

A GEF  
ANNUAL  
REPORT

# GEF Annual Performance Report 2011





GLOBAL ENVIRONMENT FACILITY  
EVALUATION OFFICE

# **GEF Annual Performance Report 2011**

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# Foreword

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The Evaluation Office of the Global Environment Facility (GEF) is pleased to present its eighth Annual Performance Report (APR) on the performance of the GEF portfolio. The conclusions of this evaluation are based on information collected through the monitoring and evaluation systems of the GEF Agencies and the GEF Project Management Information System.

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. This year's report covers in detail issues related to quality at entry of arrangements for monitoring and evaluation in the GEF full-size projects at the point of Chief Executive Officer endorsement, especially arrangements for measurement of long-term impacts.

The preliminary findings of this report were shared with the Secretariat and the Agencies in an inter-Agency meeting held in Washington, D.C., in April 2012. The feedback received during this meeting was used to further refine the findings and conclusions. Draft versions of this report were also shared with the Secretariat and the Agencies,

and their comments were addressed in the draft presented to the GEF Council.

The Council discussed APR 2011 during its June 2012 meeting. Taking into account both the report and the management response to the report, the Council noted that the GEF Agencies are beginning to involve the GEF operational focal points in a more systematic manner in monitoring and evaluation. The Council requested the GEF Agencies further enhance their efforts in this direction.

The assessment of quality at entry of arrangements for impact measurement was conducted in collaboration with the GEF Scientific and Technical Advisory Panel. This is an important step in fully utilizing the resources and expertise available within the GEF partnership.

I would like to thank all of those involved for their support and criticism. The Evaluation Office remains fully responsible for the contents of this report.



Rob van den Berg  
Director, GEF Evaluation Office

# Acknowledgments

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**T**he Annual Performance Report is a joint effort of a number of Global Environment Facility (GEF) Evaluation Office staff members and consultants. The APR 2011 Council working document was prepared with Baljit Wadhwa, Senior Evaluation Officer in the GEF Evaluation Office, as the team leader. The report was prepared for publication with Neeraj Negi, Senior Evaluation Officer, as the team leader.

The assessment of quality at entry of arrangements for impact measurement was undertaken by the GEF Evaluation Office in collaboration with the GEF Scientific and Technical Advisory Panel. Neeraj Negi led the assessment. The

panel members for the assessment included Dr. Douglas Taylor, Dr. Hindrik Bouwman, Dr. Jeffrey A. McNeely, Dr. Meryl Williams, Dr. Michael Stocking, Dr. N. H. Ravindranath, Dr. Nee Sun Choong Kwet Yive, Dr. Paul Grigoriev, Dr. Ralph Sims, and Dr. Sandra Diaz.

The compliance assessment of quality at entry of monitoring and evaluation arrangements was led by Sandra Romboli, Evaluation Officer.

Consultants Oreste Maia Andrade Jr., Pallavi Nuka, and Joshua E. Brann were the primary terminal evaluation reviewers. Consultants Pallavi Nuka and Joshua Schneck assisted in preparation of the report.

# Abbreviations

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ADB	Asian Development Bank	IEG	Independent Evaluation Group
AfDB	African Development Bank	IFAD	International Fund for Agricultural Development
APR	Annual Performance Report	M&E	monitoring and evaluation
CEO	Chief Executive Officer	MAR	management action record
EBRD	European Bank for Reconstruction and Development	MSP	medium-size project
FAO	Food and Agriculture Organization of the United Nations	OFP	operational focal point
FSP	full-size project	OPS	overall performance study
FY	fiscal year	STAP	Scientific and Technical Advisory Panel
GEF	Global Environment Facility	UNDP	United Nations Development Programme
IDB	Inter-American Development Bank	UNEP	United Nations Environment Programme
		UNIDO	United Nations Industrial Development Organization

All dollar amounts are U.S. dollars unless otherwise indicated.



# 1. Background and Main Conclusions

## 1.1 Background

This document is the eighth Annual Performance Report (APR) of the Evaluation Office of the Global Environment Facility (GEF). It includes a detailed account of some aspects of project results, of processes that may affect these results, and of monitoring and evaluation (M&E) arrangements. For the fifth time, a performance matrix is presented, which summarizes the performance of the GEF Agencies on various parameters.

APR 2011 continues the annual presentation of the assessment of project outcomes, project sustainability, project completion delays, materialization of cofinancing, and quality of monitoring in completed projects.

In total, 488 project terminal evaluations, representing \$1.791 billion in actual GEF funding—compared to \$2.159 billion of funding allocated at appraisal—have been submitted to the GEF Evaluation Office. The fiscal year (FY) 2011 cohort comprises 102 terminal evaluation reports which account for \$414 million in GEF funding.<sup>1</sup>

For the **assessment of project outcomes, project sustainability, and delays in project completion**, 413 projects, for which terminal evaluation reports were submitted by the GEF Agencies to

the Evaluation Office since FY 2005, have been considered.

For reporting on **materialization of cofinancing**, 488 projects for which terminal evaluation reports have been submitted since FY 2002 were considered. Of these, information on materialization of cofinancing has been reported for 402 projects (86 percent). Actual GEF investment in these 402 projects is \$1.646 billion. The GEF Agencies reported that cofinancing of \$6.064 billion materialized during implementation. The Office has data from terminal evaluation and Agency reports on actual cofinancing amounts for 97 projects in the FY 2011 cohort, representing a total cofinancing amount of \$2.030 billion.

The **quality at entry** section presents findings from three reviews carried out by the Evaluation Office for APR 2011. The first review is a reassessment of the quality of M&E arrangements at the point of project entry into the GEF system. Similar reviews were carried out in FY 2005 and 2008. This study assesses quality at entry for a sample of 80 out of 137 full-size projects (FSPs) that received GEF Chief Executive Officer (CEO) endorsement during FY 2011. The 80 FSPs account for \$338 million in GEF investment grants. The second review tracks parameters aligned with new requirements in the GEF's 2010 M&E Policy, the Policy on Gender Mainstreaming, the Policy on Environmental and Social Safeguard Standards, and the Council decision concerning the

<sup>1</sup> The GEF fiscal year runs from July 1 to June 30.

mainstreaming and targeting of adaptation and resilience. The second review instrument was applied to the full FY 2011 cohort of 137 FSPs. The third review assesses project arrangements at entry to measure impact; this review was conducted in collaboration with the GEF Scientific and Technical Advisory Panel (STAP). It included a representative sample of 55 FSPs that were endorsed by the GEF CEO in FY 2011.

This year's **management action record (MAR)** tracks the level of adoption of 12 Council decisions based on 9 evaluation reports.<sup>2</sup> The Evaluation Office was able to verify 10 of these decisions. Two have been graduated for having achieved a high adoption rating and will not be tracked in the next MAR.

The **performance matrix** provides a summary of the performance of the GEF Agencies on relevant parameters. The matrix is limited to the United Nations Development Programme (UNDP), the United Nations Environment Programme (UNEP), and the World Bank because the number of completed projects from the other GEF Agencies is not yet significant. Most of the parameters included in the matrix are assessed on an annual basis by the Evaluation Office; others are tracked after two to three interval years. This year, information has been presented on 10 parameters.

The APR primarily involves review of the evidence presented in the terminal evaluation reports, with verification of performance ratings based primarily on desk reviews. The evaluation offices of several agencies have been conducting similar reviews for the past couple of years. Since FY 2007, UNEP's Evaluation Office has been providing performance ratings for all its completed GEF projects. Similarly, the World Bank's Independent Evaluation Group

(IEG) conducts desk reviews of all the terminal evaluation reports produced by management for the FSPs and conducts more intensive field verifications for a sample of these projects. In FY 2009, UNDP's Evaluation Office began to review terminal evaluation reports and continued to do so in FY 2010 and FY 2011.

In FY 2010, the GEF Evaluation Office accepted the ratings provided by the evaluation offices of UNDP, UNEP, and the World Bank. Consistency between GEF Evaluation Office ratings and ratings of the evaluation offices of the three Agencies had been established; therefore, ratings from these Agencies were accepted for 87 projects in the FY 2011 cohort. To ensure continued compatibility, the Office will continue to review a sample of terminal evaluations from all Agencies as warranted in the coming years.

## 1.2 Findings and Conclusions

### **CONCLUSION 1: Outcome achievements of 80 percent of completed projects reviewed for FY 2011 were rated in the satisfactory range.**

The Evaluation Office rated the achievement of project outcomes on criteria of relevance, effectiveness, and efficiency. The key findings of this assessment are as follows:

- Considering the FY 2005–11 cohorts, 408 projects so far have been rated on outcome achievements. The outcome achievements of 83 percent of these projects have been rated moderately satisfactory or above. Of the total GEF investment in rated projects, 82 percent is in projects that were rated moderately satisfactory or above.
- Of the 102 projects in the FY 2011 cohort, the outcomes of 80 percent were rated moderately satisfactory or above. In the FY 2009 and 2010 cohort, 91 percent of projects were so rated. The difference between the last two years' and this year's cohorts is not statistically significant. The factors contributing to the decline in the average

<sup>2</sup> The MAR for APR 2011 is available online at <http://www.thegef.org/gef/sites/thegef.org/files/documents/MAR%202011.pdf>.

rating of outcomes this year compared to the past two years are not clear. Given the variation in the number and type of terminal evaluation reports submitted each year, this decline should not yet be interpreted as a trend.

- Of the total \$414 million GEF investment in the rated projects of FY 2011, 79 percent, or \$328 million, was allocated to projects that were rated moderately satisfactory or above.

Within the FY 2011 cohort, 86 percent of UNEP- and 87 percent of UNDP-implemented projects received outcome ratings of moderately satisfactory or above. Of the World Bank–implemented projects, 67 percent were rated moderately satisfactory or above.

As shown in table 1.1, of the 61 UNDP-implemented projects in the FY 2011 cohort, the outcomes of 41 percent were rated moderately satisfactory, those of 43 percent were rated satisfactory, and those of 3 percent were rated highly satisfactory. For the 33 World Bank–implemented projects, the outcomes of 33 percent were rated moderately satisfactory, 30 percent were satisfactory, and 3 percent were highly satisfactory. Within UNEP’s portfolio of seven projects in the FY 2011 cohort, the outcomes of 43 percent (three projects) were rated moderately satisfactory, those of 29 percent (two projects) were rated satisfactory, and those of 14 percent (one project) were rated

highly satisfactory. The complete disaggregated ratings for each Agency for the period FY 2008–11 are presented in [table 3.4](#). This performance does not indicate a trend.

**Sustainability of project outcomes** is rated based on the level of risks to sustainability of outcomes on four dimensions: financial, sociopolitical, institutional and governance, and environmental. Ninety-nine projects from the FY 2011 cohort were rated on overall sustainability of outcomes (table 1.2).<sup>3</sup> The key findings of this assessment are as follows:

- Of the 413 terminal evaluation reports submitted from FY 2005 to 2011, sustainability ratings have been provided for 392 (94 percent) of the projects, representing \$1.685 billion in GEF investment. Since FY 2005, of the 392 projects so rated, the sustainability of outcomes of 236 projects (60 percent) were rated as moderately likely or above. Sixty-two percent of the GEF’s total investment of \$1.685 billion for these 392 projects, or \$1.049 billion, was granted to

<sup>3</sup> Twelve projects had no overall sustainability rating in their Agency terminal evaluation report. The overall rating was applied by the GEF Evaluation Office using the Office’s terminal evaluation review guidelines. For three projects, there was insufficient information to provide an overall sustainability rating.

TABLE 1.1 Outcome Ratings by Agency, FY 2011

Outcome rating	UNDP	UNEP	World Bank
	Percentage distribution		
Highly satisfactory	3	14	3
Satisfactory	43	29	30
Moderately satisfactory	41	43	33
Moderately unsatisfactory	13	14	18
Unsatisfactory	0	0	15
Highly unsatisfactory	0	0	0
Number of projects	61	7	33

TABLE 1.2 Outcomes and Sustainability of Outcomes

	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
No. of terminal evaluation reports submitted	41	66	41	62	55	46	102
No. of projects with outcomes rating	39	64	40	62	55	46	102
% rated moderately satisfactory or above on outcomes	82	84	73	81	91	91	80
No. rated on sustainability of outcomes	39	54	39	60	55	46	99
% rated moderately likely or above on sustainability of outcomes	49	65	59	57	71	63	58
No. rated both on outcomes and sustainability of outcomes	39	54	39	60	55	46	99
% rated both moderately satisfactory/moderately likely or above	44	61	51	55	67	63	55

the 236 projects with sustainability ratings of moderately likely or above.

- Of the total GEF investment in FY 2011 on projects rated on sustainability, 60 percent (\$249 million out of \$412 million) went to 57 projects rated moderately likely or above in terms of the sustainability of their outcomes. This is a significant decrease from the FY 2010 level of 75 percent, but comparable to the long-term average (FY 2005–11) of 62 percent.
- Of the four risks to sustainability dimensions, financial risks were the most frequently cited threats to outcome sustainability. Of the 64 projects in the FY 2011 cohort with ratings on all four dimensions, the outcomes of 30 percent of projects were unlikely or were moderately unlikely to be sustained due to financial risks. Twenty percent were unlikely or moderately unlikely to be sustained due to institutional and governance risks. The outcome achievements of 18 percent of the projects in the cohort were unlikely or moderately unlikely to be sustained due to sociopolitical risks, and 17 percent were unlikely or moderately unlikely to be sustained due to environmental risks.

The Evaluation Office assesses 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. It found:

- Considering outcome and sustainability ratings together, of the 392 projects rated, 223 projects (57 percent) were rated both moderately satisfactory or above in terms of outcomes **and** moderately likely or above in terms of sustainability. Regarding the GEF investment in the period FY 2005–11, \$979 million (58 percent) of \$1.685 billion was invested in the 223 projects that were rated both moderately satisfactory or above in terms of outcome achievement and moderately likely or above in terms of sustainability.
- In the FY 2011 cohort, 54 out of 99 projects (55 percent) were rated both moderately satisfactory or above on outcomes **and** moderately likely or above on sustainability. Fifty-five percent (\$225 million out of \$412 million) was invested in 54 projects rated moderately satisfactory or above for outcomes and moderately likely or above for sustainability.

