Transport in Metropolitan Managua	UNDP	Nicaragua	CC	FSP	Yes
2889	Zambezi Valley Market Led Smallholder Development	WB	Mozambique	MF	FSP	Yes
2902	Design and Implementation of Pilot Climate Change Adaptation Measures in the Andean Region	WB	Regional	CC	FSP	Yes
2903	Tanzania Energy Development and Access Project	WB	Tanzania	CC	FSP	Yes
2911	West African Regional Biosafety Program	WB	Regional	BD	FSP	Yes
2927	Environmentally Sustainable Management of Medical Waste in China	UNIDO	China	POP	FSP	Yes
2931	Adaptation to Climate Change through Effective Water Governance	UNDP	Ecuador	CC	FSP	No
2932	Alternatives to DDT Usage for the Production of Anti-fouling Paint	UNDP	China	POP	FSP	Yes
2935	Micro-turbine Cogeneration Technology Application Project	UNDP	Indonesia	CC	FSP	Yes
2949	Critical Ecosystems Partnership Fund, Phase 2	WB	Global	BD	FSP	Yes

GEF ID	Project name	Agency	Country	Focal area	Size	Compliant w/ FY 2008 requirements
2950	Lighting the “Bottom of the Pyramid”	WB/IFC	Regional	CC	FSP	Yes
2951	Energy Efficiency Financing	WB	China	CC	FSP	Yes
2970	Integrated Nutrient Pollution Control Project-under the WB-GEF Investment Fund for Nutrient Reduction in the Danube River and Black Sea	WB	Romania	IW	FSP	Yes
2996	Portfolio Approach to Distributed Generation Opportunity (Phase 1)	WB/IFC	Sri Lanka	CC	FSP	Yes
3148	Agricultural Pollution Control Project - under the Strategic Partnership Investment Fund for Nutrient Reduction in the Danube River and Black Sea	WB	Croatia	IW	FSP	No
3219	Reducing Climate Change-induced Risks and Vulnerabilities from Glacial Lake Outbursts in the Punakha-Wangdi and Chamkhar Valleys	UNDP	Bhutan	CC	FSP	Yes
3227	Conservancy Adaptation Project	WB	Guyana	CC	FSP	Yes
3228	Small Grants Programme, 4th Operational Phase	UNDP	Global	MF	FSP	No
3232	CACILM Partnership Framework - Land Improvement Project	ADB	Uzbekistan	LD	FSP	Yes
3233	CACILM: Southern Agriculture Area Development Project - under CACILM Partnership Framework, Phase 1	ADB	Kyrgyzstan	LD	FSP	Yes
3234	CACILM: Rural Development Project under CACILM Partnership Framework, Phase I	ADB	Tajikistan	LD	FSP	No
3254	Mainstreaming Prevention and Control Measures for Invasive Alien Species into Trade, Transport and Travel Across the Production Landscape	UNDP	Seychelles	BD	FSP	Yes
3263	Strengthening Institutions, Regulations and Enforcement Capacities for Effective and Efficient Implementation of the National Implementation Plan in China	UNIDO	China	POP	FSP	Yes
3265	Mainstreaming Adaptation to Climate Change Into Water Resources Management and Rural Development	WB	China	CC	FSP	Yes
3296	Geothermal Power Generation Development Program	WB	Indonesia	CC	FSP	No
3567	CPP Burkina Faso: Sub-programme of the Northern Region-under Partnership Programme for Sustainable Land Management	IFAD	Burkina Faso	LD	FSP	No

**Note:** BD = biodiversity; CC = climate change; IW = international waters; LD = land degradation; MF = multifocal; POP = persistent organic pollutants; WB = World Bank.



## Annex D. Methodological Notes on the Performance Matrix

This annex briefly describes the considerations taken into account for each of the performance matrix's 13 parameters.

### D.1 Project Outcomes

The figures on project outcomes are four-year moving averages based on the terminal evaluation reports submitted in the preceding years, including the fiscal year for which the APR is being presented; the figures presented in this year's APR are based on the terminal evaluation reports submitted during FYs 2005, 2006, 2007, and 2008. The aggregate figures are weighted averages, with each project considered to have equal weight.

### D.2 Quality of Supervision and Adaptive Management

The figures presented on quality of supervision and adaptive management are based on the findings of the pilot assessment of project supervision presented in the FY 2006 APR. The projects considered for this assessment were under implementation during FY 2005 and/or FY 2006. The figures will be updated and included in OPS4.

### D.3 Project Preparation Elapsed Time

The figures presented for project preparation elapsed time will indicate average number of months required to prepare projects. The data on this parameter will be provided by the Agencies and the GEF Secretariat database. These figures

will be updated biennially. This year, no figures are provided for this parameter yet. However, figures on the preparation and approval of PIFs will be presented in OPS4.

### D.4 Project Implementation Completion Delays

The information presented in the terminal evaluation reports is the primary source for this parameter. The figures for implementation completion delays are four-year averages and are based on the information provided in the terminal evaluation reports. The figures presented in this year's APR are based on the terminal evaluation reports submitted during FYs 2005, 2006, 2007, and 2008.

### D.5 Materialization of Cofinancing

The figures for materialization of cofinancing pertain to projects whose terminal evaluation reports were submitted to the Office during FYs 2005, 2006, 2007, and 2008. The analysis is based on the information provided by the Agencies in the terminal evaluation reports or through other communications. These figures have not been verified.

### D.6 Independence of Agency Evaluation Units

Last year, the GEF Evaluation Office began a consultation process with the evaluation units of the GEF Agencies to define an appropriate way forward in assessing their independence. Broadly,

the assessment provided on this parameter will be based on self-reporting by the Agencies and peer reviews carried out in the context of the Evaluation Cooperation Group of the Banks and the United Nations Evaluation Group. The charter and mandate of the various evaluation units will also provide evidence of their degree of independence. No ratings are provided on this parameter this year.

## **D.7 Independence of Terminal Evaluations**

Independence of terminal evaluations is appraised through the assessment of the process followed for conducting terminal evaluations through field verification and based on interviews with relevant staff and consultants of the partner Agencies. This allows the Office to assess the extent to which systems in the partner Agencies are conducive to unbiased and candid terminal evaluations. Independence of terminal evaluations is rated on a six-point scale on which a 1 is highly unsatisfactory and a 6 is highly satisfactory. The following dimensions are assessed to provide ratings on this parameter:

- Extent to which the drafting of the terms of reference is independent of the project management team
- Extent to which the recruitment of the evaluator was independent of the project management team
- Extent to which the Agency recruited the appropriate evaluator for the project
- Extent to which the evaluator had adequate resources (budget and time) to carry out the evaluation
- Extent to which the M&E system provides access to timely and reliable information
- Extent to which there was any undue pressure from management on the evaluators regarding

the evaluation process (for example, in terms of site selection, selection of informants, confidentiality during interviews, information disclosure, and ratings)

- Extent to which the evaluation was subjected to an independent review process

## **D.8 Realism of Risk Assessment**

The figures for realism of risk assessment are based on the findings of the pilot assessment of project supervision for candor and realism of supervision reporting presented in the 2006 APR. The projects considered for this assessment were under implementation during FY 2005 and/or FY 2006. The updated figures for projects under implementation during FY 2007 and FY 2008 will be included in OPS4.

## **D.9 Robustness of Program Result Indicators and Tracking Tools**

The assessment of robustness of program result indicators and tracking tools will remain unreported in the 2008 APR. Given the highly specialized and technical nature of this assessment, the Evaluation Office is taking up this exercise as part the work being done for the OPS4, enlisting the assistance of the appropriate technical experts.

## **D.10 Quality Assurance of Project M&E Arrangements at Entry**

An assessment of quality assurance of project M&E arrangements at entry was carried out in the 2005 APR. It was based on a review of the M&E plans of the project appraisal documents that were endorsed by the GEF Chief Executive Officer in that fiscal year. In FY 2008, the Evaluation Office updated the ratings on this parameter based on the findings of a follow-up assessment.