**CONCLUSION 2: The level of cofinancing materialized, as reported by the GEF Agencies, is on average higher than the level of cofinancing expected at the time of project approval.**

The GEF Council views cofinancing to be an indicator of a project’s sustainability (GEF 1999), country ownership (GEF 2003b), and mainstreaming (GEF 1997) of GEF activities in the activities of its partner institutions, and a way to mobilize additional resources for the global environment (GEF 2002c). As stated in last year’s APR,



the Council has shown a continued preference for a higher overall cofinancing ratio for the GEF project portfolio. The Secretariat publications also portray cofinancing as an indicator of the GEF's effectiveness in mobilizing additional resources for the generation of global environmental benefits. A few documents clearly state that the high cofinancing ratio achieved is an indicator of the GEF's multiplier effect in generating additional resources for global environmental benefits (GEF 2002b).

Both promised and actual cofinancing amounts per dollar of GEF grant have been increasing since FY 2005. For the FY 2011 cohort, the overall ratio of promised cofinancing to the GEF grant amount at approval was 2.9. The overall ratio of actual, or materialized, cofinancing to the GEF grant amount at approval is higher, at \$5.00 per dollar of GEF grant. The GEF Evaluation Office has not verified these amounts.

The FY 2011 overall percentage of actual cofinancing to promised cofinancing is 170 percent, indicating that actual cofinancing was 70 percent higher than expected. This percentage is significantly higher than the FY 2009–10 average of 131 percent and the 98 percent calculated for the period FY 2005–08. The jump in actual cofinancing amounts for FY 2011 is due to eight UNDP projects.

While a detailed analysis of cofinancing is not presented in the 2011 APR, a discussion in APR 2009 indicated that reported cofinancing must be carefully interpreted. That analysis showed that although the quality of reporting on cofinancing both in project proposals and terminal evaluations is improving, reporting on cofinancing by Agencies and in the terminal evaluation reports is not always consistent with the agreed definition of cofinancing.<sup>4</sup> Further, use of a cofinancing ratio

<sup>4</sup> The definition, adopted in 2003, points out several key conditions for a contribution to be considered

has its pitfalls, as this ratio is prone to be skewed by outliers.

## PROJECT COMPLETION DELAYS

The Evaluation Office began tracking project completion delays (expected completion date versus actual completion date) in FY 2005. Of the 388 projects for which these data are available, 21 percent were completed after a delay of at least two years and 11 percent after a delay of three years or more. Of the projects in the FY 2011 cohort, 22 percent (22 projects) were completed within the expected implementation period, 24 percent were completed after a delay of one to two years, 5 percent after a delay of two to three years, and 14 percent after a delay of more than three years.

### **CONCLUSION 3: The quality of monitoring and evaluation during implementation is rated moderately satisfactory or above for 67 percent of the projects evaluated since FY 2006.**

Out of 313 projects rated on quality of M&E during implementation since FY 2006, 67 percent (211 projects) were rated moderately satisfactory or above. Of 93 projects rated on quality of M&E during implementation in the FY 2011 cohort, 70 percent (66 projects) were rated moderately satisfactory or above (table 1.3). The result for FY 2011 is not significantly different from the

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cofinancing: (1) a contribution should be managed with the GEF allocation, (2) it should be part of the initial financial package, and (3) it should be essential to the achievement of GEF objectives (GEF 2003a). In 2010, an information document was presented to the Council, which states that "Only those cofinancing resources that are committed as part of the initial financing package are termed 'Cofinancing Resources'" (GEF 2010a). Government cofinancing in this context is defined as commitments for baseline activities upon which the project would be built and without which the project could not be implemented successfully. The GEF Evaluation Office uses the definition in the 2003 Council working document.

TABLE 1.3 Quality of Project Monitoring and Evaluation

	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Terminal evaluation reports submitted	66	41	62	55	46	102
Projects rated on M&E Implementation	46	33	50	49	42	93
% of projects rated moderately satisfactory or above	78	61	70	63	57	70

long-term average of 67 percent or from the FY 2010 figure.

The percentage of projects rated moderately satisfactory or above on the quality of M&E design at entry changed in relation to last year's cohort, from 70 percent to 65 percent.

Consistent with the pattern seen in previous years, there is a strong relationship between quality of M&E arrangements at entry and actual quality of monitoring during implementation. Of the completed projects from the FY 2011 cohort that were rated both on quality of monitoring during implementation and quality of M&E design at entry, only 13 percent of those rated in the unsatisfactory range on 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 design at entry, 80 percent were also rated in the satisfactory range during implementation.

**CONCLUSION 4: The quality of 84 percent of the terminal evaluations submitted during FY 2011 was rated as moderately satisfactory or above.**

Since 2004, when the Evaluation Office first started rating the quality of terminal evaluation reports, 488 terminal evaluations have been submitted and 448 rated. Of these, the quality of 87 percent of reports has been rated moderately satisfactory or above (table 1.4). Fifty-five percent of the reports achieved the higher quality rating of satisfactory or above. The figures for the FY 2011 cohort are 83 percent and 50 percent, respectively. These values are comparable to those from last year's cohort, in which 84 percent of the terminal evaluation reports were rated moderately satisfactory or above and 53 percent were rated satisfactory or above.

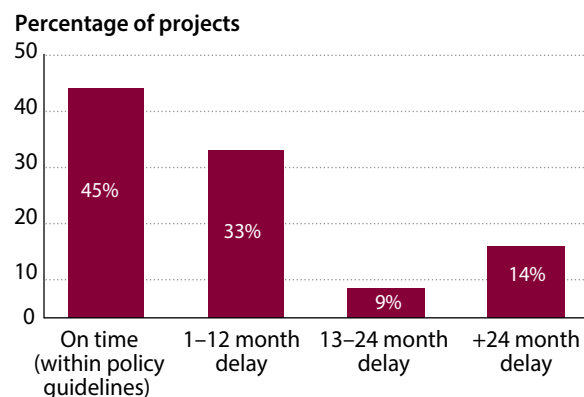
For the FY 2011 cohort, data were available on the time lags between project closure and terminal evaluation report submission for 101 projects. Figure 1.1 shows that for the FY 2011 cohort, 45 percent of terminal evaluation reports

TABLE 1.4 Percentage of Terminal Evaluation Reports Rated Moderately Satisfactory or Above, by Year of Submission and Agency

Agency	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011	All years
ADB	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	100	100
UNDP	54	91	87	94	93	95	88	80	88
UNEP	67	50	67	100	100	100	86	100	84
World Bank	80	100	86	94	88	94	80	85	88
All Agencies	69	88	83	95	92	96	84	83	87
Number	42	41	66	41	62	55	43	98	448

NOTE: n.a. = not applicable; ADB = Asian Development Bank.

**FIGURE 1.1 Elapsed Time between Project Completion and Terminal Evaluation Report Submission to the GEF Evaluation Office, FY 2011**



NOTE: N = 101.

were submitted within 12 months of operational project closure, and 33 percent were submitted within one year following project closure. Twenty-three percent of terminal evaluation reports were submitted within 2 years after project closure or later.

## PERFORMANCE MATRIX

Of the projects for which terminal evaluations have been submitted since FY 2008, the Evaluation Office rated outcome achievements (parameter 1) of 85 percent to be moderately satisfactory or above. The outcome achievements of 78 percent of World Bank projects, 86 percent of UNDP projects, and 95 percent of UNEP projects have been rated in the satisfactory range.

The reported materialization of **cofinancing** per dollar of approved GEF financing (parameter 3a) achieved a ratio of 3.7 for the overall performance of GEF Agencies, ranging from a ratio of 5.6 for UNDP to 1.5 for UNEP and 2.5 for the World Bank. For the percentage of promised cofinancing (parameter 3b), the overall performance of GEF Agencies reached 149 percent, with 202 percent for UNDP, 155 percent for UNEP, and 95 percent for

the World Bank. The analysis is based on information on actual cofinancing provided by the Agencies in the terminal evaluation reports or through other communications. These figures have not been verified.

Since FY 2008, the overall average implementation completion elapsed time (difference between expected and actual project completion) for the three major Agencies is 16 months, with UNDP averaging 19 months, UNEP 15 months, and the World Bank 13 months.

The independence of terminal evaluations or independent review of terminal evaluations submitted by UNDP and UNEP is rated highly satisfactory for both FSPs and MSPs. The independence of World Bank terminal evaluations is rated highly satisfactory for FSPs and is considered not applicable for MSPs, as the latter are not reviewed by the World Bank's IEG but instead by the GEF Evaluation Office according to an agreement with the IEG.

The review of quality assurance of project M&E arrangements at entry (parameter 8) is elaborated upon in section 7.1, and presents the results of a study on projects endorsed by the CEO in FY 2011. Overall, 80 percent of the projects in the FY 2011 cohort were compliant with critical parameters, compared to 76 percent in FY 2008 and 58 percent in FY 2005.

## QUALITY AT ENTRY

**CONCLUSION 5: Eighty percent of projects endorsed by the CEO in FY 2011 are compliant with minimum requirements for quality at entry as measured by GEF-4 standards. In comparison, 76 percent of the projects endorsed by the CEO during FY 2008 met the same minimum requirements.**

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 2011 as a follow-up to assessments carried out during FY 2008 and 2005. An identical methodology was

used in all three assessments. In all, the Evaluation Office has assessed 236 FSPs for quality of M&E arrangements at entry: 74 from FY 2005, 82 from FY 2008, and 80 from FY 2011.

The Office rated the M&E arrangements of 80 percent of 80 FSPs that were CEO endorsed in FY 2011 to be in compliance with the minimum criteria of the 2006 M&E Policy. In FY 2008, 76 percent of the projects were rated as compliant with the same requirements (table 1.5). In comparison to the original three GEF Implementing Agencies (UNDP, UNEP, and the World Bank), the newer set of GEF Agencies—the Asian Development Bank (ADB), the African Development Bank (AfDB), the European Bank for Reconstruction and Development (EBRD), the Inter-American Development Bank (IDB), the International Fund for Agricultural Development (IFAD), the Food and Agriculture Organization of the United Nations (FAO), and the United Nations Industrial Development Organization (UNIDO)—as a group have a significantly lower rate of compliance (58 percent). Among the focal areas, the multifocal area has the lowest rate of compliance at 33 percent.

#### **CONCLUSION 6: GEF projects at entry demonstrate a high level of alignment between project logical frameworks and focal area results frameworks per the new requirement in the 2010 M&E Policy.**

In this review, parameters were introduced that provide a baseline for the Evaluation Office regarding the state of affairs at the end of GEF-4, and as it begins to track changes to requirements as set by new policies and decisions adopted by the GEF Council for GEF-5. To incorporate considerations within the GEF's 2010 M&E Policy, the review instrument was updated to include minimum requirements from the revised M&E Policy (GEF EO 2010a) as well as from other new GEF policy documents—specifically, the Policy on Gender Mainstreaming, the Policy on Environmental and Social Safeguard Standards (GEF 2011), and the GEF 2010 Council decision concerning the mainstreaming and targeting of adaptation and resilience. The full FY 2011 cohort of 137 FSPs was reviewed for these parameters. As these policies were not in effect when the majority of these projects were initiated, the GEF Evaluation Office assessment includes no evaluative judgments.

**TABLE 1.5 Trends in Compliance with Minimum Requirements for Monitoring and Evaluation at Entry (%)**

<b>Parameter</b>	<b>FY 2005 (N = 74)</b>	<b>FY 2008 (N = 82)</b>	<b>FY 2011 (N = 80)</b>
Are the indicators in the logframe relevant to the chosen objectives and outcomes?	100	100	99
Are the indicators in the logframe sufficient to assess achievement of the objectives and outcomes?	76	94	96
Have the targets been specified for the indicators for project objectives and outcomes in the logframe?	89	99	100
Are the specified targets for indicators of project objectives and outcomes based on initial conditions?	82	94	99
Has complete and relevant baseline information been provided?	92	87	85
Has a separate budget been allocated to M&E activities?	92	95	97
<b>Overall compliance rate</b>	<b>58</b>	<b>76</b>	<b>80</b>

## ALIGNMENT WITH FOCAL AREA RESULT FRAMEWORKS

In the context of the results-based management framework of the GEF, focal area results frameworks were developed for GEF-5 that outline each focal area's strategic objectives, expected outcomes and indicators, outcome targets, and core outputs. For this review, project results frameworks (i.e., logframes) were assessed to determine if indicators from the focal area results framework were included in project M&E design, to facilitate portfolio-level reporting. The Evaluation Office rated the linkage between project logical framework indicators and focal area results frameworks at 96 percent for compliance. The Request for CEO Endorsement template includes a section asking for a description of the project's consistency with GEF strategies and strategic programs, which may account for the high level of compliance on this parameter. In addition, some focal area indicators have long been applied in the portfolio. For example, the Protected Area Management Effectiveness Tracking Tool (METT), which assesses the effectiveness of protected area management, has been widely utilized in the GEF's biodiversity portfolio for years and thus was not a new development for GEF-5. Similar tools may have been informally applied in other focal areas as well.

**CONCLUSION 7: GEF projects are beginning to specify how operational focal points will be informed and, where feasible, involved in M&E activities.**

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## ENGAGEMENT OF OPERATIONAL FOCAL POINTS

The engagement of operational focal points (OFPs) is a new requirement in the M&E policy and is intended to reflect the efforts of countries to establish or improve national M&E, and include an emphasis on increased country ownership. The policy thus mandates that GEF OFPs

should be fully consulted with and informed of the planning, conduct, and results of any evaluation activity in the country, including project-based activities.

Of the 137 FSPs endorsed by the CEO in FY 2011, 24 (18 percent) already address the role of OFPs by discussing how they would be updated and involved on implementation and results management. Of those 24 projects, 9 are from UNDP; 7 from UNIDO; 2 each from the World Bank and FAO; and 1 each from ADB, IDB, IFAD, and UNEP.

## NEW GEF POLICY DOCUMENTS

The 40th GEF Council approved in May 2011 the GEF Policy on Gender Mainstreaming and the GEF Policy on Environmental and Social Safeguard Standards. At its 39th Meeting in November 2010, the Council issued a decision stemming from the Evaluation of the GEF Strategic Priority for Adaptation requesting tools to ensure mainstreaming and targeting of adaptation and resilience (GEF 2010b). Parameters were introduced in the review of the full FY 2011 cohort of 137 FSPs to assess the **current** provision of information **only** in the CEO endorsement document on these **future** requirements. These parameters were not reviewed for compliance, but rather to give the Office a sense of the present status of information in the Request for CEO Endorsement.

There is currently no requirement for the provision of information on gender mainstreaming and the monitoring of environmental and social safeguards in the Request for CEO Endorsement; thus, the information contained therein is not necessarily reflective of the full body of material that may be available in different source documents. For example, additional information on gender mainstreaming may be in project approval documents. The endorsement request does contain a section on climate risks. However, concerning

environmental and social safeguard monitoring, Agencies have separate systems to track environmental and social risk mitigation; these may not be reflected in descriptions about the project or its results monitoring.

In the context of the GEF's Fifth Overall Performance Study (OPS5), the GEF Evaluation Office will undertake further investigation of these parameters. This assessment will include a review of additional project documents and the systems that Agencies have in place to monitor gender mainstreaming and track environmental, social, and climate risks.

#### PRELIMINARY FINDINGS: ASSESSMENT OF QUALITY AT ENTRY OF ARRANGEMENTS TO MEASURE IMPACT

For this assessment, a representative sample of 55 projects that were endorsed by the GEF CEO in FY 2011 was drawn using a stratified random sampling approach. Each focal area was considered as a separate stratum. Of the 55 sampled proposals, 6 were identified to have little direct or proximate links with environmental stress reduction; these were excluded from the review. The reporting

here is based on the 49 project proposals that were reviewed. The findings presented are preliminary, as they only include desk reviews. Interviews with representatives of the GEF Agencies and the GEF Secretariat are yet to be carried out. The final report of the review will be presented in the 2012 Annual Impact Report.

The review rated overall quality of impact measurement arrangements specified in project proposals to be moderately satisfactory or above for 69 percent of proposals. Forty-nine percent of the proposals met a more stringent yardstick of satisfactory or above (table 1.6).

In general, project proposals that were endorsed as part of a programmatic approach tended to have a lower quality at entry rating for impact measurement arrangements than those that were not part of such an approach. For example, 58 percent of the proposals endorsed as part of a programmatic approach were rated moderately satisfactory or above, and 38 percent were rated satisfactory or above. By way of comparison, of the proposals not endorsed under a programmatic approach, 79 percent were rated moderately satisfactory or above and 59 percent were rated satisfactory or above.

**TABLE 1.6 Overall Quality at Entry of Arrangements for Impact Measurement**

Rating	Number of projects	Percentage (probability adjusted) <sup>a</sup>
Highly satisfactory	7	15
Satisfactory	16	35
Satisfactory or above	23	49
Moderately satisfactory	9	20
Moderately satisfactory or above	32	69
Moderately unsatisfactory	11	21
Unsatisfactory	4	8
Highly unsatisfactory	2	2
Total	49	100

a. To correct for any sampling probability-related biases due to the stratified random sampling approach, probability-adjusted percentages are reported here and in the text.

For proposals endorsed under a programmatic approach, the time taken from the point of a project proposal's approval to its CEO endorsement appears to be linked to differences in ratings. However, this relationship is neither strong nor linear. The proposals that take too much time (more than three years) or too little time (less than 18 months) from the point of approval to endorsement tend to have lower ratings than other proposals. This is a relationship that will be tracked in future cohorts to be able to draw any conclusions on this with greater certainty.

Projects for which preparation grants were not provided by the GEF tend to have lower ratings for quality at entry of M&E arrangements. The ratings for projects that received preparation grants tend to be higher; however, the amount of the preparation grant does not seem to influence ratings. Given the small number of observations on projects with no project preparation grant support, it is difficult to draw strong conclusions.

## QUALITY OF INDICATORS

To assess the extent that the impact indicators specified in the proposals meet quality expectations, indicators for any given proposal were assessed using both a high and a low—but reasonable—performance threshold. For example, when assessing the extent that specified indicators cover major intended impacts, indicators covering all the major intended impacts of the project were considered to meet the high performance threshold. On the other hand, a lower threshold of expected performance would be when the indicators at least cover most of the major intended impacts (although they may also have some minor gaps). While 69 percent of the proposals' indicators met the low quality threshold for dimensions such as scientific validity and congruence with the project's theory of change, only 16 percent of the proposals met the high threshold on these dimensions.

## BASELINE INFORMATION

Fourteen percent of the proposals met a high threshold of providing baseline information for all the specified indicators. Sixty-three percent met a lower threshold of providing baseline information for most of the specified indicators. For the remaining 23 percent of indicators, it was reported that baseline information will be gathered once project implementation starts.

The extent to which proposals provide baseline information needs to be assessed along with the quality of indicators for a more comprehensive account of the quality of baseline information. Fifty-two percent of proposals met a low threshold on baseline information along with meeting the low thresholds for indicator quality dimensions such as coverage of expected impacts, congruence with the project's theory of change, and scientific validity. When the higher threshold is applied, the percentage of proposals that met all of these thresholds dropped to 6 percent.

## QUALITY OF PLANNING FOR DATA COLLECTION ON IMPACT INDICATORS

For 81 percent (38) of proposals, the planned frequency for data collection was assessed to be appropriate for either all or most of the specified indicators. For 87 percent (41) of the proposals, institutional arrangements and responsibilities for collecting data on impact indicators had been specified. The capacities of the individuals and/or institutions that are charged with the responsibility of gathering information on impact indicators were assessed to be sufficient for 74 percent (35) of the proposals. For 48 percent (21), the amount budgeted for impact measurement-related work was assessed to be sufficient. For an additional 37 percent (20), it was ascertained that—although sufficient information was not available to assess whether the budget for impact measurement was

adequate—the budgeted amount for M&E was sufficient.

In all, 62 percent of proposals were assessed to have met the low thresholds for acceptable performance on data collection, institutional arrangements and responsibilities, capacities of the institutions responsible for collecting data on impact, and sufficiency of budget.

## MANAGEMENT ACTION RECORD

The MAR tracks the level of adoption of Council decisions on the basis of evaluation findings and recommendations. This year's MAR tracks the level of adoption of 12 Council decisions, which were based on 9 GEF Evaluation Office documents, by presenting ratings from GEF management and verification of these ratings by the Evaluation Office. The Office was not yet able to verify progress on adoption of 2 of the 12 decisions.

Of the 12 Council decisions tracked this year, 2 (17 percent) were rated as having a high level of adoption. These decisions concerned the Annual Country Portfolio Evaluation Report 2010 and the Review of the Earth Fund.

Five (42 percent) decisions were rated as having made substantial progress on adoption, and two

(17 percent) were rated as medium. For one decision, the level of adoption was rated as negligible. This decision, related to the Annual Country Portfolio Evaluation Report 2009, was that the GEF Secretariat should conduct a survey to assess exceptional situations concerning limited access to GEF partner international financial institutions; it was rated as negligible because the Secretariat has not yet conducted this survey.

Since its start, the MAR has tracked the level of adoption for 100 GEF Council decisions based on 28 evaluations. Of these, 90 have been graduated, 38 percent of which because their adoption was rated as high. These include the two for which adoption was rated high in FY 2011. Other decisions have been graduated because they were no longer relevant—e.g., because later Council decisions replaced earlier ones.

### 1.3 Recommendations

There is early evidence of the inclusion of OFPs in M&E plans at project entry, as required in the 2010 GEF M&E Policy. GEF Agencies should continue to enhance their efforts to specify how OFPs will be engaged, when feasible and relevant, in project M&E.



## 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 M&E 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 a need is identified.

APR 2011 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 completed projects have achieved expected outcomes and an assessment of the risks to sustainability of achieved outcomes. These issues are covered in the APR annually.
- **Examination of some of the factors that affect attainment of project results (chapter 4).** This chapter reports on the extent to which cofinancing promised at the point of project endorsement has materialized and on 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 in completed projects (chapter 5).**

This chapter presents an assessment of quality of project monitoring in completed projects for which terminal evaluation reports have been submitted to the Office since FY 2008.

- **An assessment of the quality of terminal evaluation reports submitted by the GEF Agencies to the Evaluation Office (chapter 6).**

This chapter provides information on the quality of terminal evaluation reports by Agency and an assessment of trends in the quality of these 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 offices of the GEF Agencies, in the terminal evaluations, and in project implementation reports submitted by the Agencies.

- **An assessment of the quality of project M&E design at entry (chapter 7).** This chapter includes results from an assessment of the quality of M&E arrangements at entry for a sample of FSPs that were endorsed by the GEF CEO during FY 2011, and a comparison of findings with those of a similar assessment conducted for the FY 2005 and 2008 cohorts.

- **An assessment of the quality of project design at entry for new GEF requirements (chapter 7).** The chapter also includes an assessment of broader quality at entry parameters

associated with the revised GEF M&E Policy and new GEF policies for all 137 FSPs endorsed by the CEO in FY 2011.

- **An assessment of the quality of arrangements at project entry to measure impact (chapter 7).** This chapter includes the preliminary results of an assessment of the quality of impact monitoring arrangements at entry for a sample of 49 GEF FSPs endorsed by the CEO in FY 2011. This is an in-depth technical review that was carried out in collaboration with the GEF STAP.
- **A presentation of findings on the annual MAR (chapter 8).** 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 9).** This assessment was first presented in APR 2007. Some of the indicators previously reported on have been fine-tuned so as to focus on key performance parameters.

## 2.2 Methodology

### TERMINAL EVALUATION REVIEWS

Chapters 3, 4, 5, and 6 of this report are based on the review of terminal evaluation reports of completed GEF projects submitted to the Evaluation Office. Differences reported here as statistically significant are reported at a confidence level of 90 percent or higher. The reviews cover all the completed FSPs and medium-size projects (MSPs) as well as enabling activities that have a GEF investment of more than \$0.5 million. Given the small number of enabling activities covered, these are reported as FSPs or MSPs based on the level of GEF investment.

The evaluation offices of some of the GEF Agencies have been reviewing terminal evaluation

reports for completed GEF projects and have been providing performance ratings based on these reviews. For example, the IEG of the World Bank reviews the terminal evaluation reports for FSPs, and the Evaluation Offices of UNEP and UNDP do so for both FSPs and MSPs. In previous reports beginning with APR 2008, the GEF Evaluation Office has compared its ratings with those provided by the evaluation offices of these Agencies and has found that generally these tend to be in agreement.

For FY 2011, the GEF Evaluation Office has accepted the ratings for all categories of projects reviewed by the evaluation offices of the three main GEF Agencies—the World Bank, UNDP, and UNEP. The GEF Evaluation Office has only reviewed the terminal evaluations of the World Bank's 15 MSPs, as the IEG does not review MSPs, and the terminal evaluation submitted by ADB, along with its Agency review (validation report) for its first-ever submitted terminal evaluation. Going forward, the Evaluation Office will continue to review terminal evaluation reports when warranted.

### 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 ([annex B](#)). 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 Evaluation 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 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 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 conducts field verification of the achievements of GEF projects as part of the thematic evaluations, country portfolio evaluations, and impact evaluations. This allows the Office to benefit from the vast pool of information that is collected through other evaluation streams and reduce costs. However, the trade-off involved is that for any given year, the number and geographic scope of the projects covered will

be limited to the countries where other evaluations are being conducted. Over the course of a replenishment period, this constraint is mitigated because by then a substantial number of countries would have been covered.

Another way to address the reliability concerns pertaining to terminal evaluation reports is to work with the GEF Agencies to more fully engage their evaluation offices 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 IEG conducts desk reviews of all the terminal evaluation reports produced by the management for FSPs and conducts field verification for a sample of these reports. When available, these field verifications are accepted by the Evaluation Office. The terminal evaluations for World Bank–implemented MSPs are, however, not reviewed by the IEG.

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. The ratings provided by the UNEP Evaluation Office have been found to be consistent with those provided by the GEF Evaluation Office.

During FY 2007, the UNDP Evaluation Office began to assess the quality of terminal evaluations for some of its completed GEF projects. Since FY 2009, the UNDP Evaluation Office has increased the scope of its reviews and has begun to review project performance in terms of outcomes, sustainability of outcomes, and implementation of M&E and to provide ratings on these parameters.

Although Agency timeliness in submitting terminal evaluations has improved, a considerable level of uncertainty regarding whether terminal evaluations are being completed and submitted to the GEF Evaluation Office in a timely manner remains. To address this concern, the Office is more proactive in following up with the Agencies on terminal evaluation report submission, as well as in relying on information on project completion provided by the Agencies to the Secretariat. Without knowing the projects that have been completed in the preceding fiscal year, the Office is constrained in tracking terminal evaluation report completion and submission.

## DATA LIMITATIONS

During the past six 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 types 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 parameter is indicated as unable to assess, and the project is not included in the portfolio-level assessment for that parameter.

The ratings based on terminal evaluation reviews reflect performance of actions that are now long past, which limits the extent to which information gathered from analysis of these data are 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.

Outcome achievements are generally assessed through comparison of actual achievements with the commitments made at inception.

## QUALITY OF M&E AT ENTRY

This assessment is a follow-up of the assessment of quality at entry of M&E arrangements presented in APR 2005 and APR 2008 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. Eighty FSPs endorsed by the GEF CEO during FY 2011 were considered. The results of the review were then compared with those for the FY 2005 and FY 2008 cohorts, which were presented in APR 2005 and APR 2008.