## D.11 Quality of Project M&E during Implementation

Figures on quality of project M&E during implementation are based on review of the terminal evaluation reports submitted to the Evaluation Office. The figures need to be four-year running averages of the percentage of projects rated moderately satisfactory or above in M&E during implementation. The figures reported in the matrix are a weighted average, with each project having an equal weight, of the data from the review of the reports submitted during FYs 2006, 2007, and 2008. In due course, as data for subsequent cohorts become available, the figures presented will shift to a four-year running average.

## D.12 Quality of Project Terminal Evaluation

Figures on quality of terminal evaluation reports are based on the ratings provided by the Evaluation Office after their review. For this parameter, two-year running averages are used, with each project having an equal weight. The figures presented in the matrix pertain to FYs 2007 and 2008.

## D.13 Quality of Learning: Improvement in Performance

The performance matrix presents an assessment of the improvement demonstrated by GEF Agencies and entities on the other 12 parameters

included in the performance matrix. This section of the matrix will be accompanied by a narrative that explains the areas in which learning has taken place and will identify the specific changes or factors that have contributed to improved performance. Ratings on improvement in performance on individual parameters will be provided using the following scale:

- **4**—significantly improved or maintained excellent performance
- **3**—marginally improved or maintained good performance
- **2**—marginally deteriorated or maintained mediocre performance
- **1**—significantly deteriorated or maintained poor performance

In this performance matrix, only the changes in quality of M&E arrangements at entry (parameter 10) and in quality of terminal evaluations (parameter 12) have been reported on. For assessing changes in quality of M&E arrangements at entry, the findings of the pilot assessment in FY 2005 were updated and compared with those of a follow-up assessment in FY 2008. For assessing changes in quality of terminal evaluation reports, a two-year running average of quality ratings for the terminal evaluation reports submitted during FYs 2007 and 2008 has been compared with the baseline for the FYs 2005 and 2006 cohort.

## References

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*The GEF Council documents cited here (indicated with the designation “GEF/C.xx”) are available on the GEF Web site, [www.thegef.org](http://www.thegef.org), under Documents/Council Documents. GEF Evaluation Office documents can be found on the GEF Evaluation Office Web site, [www.gefeo.org](http://www.gefeo.org), under Publications.*

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## **GEF Evaluation Office Publications**

<b>Number</b>	<b>Title</b>	<b>Year</b>
<b>Evaluation Reports</b>		
48	GEF Annual Impact Report 2008	2009
47	Midterm Review of the Resource Allocation Framework	2009
46	GEF Annual Report on Impact 2007	2009
45	GEF Country Portfolio Evaluation: Cameroon (1992–2007)	2009
44	GEF Annual Country Portfolio Evaluation Report 2008	2008
43	GEF Country Portfolio Evaluation: South Africa (1994–2007)	2008
42	GEF Country Portfolio Evaluation: Madagascar (1994–2007)	2008
41	GEF Country Portfolio Evaluation: Benin (1991–2007)	2008
40	GEF Annual Performance Report 2007	2008
39	Joint Evaluation of the GEF Small Grants Programme	2008
38	GEF Annual Performance Report 2006	2008
37	GEF Country Portfolio Evaluation: Samoa (1992–2007)	2008
36	GEF Country Portfolio Evaluation: The Philippines (1992–2007)	2008
35	Evaluation of the Experience of Executing Agencies under Expanded Opportunities in the GEF	2007
34	Evaluation of Incremental Cost Assessment	2007
33	Joint Evaluation of the GEF Activity Cycle and Modalities	2007
32	GEF Country Portfolio Evaluation: Costa Rica (1992–2005)	2007
31	GEF Annual Performance Report 2005	2006
30	The Role of Local Benefits in Global Environmental Programs	2006
29	GEF Annual Performance Report 2004	2005
28	Evaluation of GEF Support for Biosafety	2006
	Third Overall Performance Study	2005
	GEF Integrated Ecosystem Management Program Study	2005
	Biodiversity Program Study	2004
	Climate Change Program Study	2004
	International Waters Program Study	2004
<b>Evaluation Documents</b>		
ED-3	Guidelines for GEF Agencies in Conducting Terminal Evaluations	2008
ED-2	GEF Evaluation Office Ethical Guidelines	2008
ED-1	The GEF Evaluation and Monitoring Policy	2006



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