## QUALITY AT ENTRY FOR NEW PARAMETERS

This assessment is based on the introduction of new requirements in GEF-5 for M&E, gender mainstreaming, environmental and social safeguards, and assessment of climate risk. These requirements were introduced by the Council within the last year. Projects were not reviewed for compliance with these; rather, the full FY 2011 FSP cohort was assessed for its provision of information on these parameters in their respective requests for CEO endorsement ([annex E](#)).<sup>1</sup>

## QUALITY AT ENTRY OF ARRANGEMENTS TO MEASURE IMPACT

The Evaluation Office assessed the quality of arrangements for impact assessment in a sample of FY 2011 FSPs at the point of CEO endorsement. This is the first in-depth assessment of project entry arrangements for impact monitoring, and

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<sup>1</sup> Because there is currently no requirement for information on gender mainstreaming and monitoring of environmental and social safeguards to be provided in the request for CEO endorsement, the review assessed what is presented without evaluative judgment.

the Office carried it out in collaboration with the GEF STAP. For this assessment, a representative sample of 55 projects that were endorsed by the GEF CEO in FY 2011 was drawn using a stratified random sampling approach ([annex J](#)). Each focal area was considered as a separate stratum. The reviews were undertaken between November 2011 and February 2012. An instrument that addressed quality parameters such as methodology, indicators, baseline, institutional arrangements, budget, etc., was used to assess quality of arrangements for impact measurement ([annex J](#)).

The reviews were conducted by 10 experts and covered various GEF focal areas. Based on the specific characteristics of each sampled project, a two-member panel was constituted for each to review the project proposal documents available at the time of CEO endorsement. The panels used the same instrument to appraise the proposals and prepared a joint draft review report based on the instrument. An evaluator from the GEF Evaluation Office provided feedback to the panels on the draft review reports before they were finalized.

To correct for sampling probability-related biases due to the stratified random sampling approach used, probability-adjusted percentages are here reported. The main conclusions that may be drawn from this assessment are not sensitive to whether distributions are probability adjusted or are reported without such a correction.

## MANAGEMENT ACTION RECORD ASSESSMENT

MARs facilitate review and follow-up on the implementation status of evaluation recommendations that have been accepted by management (i.e., the GEF Secretariat and/or the GEF Agencies). 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 to 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 Agencies on relevant parameters. Performance on five of these parameters—project outcomes, implementation completion elapsed time, materialization of cofinancing, quality of M&E during project implementation, and quality of project terminal evaluation reports—is assessed annually by the GEF Evaluation Office. Performance on three other parameters—quality of supervision and adaptive management, realism of risk assessment, and quality of project M&E arrangements at entry—is assessed every two or three years through special appraisals. Agency performance regarding one parameter—independence of terminal evaluations or independent review of terminal evaluations—is appraised through the assessment of the process followed for conducting terminal evaluations through field verification and is based on interviews with relevant staff and consultants of the partner Agencies. Lastly, performance on one of the parameters—project preparation elapsed time—included in the performance matrix has not yet been rated by the GEF Evaluation Office.

## REVIEW OF FINDINGS

The preliminary findings of this report were presented to and discussed with the GEF Secretariat and GEF Agencies during an inter-Agency meeting held in Washington, D.C., on April 4, 2012. Individual reviews of project terminal evaluation reports have been shared with the Agencies

and the GEF Secretariat for comment, and their feedback has been incorporated in the final report. The draft data sets that underlie this document

have also been shared with the Secretariat and Agencies, and their comments and suggestions have been addressed in this report.

## 3. Outcomes and Sustainability

This chapter discusses verified ratings on outcomes and sustainability for 413 projects for which terminal evaluation reports were submitted from FY 2005 to 2011. Of these, ratings were provided for 226 FSPs, including 2 enabling activities, and 182 MSPs.<sup>1</sup> Altogether, the GEF has invested approximately \$1.769 billion in these 413 projects.

The FY 2011 cohort consists of 102 projects whose terminal evaluation reports were submitted during FY 2011 and comprises 62 FSPs and 40 MSPs. The GEF has invested a total of \$414 million in these 102 projects.

### 3.1 Rating Approach

Of the 102 projects for which terminal evaluations were submitted during FY 2011, the GEF Evaluation Office accepted the outcome ratings provided by the evaluation offices of the respective Agencies for 88 projects. For the remaining 14 projects, the Office rated the 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. The rating approach followed is identical to that for the 2009 and 2010 APRs.

<sup>1</sup> Given the small number of enabling activities for which terminal evaluations are required, they are reported as either FSPs or MSPs based on their level of GEF funding.

The assessment of relevance primarily focuses on determining whether the anticipated outcomes support the GEF mandate for generating global environmental benefits. Only **satisfactory** or **unsatisfactory** ratings were assigned for 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 is also critical; the overall rating on achievement of outcomes cannot be higher than the rating on effectiveness.

Over the course of implementation, some projects modify their results framework. 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 are made in project objectives, outcomes, and outputs without scaling down their overall scope, the Office assessed outcome achievements based on the revised results framework. In instances where the scope of the project objectives, outcomes, and outputs was down-scaled, the project's expected outcomes and/or original objectives were used as a yardstick for performance assessment.

Of the 413 terminal evaluation reports reviewed in the FY 2005–11 period, 5 did not provide sufficient information to allow the Evaluation Office to rate outcome achievements.

The Office rates the overall sustainability of outcomes based on an assessment of risks along four key dimensions: financial, sociopolitical, institutional framework and governance, and environmental. Using 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 lowest rated dimension.

## 3.2 Outcomes

Eighty percent of the projects of the FY 2011 cohort were rated moderately satisfactory or above in terms of their outcome achievements. This percentage is similar to the long-term average of 83 percent (table 3.1). Forty-two percent of projects in the FY 2011 cohort were rated satisfactory or above. This is slightly lower than, but not significantly different from, the long-term average of 49 percent. These differences in performance do not indicate a trend.

Since FY 2005, the GEF has invested \$1.764 billion in projects that have received ratings on their outcome achievements. Eighty-two percent of

this investment was in projects whose outcome achievements were rated moderately satisfactory or above (table 3.2). Of the total GEF investment of \$414 million in the FY 2011 cohort, 79 percent, or \$328 million, was invested in projects whose outcome achievements were rated moderately satisfactory or above. 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 based on Agency, focal area, size, geographical scope, geographical region, and executing agency for all projects rated since FY 2005. Outcomes of 81 percent of the FSPs and 86 percent of the MSPs were rated moderately satisfactory or above.

Figure 3.1 shows the percentage of projects with outcomes rated moderately satisfactory or above for each Agency. Within the FY 2011 cohort, 87 percent of UNDP-implemented projects and 86 percent of UNEP-implemented projects received outcome ratings of moderately satisfactory or above. Of the World Bank–implemented projects in the cohort, 67 percent were rated moderately satisfactory or above. Additionally, there was one

TABLE 3.1 Distribution of GEF Projects by Outcome Rating

Outcome rating	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011	Total
	Percentage distribution							
Highly satisfactory	3	6	3	5	4	9	4	5
Satisfactory	54	44	35	52	56	28	38	44
Moderately satisfactory	26	34	35	24	31	54	38	35
Moderately satisfactory or above	82	84	73	81	91	91	80	83
Moderately unsatisfactory	10	14	8	13	9	4	15	11
Unsatisfactory	8	2	18	5	0	4	5	5
Highly unsatisfactory	0	0	3	2	0	0	0	0
Moderately unsatisfactory or below	18	16	28	19	9	9	20	17
	Number							
Terminal evaluation reports submitted	41	66	41	62	55	46	102	413
Projects rated on outcomes	39	64	40	62	55	46	102	408



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

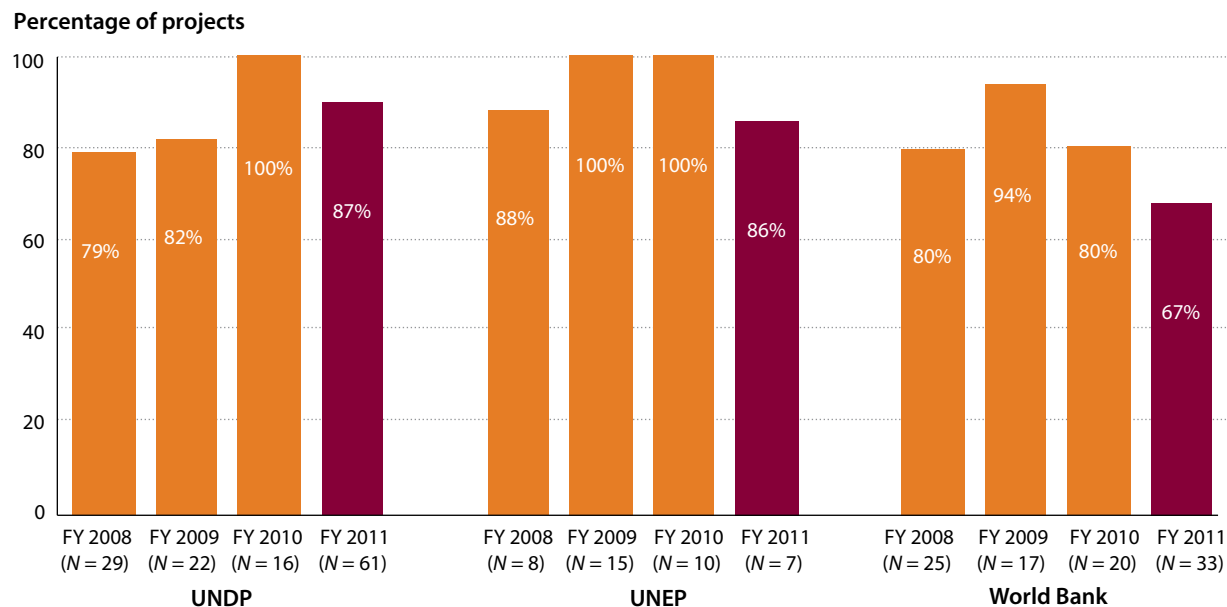
Outcome rating	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011	Total
	Percentage distribution							
Highly satisfactory	0	6	5	8	3	2	6	5
Satisfactory	64	30	18	55	56	44	34	43
Moderately satisfactory	20	53	46	12	33	41	39	34
Moderately satisfactory or above	84	88	69	74	92	88	79	82
Moderately unsatisfactory	15	11	14	13	8	9	16	13
Unsatisfactory	1	1	12	10	0	4	4	4
Highly unsatisfactory	0	0	5	3	0	0	0	1
Moderately unsatisfactory or below	16	12	31	26	8	12	21	18
Total GEF Investment (millions \$)								
In reviewed projects	258.3	255.8	199.3	275.3	207.8	158.6	414.3	1,769.4
In rated projects	255.3	254.3	198.3	275.3	207.8	158.6	414.3	1,763.9

**TABLE 3.3 Outcome Performance by Project Category, FY 2005–11**

Category	No. reviewed	No. rated	% rated moderately satisfactory or above	
All projects	413	408	83	
GEF Agency	World Bank	165	163	82
	UNDP	184	182	84
	UNEP	62	61	85
	Other (ADB, UNIDO)	2	2	100
Focal area	Biodiversity	206	205	83
	Climate change	104	102	83
	International waters	51	51	84
	Other <sup>a</sup>	52	50	82
Size	FSP or enabling activity	228	226	81
	MSP	185	182	86
Scope	National (single-country project)	300	297	84
	Regional	73	72	79
	Global	40	39	85
Region	Africa	90	89	76
	Asia	101	99	86
	Europe and Central Asia	89	89	81
	Latin America and the Caribbean	93	92	88
	Global	40	39	85
	Executing agency	Governmental or parastatal agency	217	215
	Nongovernmental organization or foundation	81	80	85
	Bilateral or multilateral agency	90	88	83
	Other (including academia, private sector)	25	25	88

a. Land degradation, ozone layer depletion, persistent organic pollutants, multifocal area.

**FIGURE 3.1 Percentage of Projects with Outcome Rating of Moderately Satisfactory or Above, by Agency**



ADB project for which a terminal evaluation report was submitted in 2011; its outcomes were rated as satisfactory.

Table 3.4 shows the outcome ratings by Agency and category of rating from highly satisfactory to high unsatisfactory. Outcomes for the large majority of projects are rated moderately satisfactory to satisfactory. Compared to 2009, a higher percentage of World Bank projects this year were rated unsatisfactory or moderately unsatisfactory. However, due to the blend of MSPs and FSPs in the mix of projects and the small size of each Agency's portfolio, this performance does not indicate a trend.

### 3.3 Sustainability

Of the 413 terminal evaluation reports submitted from FY 2005 to FY 2011, ratings of the sustainability of outcomes have been provided for 392 (94 percent) projects. Since FY 2005, the 236 projects (60 percent of those rated) were rated moderately likely or above on the sustainability of outcomes. Table 3.5 details the percentage of

projects for which the sustainability of outcomes was rated moderately likely or above since FY 2005. For the FY 2011 cohort of 102 projects, outcome sustainability ratings were provided for 99 projects. Fifty-seven of these 99 projects (58 percent) were rated moderately likely or above on overall sustainability. While this is lower than the long-term average of 60 percent, the difference is not statistically significant.

The 392 projects rated on sustainability since FY 2005 represent \$1.685 billion in GEF investments. Of this amount, \$1.049 billion (62 percent) was invested in the 236 projects with sustainability ratings of moderately likely or above. For the FY 2011 cohort, the 99 projects rated on sustainability of outcomes represent \$412 million in GEF investments. Of this, \$249 million (60 percent) was allocated to the 57 projects rated moderately likely or above.

Considering outcome and sustainability ratings together, of the 392 projects rated, 223 projects (57 percent) were rated both moderately

TABLE 3.4 Outcome Ratings by Agency, FY 2008–11

Agency and outcome rating	FY 2008	FY 2009	FY 2010	FY 2011
	Percentage distribution			
UNDP				
Highly satisfactory	7	0	25	3
Satisfactory	48	55	25	43
Moderately satisfactory	24	27	50	41
Moderately satisfactory or above	79	82	100	87
Moderately unsatisfactory	17	18	0	13
Unsatisfactory	3	0	0	0
Highly unsatisfactory	0	0	0	0
Moderately unsatisfactory or below	21	18	0	13
UNEP				
Highly satisfactory	0	7	0	14
Satisfactory	38	67	30	29
Moderately satisfactory	50	27	70	43
Moderately satisfactory or above	88	100	100	86
Moderately unsatisfactory	0	0	0	14
Unsatisfactory	13	0	0	0
Highly unsatisfactory	0	0	0	0
Moderately unsatisfactory or below	13	0	0	14
World Bank				
Highly satisfactory	4	6	0	3
Satisfactory	60	47	30	30
Moderately satisfactory	16	41	50	33
Moderately satisfactory or above	80	94	80	67
Moderately unsatisfactory	12	6	10	18
Unsatisfactory	4	0	10	15
Highly unsatisfactory	4	0	0	0
Moderately unsatisfactory or below	20	6	20	33
	<b>Number</b>			
UNDP	29	22	16	61
UNEP	8	15	10	7
World Bank	25	17	20	33

satisfactory or above in terms of outcomes **and** moderately likely or above in terms of sustainability (table 3.5). In the FY 2011 cohort, 54 out of 99 projects (55 percent) were rated both moderately satisfactory or above on outcomes **and** moderately likely or above on sustainability. Regarding the GEF investment in the period FY 2005–11, \$979 million (58 percent) of \$1.685 billion was invested in

223 projects that were rated both moderately satisfactory or above in terms of outcome achievement **and** moderately likely or above in terms of sustainability. For the FY 2011 cohort, \$225 million (55 percent) of \$412 million was invested in 54 projects rated moderately satisfactory or above for outcomes and moderately likely or above for sustainability.

TABLE 3.5 Sustainability and Outcome Achievements

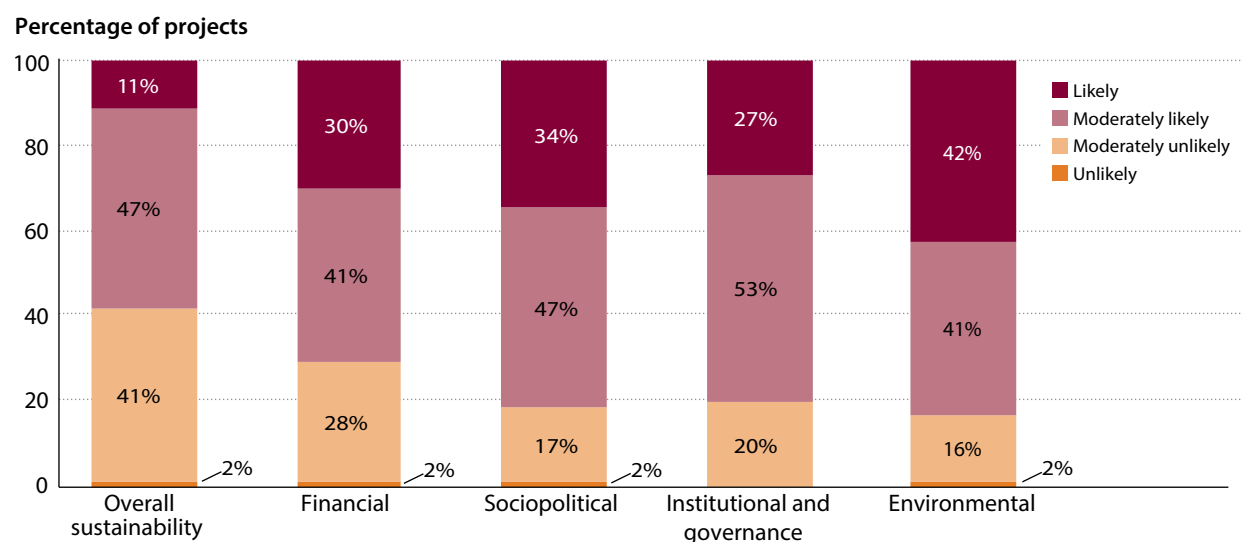
Project rating	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011	Total
	Percentage of projects							
Sustainability of outcomes moderately likely or above	49	65	59	57	71	63	58	60
Outcomes moderately satisfactory or above and sustainability of outcomes moderately likely or above	44	61	51	55	67	63	55	57
Project rating	Percentage of GEF investment							
	Percentage of GEF investment							
Sustainability of outcomes moderately likely or above	65	60	55	58	66	75	60	62
Outcomes moderately satisfactory or above and sustainability of outcomes moderately likely or above	60	56	44	56	65	75	55	58
Project rating	Number of projects							
	Number of projects							
	39	54	39	60	55	46	99	392

The overall rating for sustainability of outcomes is based on an assessment of underlying risks to sustainability along four broad dimensions: financial, sociopolitical, institutional and governance, and environmental. In the FY 2011 cohort, 64 projects were rated on all four dimensions. Fifty-one of these projects were implemented by UNDP, 6 by UNEP, and 7 by the World Bank. Because of a reliance on Agency ratings, a relatively low proportion

of World Bank projects were rated on dimensions of sustainability. For the 18 full-size World Bank projects in this year's cohort, the IEG reviews only provide ratings of overall sustainability.

Of the 64 projects in the FY 2011 cohort that were rated on all four sustainability dimensions, 27 (42 percent) had overall sustainability ratings of moderately unlikely or below. Figure 3.2 shows the

FIGURE 3.2 Sustainability of Outcomes: Ratings by Risk Factors



NOTE: N = 64.

percentage of the 64 projects in the FY 2011 cohort with ratings on all four sustainability dimensions in each likelihood category. In this cohort, financial risks are the most frequent and important cause of low ratings on overall sustainability. The outcomes of 30 percent of projects (19 of 64) were unlikely or moderately unlikely to be sustained due to financial risks.

This finding is consistent with results from the 2009 and 2010 APRs, which also found financial risks to be the most frequently cited threats to

sustainability. For this year's cohort, institutional and governance as well as sociopolitical and environmental factors are all secondary sources of risks to sustainability. The outcomes of 19 percent of projects (12) were unlikely or moderately unlikely to be sustained due to sociopolitical risks, and 20 percent (13 projects) were unlikely or moderately unlikely to be sustained due to institutional and governance risks. The outcomes of 18 percent of projects (11) were rated as unlikely or moderately unlikely to be sustained due to environmental risks.

## 4. Factors Affecting Attainment of Project Results

**P**roject outcomes may be affected by factors such as project design, quality of project implementation and execution, and the operational context in which projects are implemented and executed, as well as exogenous factors beyond the control of project management. Given the wide range of variables that may affect project outcomes and their interactions, it is difficult to isolate all the variables and determine their specific effects on a project's results. However, associations among some 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 chapter includes a discussion on materialization of cofinancing reported by the main GEF Agencies (UNDP, UNEP, and the World Bank) and on implementation delays.

### 4.1 Reported Materialization of Cofinancing

This section presents a summary description of the reported materialization of cofinancing (actual cofinancing) in completed projects. The figures reported are based on information in project terminal evaluation reports or communicated by the Agencies through Agency terminal evaluation reviews. Issues such as the level of global environmental benefits that accrue from cofinancing, the manner in which reported cofinancing is calculated by the Agencies, the processes through which these benefits accrue, and the costs incurred by the GEF partnership in mobilizing cofinancing are

not assessed in this APR. A more comprehensive assessment of the GEF approach to cofinancing was presented in APR 2009.

The analysis presented here is based on information provided in the terminal evaluation reports submitted for 488 completed projects since FY 2002. For 402 of these projects, information on cofinancing was reported by the Agencies. The levels of promised and actual cofinancing differ considerably from project to project. For the FY 2011 cohort, the range of promised cofinancing was \$0–\$79 million, while the range of actual cofinancing was \$0–\$524 million. Where averages and aggregate levels are reported (e.g., table 4.1, figure 4.1), it is important to note that overall figures for the portfolio are greatly skewed by a few projects that are highly leveraged in terms of actual cofinancing. In addition to reporting the average figures for the portfolio, the frequency distributions of cofinancing ratios are presented.

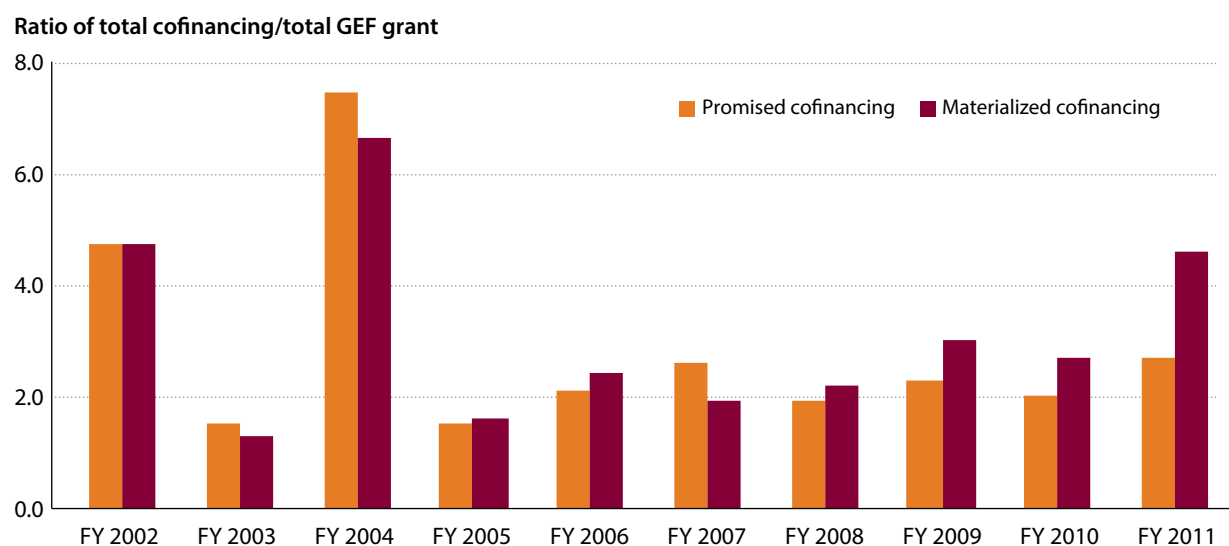
Table 4.1 presents key figures on the materialization of cofinancing by Agency during different terminal evaluation submission periods. In general, the projects in the FY 2011 cohort saw a greater level of materialization of cofinancing vis-à-vis other cohorts since FY 2005. For FY 2011, on average, the projects implemented through UNDP are reported to have achieved a considerably higher than expected level of cofinancing. Figure 4.1 presents a comparison of reported promised and actual cofinancing for different APR cohorts.

TABLE 4.1 Materialization of Cofinancing by Agency

Report submission and item	UNDP	UNEP	World Bank	All Agencies
Pre-OPS4 period (FY 2002–04)				
Number of projects for which cofinancing data are available	11	6	31	48
Promised cofinancing per \$1.00 of approved GEF grant (\$)	3.5	1.1	6.5	5.9
Reported materialized cofinancing per dollar of approved GEF grant	2.8	1.0	6.0	5.4
Materialized cofinancing per \$1.00 of promised cofinancing (%)	80	87	93	92
OPS4 period (FY 2005–08)				
Number of projects for which cofinancing data are available	59	23	80	162
Promised cofinancing per \$1.00 of approved GEF grant (\$)	1.6	1.5	2.5	2.2
Reported materialized cofinancing per dollar of approved GEF grant	1.6	1.5	2.3	2.0
Materialized cofinancing per \$1.00 of promised cofinancing (%)	100	100	91	93
FY 2009–10				
Number of projects for which cofinancing data are available	38	22	34	95
Promised cofinancing per \$1.00 of approved GEF grant (\$)	3.3	0.9	2.2	2.3
Reported materialized cofinancing per dollar of approved GEF grant	5.4	1.7	2.2	3.0
Materialized cofinancing per \$1.00 of promised cofinancing (%)	164	176	102	134
FY 2011				
Number of projects for which cofinancing data are available	60	7	29	97
Promised cofinancing per \$1.00 of approved GEF grant (\$)	2.9	0.9	3.5	2.9
Reported materialized cofinancing per dollar of approved GEF grant	6.7	1.1	3.0	5.0
Materialized cofinancing per 1.00 of promised cofinancing (%)	233	121	84	170

NOTE: Joint projects have been attributed to the lead Implementing Agency. The FY 2011 number of projects for all Agencies includes one ADB project.

FIGURE 4.1 Aggregate Cofinancing Levels by Year



The reported cofinancing figures have not been verified by the Office. Both promised and actual cofinancing amounts per dollar of GEF grant have been increasing for APR cohorts since FY 2005. The jump in actual cofinancing amounts for FY 2011 to \$4.60 per dollar of GEF grant is due to eight UNDP projects in this year's cohort.

Figure 4.2 shows the distribution of projects based on the ratio of cofinancing promised and reported to have materialized vis-à-vis the approved GEF grant. For 68 percent of the projects, less than \$2.00 of cofinancing was promised per dollar of GEF grant. Cofinancing of \$5.00 or more per GEF dollar was promised for 9 percent of the projects. The distribution based on the ratio of materialized cofinancing to approved GEF grant funding shows a similar pattern. Agencies reported that for 65 percent of projects, the ratio of materialized cofinancing to GEF grant funding was less than \$2.00; for 14 percent, it was \$5.00 or more.

Figure 4.3 presents the percentage of cofinancing in each of the ratio categories based on the dollar amount of cofinancing promised or materialized for projects in that category. The two figures

together clearly show that even though projects with cofinancing of \$5.00 or more are relatively few in number, they account for 44 percent of total actual cofinancing in the period FY 2002–11.

With a larger set of terminal evaluations received in the GEF Evaluation Office, it is possible to begin exploring analysis between parameters. The Office reviewed the extent to which realized cofinancing as reported in terminal evaluation reports received to date is related to project outcome ratings and determined that no relationship can currently be discerned.

## 4.2 Delays in Project Completion

The Evaluation Office tracks the time difference between expected completion date at project start and actual operational completion of the project to evaluate the extent to which projects supported by the GEF are being completed in a timely manner. Data on this indicator are available for 388 projects for which terminal evaluation reports have been submitted since FY 2005. Of these, 21 percent were completed after a delay of at least two years and 11 percent after a delay of three years or more.

FIGURE 4.2 Distribution of Projects by Cofinancing Ratio Categories, FY 2002–11

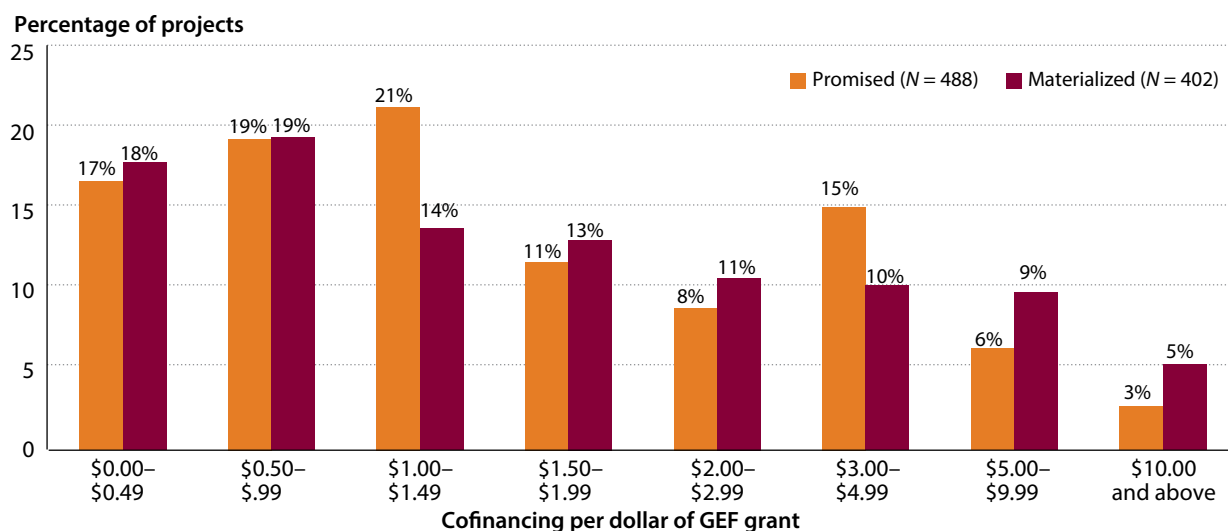




FIGURE 4.3 Distribution of Cofinancing Dollars by Cofinancing Ratio Categories, FY 2002–11

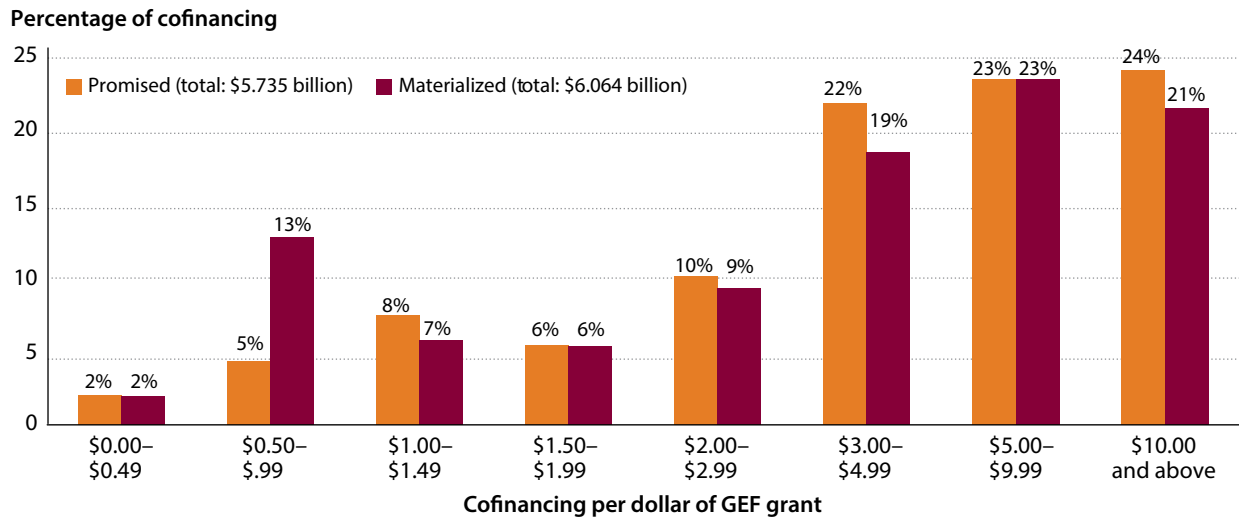


FIGURE 4.4 Percentage of Full-Size Projects with Delays in Implementation, FY 2011

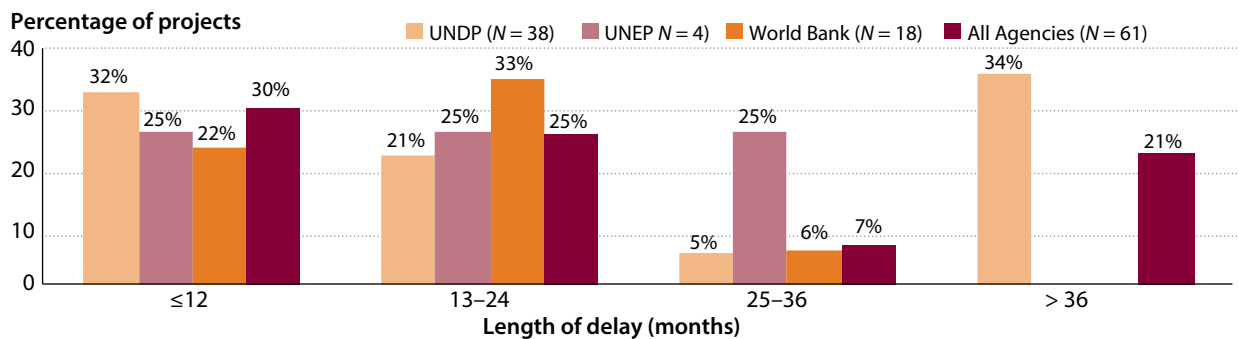
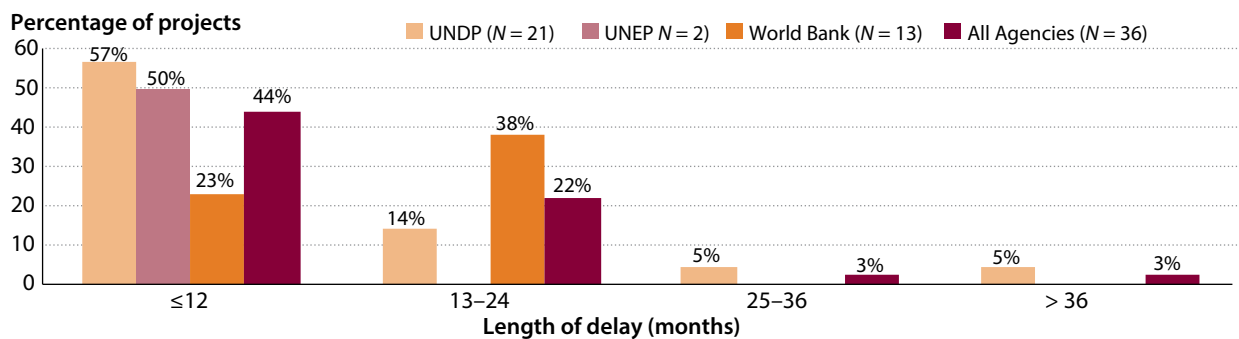


FIGURE 4.5 Percentage of Medium-Size Projects with Delays in Implementation, FY 2011



Information on implementation delays is available for 97 projects in the FY 2011 cohort. Of those, 22 percent (21 projects) were completed within the expected implementation period. One was implemented through ADB, with an implementation delay of 12 months. Figures 4.4 and 4.5 present the distribution of the remaining 76 projects (FSPs and MSPs, respectively) based on the length of delays as measured in months between expected project closure and actual project closure. Overall, 82 percent of FSPs and 72 percent of MSPs in this year's cohort experienced delays in implementation. Twenty-one percent of all FSPs experienced a delay of more than three years, compared to only 3 percent of MSPs. This difference is an expected consequence of the longer implementation period and more complex project design of FSPs.

The delay pattern across the Agencies varies with project size. For UNDP, 61 percent of FSPs and 24 percent of MSPs were delayed over one year.

Twenty-four percent of all UNDP projects (13 FSPs and 1 MSP out of 59 projects) experienced delays of over 36 months. Outcome ratings for these highly delayed projects were all in the satisfactory range. Of the small number of UNEP projects in this year's cohort (six projects), one was completed with a delay of less than six months, one experienced a delay of 12 months, and two projects experienced delays of up to three years. For the World Bank, 39 percent of FSPs and 38 percent of MSPs were delayed over one year.

Given the larger set of terminal evaluation reports that have now been received in the GEF Evaluation Office, it is possible to begin analyzing relationships between parameters. The Office reviewed the extent to which project implementation delay as reported in terminal evaluation reports received to date is related to project outcome ratings and determined that no relationship can currently be discerned.

# 5. Quality of Project Monitoring

A project's M&E system provides information early on about progress toward achievement of its intended results. It also helps in identification of issues that warrant corrective measures in order to facilitate progress. The GEF Evaluation Office reports on quality of project monitoring in completed projects annually.

## 5.1 Rating Approach

Quality of project monitoring in completed projects is assessed on a six-point scale from highly unsatisfactory to highly satisfactory. Three hundred and seventy-two projects for which terminal evaluation reports have been submitted since FY 2006 were considered. Of these, the Evaluation Office has provided or adopted Agency ratings on quality of M&E during implementation for 313 projects. To rate the quality of monitoring in completed projects, it was assessed 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; and
- the parties responsible for M&E activities were properly trained to ensure that correct

procedures were followed and quality was maintained in data collection.

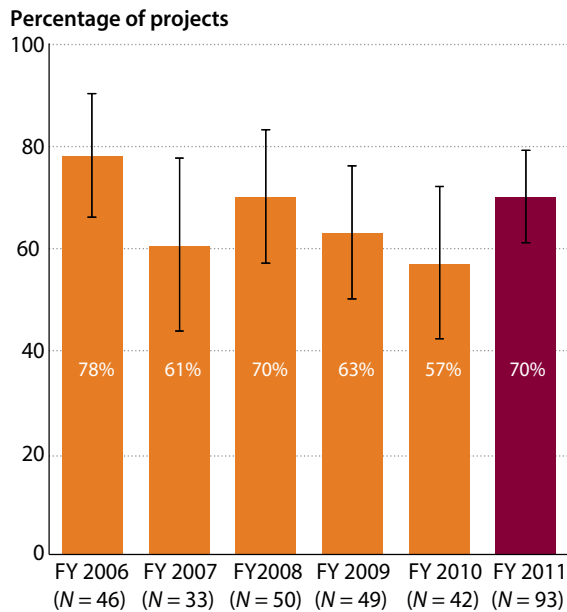
## 5.2 Quality of Monitoring and Evaluation

Out of 313 projects rated on quality of M&E during implementation since FY 2006, 67 percent (211 projects) were rated moderately satisfactory or above. Of 93 projects rated on quality of M&E during implementation in the FY 2011 cohort, 70 percent (66 projects) were rated moderately satisfactory or above. The result for FY 2011 is not significantly different from the long-term average of 67 percent, nor does it represent a significant improvement relative to FY 2010, when only 57 percent of projects were rated moderately satisfactory or above on quality of M&E during implementation.

Figure 5.1 shows the percentage of projects rated moderately satisfactory or above on quality of M&E during implementation by fiscal year. The percentage rated in the satisfactory range has fluctuated over the past six years from a high of 78 percent of projects in FY 2006 to a low of 57 percent in FY 2010. Given the relatively small size of the annual cohorts, there are no significant differences or trends in the year-on-year variation.

There is a difference between the average rating on quality of M&E during implementation for FSPs

**FIGURE 5.1 Percentage of Projects Whose Quality of M&E during Implementation Was Rated Moderately Satisfactory or Above**



NOTE: N = 313; error bars indicate 95 percent confidence interval.

compared to MSPs. Considering all 313 projects since FY 2006, the percentages of FSPs (including two enabling activities) and MSPs rated moderately satisfactory or above are 62 percent and 74 percent, respectively. This difference between FSPs and MSPs overall is statistically significant. However, in the FY 2011 cohort alone, there is no significant difference between the two modalities in this regard due to the small sample size. Sixty-eight percent of FSPs in the FY 2011 cohort were rated moderately satisfactory or above compared to 74 percent of MSPs.

The Office also rates the quality of M&E design, with 344 projects so rated in the FY 2006–11 cohorts. Of these, 233 projects (68 percent) have received ratings of moderately satisfactory or better for this factor. In the FY 2011 cohort, 65 percent of projects were rated moderately satisfactory or above on quality of M&E design. The subject of M&E quality at entry, including M&E design, is discussed in detail in chapter 7.

The quality of M&E during implementation is strongly tied to quality of M&E arrangements at entry. Of the projects for which quality of M&E arrangements at entry is rated in the satisfactory range, quality during implementation is also rated in the satisfactory range for 79 percent since FY 2006, and for 80 percent in the FY 2011 cohort alone. In comparison, of projects rated in the unsatisfactory range for quality of M&E arrangements at entry, the quality of M&E during implementation was rated in the satisfactory range for only 11 percent since FY 2006, and for 13 percent in the FY 2011 cohort. This is consistent with conclusions presented in earlier APRs: that a majority of projects with weak M&E arrangements at entry are unable to make sufficient improvements during implementation.

As more projects designed after the adoption of the 2006 GEF M&E Policy are completed, some improvement in performance both in terms of M&E arrangements at entry and during actual implementation may be expected. The GEF Evaluation Office will present a more in-depth analysis of this in APR 2012.

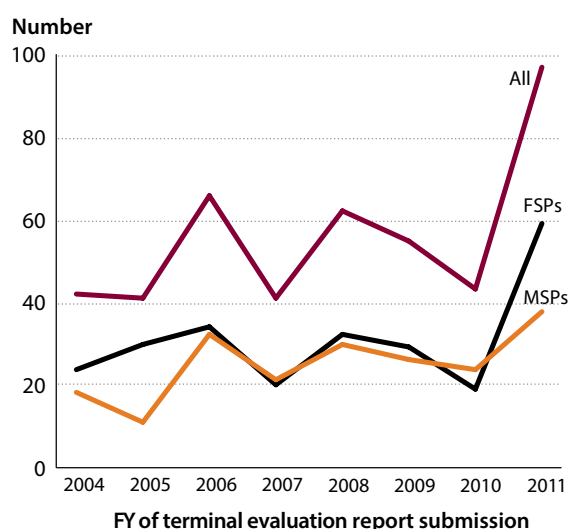
## 6. Quality of Terminal Evaluations

**T**erminal evaluations provide an assessment of project accomplishments and shortcomings. They are the building blocks for the assessment of performance of completed projects. Their effectiveness as a learning tool for the GEF partnership may be compromised if the information they provide is inaccurate, incomplete, or biased. The 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 Evaluation Office identifies the areas where the reports could be improved.

To date, 488 terminal evaluation reports have been submitted to the GEF Evaluation Office. This is the eighth year the Office has rated the quality of these reports; 448 have been rated thus far (figure 6.1). In FY 2011, 102 terminal evaluation reports were submitted by the GEF Agencies, and 98 were rated on quality—including 87 for which the ratings provided by the independent evaluation offices of the respective Agencies were adopted. The overall quality of 83 percent of the terminal evaluation reports of the FY 2011 cohort was rated moderately satisfactory or above.

For APR 2011, the GEF Evaluation Office made a concerted effort to collect terminal evaluations from completed projects that were outstanding from previous years. Accurate data on the status and dates of project completion have been difficult

FIGURE 6.1 Number of Terminal Evaluation Reports Received and Rated



to determine, which influences the ability to compare time lags between terminal evaluation report completion and submission. To address this deficiency, the Secretariat has instituted a system through its results-based management processes whereby Agencies provide regular updates on project status, including the project's expected completion date; the Secretariat provides this information to the GEF Evaluation Office in a regular and systematic manner. While there has been improvement on the status of impending project completion, resolution of this concern requires continued collaborative efforts from the Secretariat, the Agencies, and the Evaluation Office.

The overall quality of 83 percent of the terminal evaluation reports of the FY 2011 cohort was rated moderately satisfactory or above.

The Evaluation Office conducts field verification of the achievements of GEF projects as part of thematic evaluations, country portfolio evaluations, and impact evaluations. This on-site verification allows the Office to benefit from the vast pool of information that is collected through other evaluation streams and to reduce costs. The trade-off involved is that, for any given year, the number and geographic scope of the projects covered is limited to the countries where other evaluations are ongoing. So far, 17 field verifications have been conducted. Three progress to impact and field verifications were completed during the past calendar year: two in FY 2011, in Hungary and Kenya; and one in FY 2012 in Brazil. Although in some instances, the ratings provided after field verification varied from those provided through desk review, they generally confirmed desk review findings.

## 6.1 Rating Approach

The approach adopted by the Evaluation Office to assess the quality of terminal evaluation reports submitted has remained the same since FY 2005. These reports have been assessed by the Evaluation Office 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, was the evidence complete and convincing, and were 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 its own verified project outcome ratings and those provided by (1) the last project implementation report (PIR) that was submitted to the GEF Secretariat, (2) the terminal evaluation report, and (3) the evaluation offices of the GEF Agencies.

## 6.2 Findings

Of the 102 terminal evaluation reports submitted during FY 2011, 98 were rated on overall quality. Eighty-three percent were rated moderately satisfactory or above (table 6.1). This percentage is significantly lower (at a 95 percent confidence level) than the FY 2009 figure of 96 percent, but comparable to the FY 2010 figure of 84 percent. These changes do not reflect a trend.

In the FY 2011 cohort, the quality of terminal evaluation reports was significantly higher among FSPs than among MSPs: 90 percent of FSPs compared to only 71 percent of MSPs in the FY 2011 cohort had terminal evaluation reports rated moderately satisfactory or above. The terminal evaluation reports for the MSPs implemented by the World Bank have, on average, lower quality ratings compared to the Agency's FSPs. Agency ratings were adopted for World Bank FSPs; for its MSPs, the ratings are based on terminal evaluation reviews conducted by

**TABLE 6.1 Terminal Evaluation Reports Submitted in FY 2011 Rated Moderately Satisfactory or Above, by Project Size and Agency**

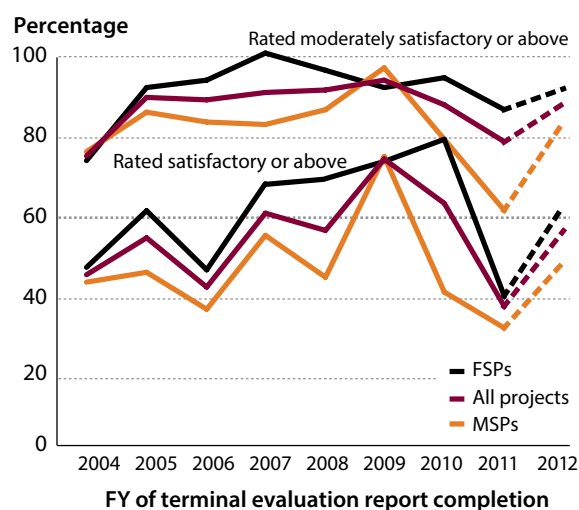
Agency	FSPs		MSPs		All projects	
	Number	Percentage	Number	Percentage	Number	Percentage
ADB	1	100	n.a.	n.a.	1	100
UNDP	38	87	23	70	61	80
UNEP	3	100	n.a.	n.a.	3	100
World Bank	18	94	15	73	33	85
All Agencies	60	90	38	71	98	83

NOTE: n.a. = not applicable.

the GEF Evaluation Office. Agency ratings were adopted for the UNDP-implemented FSPs and MSPs. In FY 2010, the terminal evaluation reports for 84 percent of FSPs and 83 percent of MSPs were rated moderately satisfactory or above.

Table 6.2 present the trends in terminal evaluation report quality ratings based on the year in which the reports were submitted. Figure 6.2 presents the percentages of reports that were rated moderately satisfactory or above in terms of quality as well as the percentages that meet the higher standard of a satisfactory or above quality rating, by year of report completion. Not all of the reports completed in recent years have been submitted to the Evaluation Office yet; thus, their ratings are not yet known.

**FIGURE 6.2 Percentage of Terminal Evaluation Reports with Satisfactory or Above Quality Rating, by Project Size and Year of Completion**



NOTE: The dotted lines indicate that a significant percentage of the terminal evaluations completed in that year are estimated as not yet having been submitted.

**TABLE 6.2 Percentage of Terminal Evaluation Reports Rated Moderately Satisfactory or Above, by Year of Submission and Agency**

Agency	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011	All years
ADB	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	100	100
UNDP	54	91	87	94	93	95	88	80	88
UNEP	67	50	67	100	100	100	86	100	84
World Bank	80	100	86	94	88	94	80	85	88
All Agencies	69	88	83	95	92	96	84	83	87
Number	42	41	66	41	62	55	43	98	448

NOTE: n.a. = not applicable.

## 6.3 Performance by Quality Dimension

The GEF Evaluation Office rates the quality of a terminal evaluation report along six dimensions. Table 6.3 shows the trends in percentage of terminal evaluation reports rated moderately satisfactory or above on individual quality dimensions. The Office also undertook an analysis of the same quality dimensions using a more stringent yardstick—terminal evaluation reports rated satisfactory or above—and found no significant difference in trend.

Often, different types of monitoring that may be relevant to GEF projects are not distinguished in the terminal evaluation reports. For example, GEF projects may have three different types of monitoring:

1. Monitoring of project inputs, outputs, and processes to facilitate better tracking of project implementation progress
2. Monitoring of results to facilitate evaluation of project outcomes and impacts
3. Monitoring of trends in environmental and socioeconomic status, and stress reduction on the basis of baselines to assess the global environmental benefits of GEF projects

The second type of monitoring differs from the third in that it tracks changes on the outcome or impact indicators of a GEF project, whereas the latter tracks changes in the environmental and socioeconomic indicators that the project seeks to affect or contribute to. The reporting on implementation of M&E arrangements often overlooks these differences.

Table 6.3 shows that ratings on quality dimensions such as financial information and assessment of M&E remain lower than do ratings on other dimensions. Most reports do not present sufficient information on utilization of the GEF grant and on the amount of cofinancing that materialized. Also, the information provided is often at the aggregate level and is not available at the component or activity level. Additionally, reporting on cofinancing often does not clarify whether the cofinancing was managed by the project implementation unit or by other organizations.

## 6.4 Terminal Evaluation Report Submission

The GEF Agencies are required to submit terminal evaluation reports within 12 months of project operational closure. The Evaluation Office began

**TABLE 6.3 Percentage of Terminal Evaluation Reports Rated Moderately Satisfactory or Above on Each Quality Dimension, by Year of Completion**

Dimension	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009	FY 2010	FY 2011
Overall	89	88	92	92	93	86	77
Reporting on outcomes	92	88	90	90	97	100	87
Consistency and completeness	81	77	83	86	93	81	74
Assessment of sustainability	84	77	88	82	84	76	61
Lessons learned	79	79	85	88	88	81	77
Financial information	52	44	56	68	79	73	52
Assessment of M&E system	53	56	60	70	64	70	48
Number of projects	62	52	48	50	58	37	31



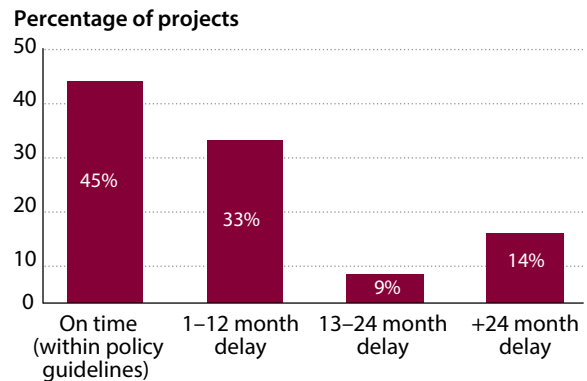
collecting data on the time lags between project closure and terminal evaluation report submission in FY 2008.<sup>1</sup> For the FY 2011 cohort, data were available on the time lags between project closure and terminal evaluation report submission for 101 projects. Figure 6.3 shows that for the FY 2011 cohort, 45 percent of terminal evaluation reports were submitted within 12 months of operational project closure, and 33 percent were submitted within one to two years following project closure. APR 2012 will present trends in time elapsed between terminal evaluation completion and submission to the GEF Evaluation Office.

## 6.5 Comparison of Ratings

In FY 2011, the GEF Evaluation Office accepted the ratings for all project evaluations already reviewed by the evaluation units of the three major Agencies—UNDP, UNEP, and the World Bank. The main reason behind this decision was the progressive

<sup>1</sup> Operational closure dates are obtained from terminal evaluations and verified by Agency evaluation offices during the terminal evaluation report review process.

**FIGURE 6.3 Elapsed Time between Project Completion and Terminal Evaluation Report Submission to GEF Evaluation Office, FY 2011**



NOTE: N = 101.

acknowledgment within the GEF Evaluation Office of the high quality and independence of evaluation reviews conducted by partner Agencies' evaluation units. For the FY 2011 cohort, the GEF Evaluation Office has reviewed the terminal evaluations of World Bank MSPs for which the IEG does not conduct a review; it also reviewed the first terminal evaluation submitted by ADB, along with its Agency review (validation report).

## 7. Quality at Entry

This chapter presents findings from three reviews carried out by the Evaluation Office for APR 2011. The first review is a reassessment of the **quality of M&E arrangements at the point of project entry** into the GEF system. Similar reviews were carried out in FY 2005 and 2008. This study assesses quality at entry for a sample of 80 out of 137 FSPs that received CEO endorsement during FY 2011. The 80 FSPs account for \$338 million in GEF grants.

The second review tracks **parameters introduced by new policies and decisions** adopted by the GEF Council for GEF-5. To incorporate considerations within the GEF's 2010 M&E Policy, the Policy on Gender Mainstreaming, the Policy on Environmental and Social Safeguard Standards, and the Council decision concerning the mainstreaming and targeting of adaptation and resilience, a review instrument was applied to the full FY 2011 cohort of 137 FSPs. As these policies were not in effect when the majority of these projects were initiated, the GEF Evaluation Office assessment includes no evaluative judgments. This study provides a baseline for the Office on the state of affairs at the end of GEF-4, and as the Office begins to track compliance as set by these policies.

The third review assesses **quality at entry of project arrangements to measure impact**; the Evaluation Office conducted this review in collaboration with the GEF STAP. It included a representative sample of 55 FSPs that were endorsed

by the GEF CEO in FY 2011. Six of these projects were found to have little direct or proximate links with environmental stress reduction and were thus excluded from the review, leaving 49 projects in the sample.

### 7.1 Quality of M&E Arrangements at Entry

Project-level M&E forms the basis of the GEF's overall M&E framework as outlined in the Council-approved [2010 GEF M&E Policy](#) (GEF EO 2010a), which describes the requirements for a project's M&E system at different stages of the project life cycle. A well-designed and -implemented M&E system at the project level defines indicators for measuring results, provides real-time information about progress toward achievement of outcomes and objectives, and facilitates adaptive management.

The purpose of this assessment was to gauge the extent to which requirements are incorporated into a project's arrangements for M&E at the point of CEO approval or endorsement. The experience of the GEF Evaluation Office shows that quality at entry assessments are an effective way to provide quick feedback on the strengths and weaknesses of project design instead of waiting until project completion.

This study assessed quality at entry for a random sample of 80 projects drawn from the full FY 2011

cohort of 137 FSPs;<sup>1</sup> it used the same survey instrument as the FY 2005 and 2008 assessments ([annex D](#)). The GEF Secretariat undertook a parallel review of 59 MSPs. The results of its review have not been verified by the GEF Evaluation Office. [Annex F](#) provides a list of the 80 FSPs assessed.

The assessment was based on a review of the Request for CEO Endorsement document, the final version of an Agency's respective project approval document, and STAP reviews. The study is not a complete assessment of quality at entry of projects; rather, it focuses on M&E requirements set by GEF policies and specific GEF Council decisions. The project approval document varies from Agency to Agency, and thus the level of information available differs somewhat even in the more standardized Request for CEO Endorsement. The point of CEO endorsement was selected for evaluation because it is at this point in the preparation process that a project proposal is expected to meet all GEF project design requirements.

The review of each of the sampled project proposals was carried out by the Evaluation Office with support from external consultants. To ensure consistency and a coherent approach, a training session was conducted on use of the instrument for assessing quality of M&E at entry.

## METHODOLOGY

The methodology for the first review drew on that used for the quality at entry studies conducted in FY 2005 and 2008. The review instrument ([annex D](#)) had 13 parameters consistent with those used in FY 2005 and 2008, allowing assessment of changes over time with reference to the impact of requirements and standards set by the GEF

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<sup>1</sup> The 80 FSPs included 5 Least Developed Countries Fund and 2 Special Climate Change Fund projects.

2006 M&E Policy.<sup>2</sup> In total, the Evaluation Office has assessed 236 FSPs—74 from FY 2005, 82 from FY 2008, and 80 from FY 2011. The results for the FY 2005 and 2008 cohorts were presented in APR 2005 and APR 2008, respectively. The set of 13 M&E parameters are classified as either critical or noncritical following the methodology of FY 2005 and 2008. The six critical parameters, listed below, are considered essential for a project's M&E plan and reflect compliance with GEF requirements per the 2006 M&E Policy:

- Are indicators relevant to the chosen objectives and outcomes?
- Are indicators sufficient to assess achievement of the objectives and outcomes?
- Is baseline information complete and relevant?
- Is there a separate budget allocated to M&E activities?
- Are targets specified for project objectives and outcome indicators?
- Are targets specified for project objectives and outcome indicators based on initial conditions?

A project had to be in compliance with all six critical parameters—and to perform adequately on the other seven M&E parameters taken together—in order to be classified as compliant in this assessment. The noncritical parameters, while not mandatory, are desired and contribute to a solid project design and M&E plan. Projects were scored on each parameter on a scale of 1–3 (3 being the

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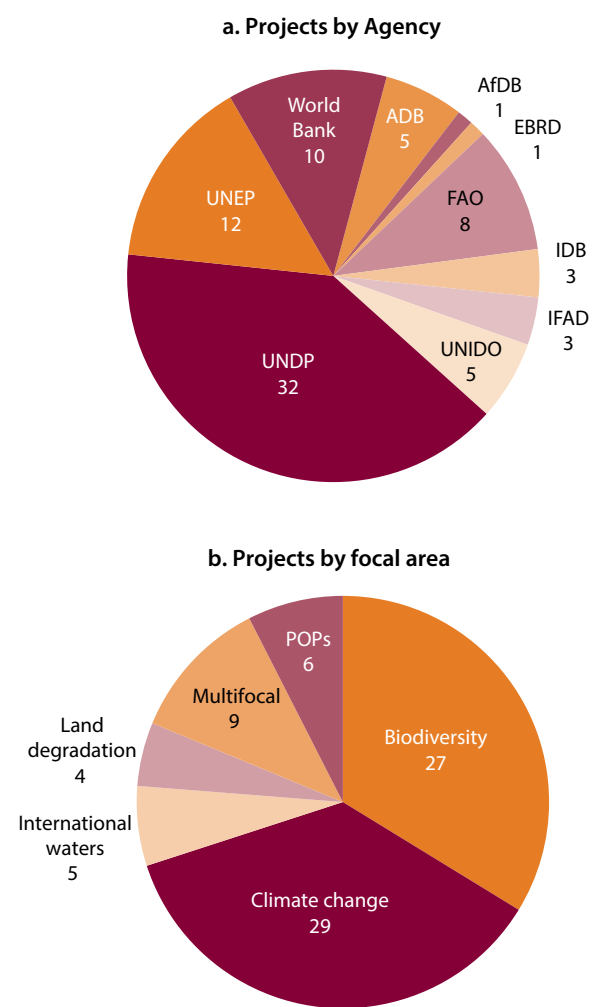
<sup>2</sup> Since the GEF's inception, the GEF Council has, on many occasions, worked toward strengthening M&E policies and procedures; it approved the first GEF M&E Policy in 2006. In 2009, the Council requested that the GEF Evaluation Office revise the M&E Policy for GEF-5 by incorporating the findings and recommendations of OPS4. This resulted in the 2010 M&E Policy document. For maximum comparability, the compliance assessment for FY 2008 and 2011 is based on 2008 standards (i.e., the 2006 policy). The compliance rate for FY 2005 is based on 2005 standards (before implementation of the first GEF M&E Policy).

highest) and had to achieve at least a 2 on each of the critical M&E parameters to be considered in compliance with GEF M&E at entry expectations.

## OVERVIEW OF THE PORTFOLIO

The cohort assessed included 80 FSPs, as detailed in figure 7.1. The 80 FSPs account for \$338 million in GEF investment grants. The focus of the FY 2011 sample is on climate change and biodiversity, with most projects being implemented through UNDP.

**FIGURE 7.1 Sampled Projects by GEF Agency and Focal Area**



NOTE: POPs = persistent organic pollutants.

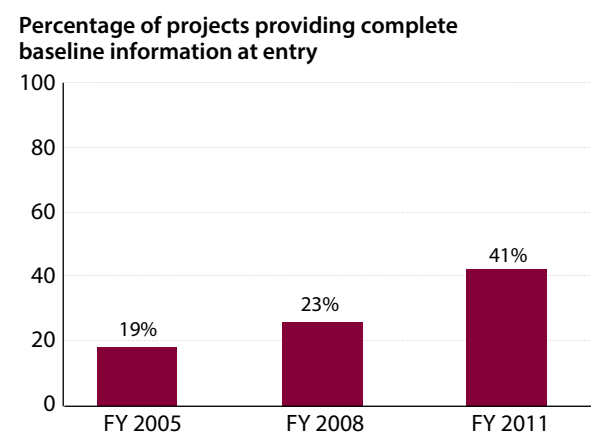
## COMPLIANCE WITH 2006 GEF M&E POLICY MINIMUM REQUIREMENTS

The Office rated the M&E arrangements of 80 percent of the sampled FSPs that were CEO endorsed in FY 2011 to be in compliance with the minimum requirements applicable under GEF-4. [Table 1.5](#) presents compliance rates with individual critical M&E parameters. Figure 7.2 illustrates the changes from the FY 2008 performance, when 76 percent of the projects were rated as compliant with the requirements then in effect. The percentage compliant in FY 2005 was 58 percent.

Changes in compliance are noted for UNEP and the World Bank ([annex G](#)). Greater percentages of projects prepared by UNEP and the World Bank were rated as compliant in FY 2011 than in FY 2008. The UNEP compliance rate increased from 33 percent in FY 2008 to 92 percent in FY 2011; the World Bank compliance rate rose from 81 percent to 100 percent. UNDP's compliance rate in FY 2011 was 88 percent, comparable to the FY 2008 rate of 83 percent.

Similar conclusions cannot be drawn for other Agencies, as the number of projects is small. Taken

**FIGURE 7.2 Change in Compliance with Baseline Information Requirements**



as a group, however, the other GEF Agencies (ADB, AfDB, EBRD, FAO, IDB, IFAD, and UNIDO) had an overall lower rate of compliance—58 percent—when compared to the main GEF Agencies ([annex G](#)).

From a focal area perspective, multifocal area projects had a lower rate of compliance than did the other focal areas ([annex H](#)). Only 33 percent of the 9 multifocal area projects demonstrated compliance. Similar low rates were found for multifocal area projects in the FY 2008 and 2005 studies. This finding is not surprising, since these projects do not link to one focal area strategy but are cross-cutting. Parameter-specific ratings for multifocal projects are explored in more detail in the discussion of the FY 2011 cohort.

Among the critical M&E parameters driving improvements in overall M&E quality at entry are specification of targets for indicators and allocation of a separate budget for M&E activities. In FY 2005, 89 percent of M&E logical frameworks specified targets for objective/outcome indicators, compared with 99 percent in FY 2008 and 100 percent in FY 2011. Similarly, there has been steady improvement in the allocation of a separate budget for M&E activities. In FY 2005, 92 percent of projects provided a separate budget, 95 percent in FY 2008, and 97 percent in FY 2011. Compliance with the requirement to clearly specify organizational responsibilities for M&E activities has decreased. In FY 2011, 94 percent of projects were rated in compliance, compared to 100 percent in FY 2008 ([annex H](#)).

## USE OF SMART INDICATORS

Evaluation of project results relies on the selection and definition of appropriate indicators at the project's start. A review of M&E quality at entry therefore entails assessment of the quality of indicators identified in the project design stage. The 2006 GEF M&E Policy calls for **SMART**

criteria to be applied when developing indicators. GEF recognizes the acronym SMART as Specific, Measurable, Achievable and Attributable, Relevant and Realistic, Time-bound, Trackable, and Targeted. Project preparation should include the selection of a manageable number of SMART indicators that are relevant to project objectives and outlined in the project's results (logical) framework. In addition, the baseline values of these indicators should be determined during project preparation and taken into consideration in setting targets. Early identification of data sources for measuring indicators, as well as the establishment of clear roles and budgets for measurement, increases the likelihood that indicators will be used to track project performance.

To gauge "SMARTness," the following parameters (most of which are also critical for compliance with 2006 M&E Policy requirements) were applied in the review:

- Is there at least one specific indicator in the results framework for each of the project objectives and outcomes?
- Are all indicators in the logframe relevant to the chosen objectives and outcomes?
- Are the indicators in the results framework sufficient to assess achievement of the objectives and outcomes? Are the indicators for project objectives and outcomes quantifiable?
- Have targets been specified in the results framework for the project outputs? Have targets been specified for the indicators for project objectives and outcomes in the results framework?
- Are the specified targets for indicators based on initial conditions?

As shown in annexes [G](#) and [H](#), the majority of projects' results framework indicators meet SMART criteria. The majority of projects specify some type of indicator for each objective and outcome; and the majority of projects are using sufficient,

relevant, and quantifiable indicators with targets and time frames in project results frameworks. A significantly larger percentage of projects reviewed in FY 2008 than in FY 2005 provided at least one indicator for each expected outcome (95 percent versus 57 percent) with at least one indicator for each objective or expected outcome. However, in 2011, only 88 percent of projects reviewed were in compliance on this parameter.

Weaknesses exist in crafting valid and reliable indicators and in establishing meaningful targets for indicators, particularly in the multifocal area. As noted earlier, this focal area (comprising only 9 projects) had an overall compliance rate of 33 percent—the lowest among the focal areas.

[Annex I](#) presents examples of particularly strong (SMART) and weak indicators noted among the cohort of projects reviewed.

## OTHER M&E PARAMETERS

In addition to the use of SMART indicators, the GEF Evaluation Office assessed M&E plans at entry along other dimensions using the following parameters.

- **Has complete and relevant baseline information been provided?** Eighty-five percent of the FY 2011 project cohort was compliant on this critical parameter. Compliance on this parameter means that projects provide at least partial baseline information on important indicators along with the promise of a baseline survey in the project's first year; this was also the standard used in the FY 2008 review.<sup>3</sup> Reviewers noted that the quality of the baseline information provided varies greatly; one of the main challenges noted is missing or partial baseline

<sup>3</sup> The FY 2008 assessment did not review GEF tracking tools, as these were not yet in place for all focal areas. The FY 2011 study also did not review tracking tools, although for GEF-5 projects these are now in place for all focal areas.

information, although only one project had no baseline information in the results framework. In many projects scoring a 2, the baseline information provided tended to be at the program level, was very general (e.g., the Save Our Species project, GEF ID 3860), or was couched in vague language that did not clearly define the baseline (e.g., limited collaboration/awareness as in the Sustainable Management of Biodiversity in Thailand's Production Landscape project, GEF ID 3940). In those results frameworks that relied heavily on output indicators, most of the baselines were zero (e.g., zero people trained, zero studies accomplished). This type of baseline information is of limited utility in assessing objectives and outcomes.

Figure 7.2 presents the compliance rate over the three different review periods for the parameter on baseline information using the stricter threshold of provision of full baseline information at the point of CEO endorsement (per the 2006 M&E Policy). With the stricter threshold, the FY 2011 compliance rate for this parameter is 41 percent, far lower than the 85 percent indicated in [table 1.5](#) for the weaker threshold, but this still represents a significant improvement over the compliance rate of 23 percent in the FY 2008 cohort. Among the GEF Agencies, the World Bank shows the highest rate of compliance, 90 percent, with the more stringent requirement of providing full baseline information at entry ([annex G](#)).

- **Have the responsibilities been clearly specified for the M&E activities?** Lack of information on M&E responsibilities often leads to delays in the start-up and implementation of the project's M&E system. Specific responsibilities for at least some M&E activities should be present for compliance on this parameter. For this parameter, the projects scored at a high level of compliance, 94 percent. All focal areas scored high and evenly, except for slightly lower scores for persistent organic pollutant projects.

- **Has a separate budget been allocated to M&E activities?** Allocation of a sufficient budget to M&E activities is essential to ensure that M&E activities are not stalled for want of funds. This parameter has been identified as critical; for compliance, a project should make explicit provision for M&E activities in the budget.

Most projects (92 percent) provided information on the indicative costs and/or included M&E as a separate line item in the project management budget. Agencies may report on costs relating to M&E differently as reflected in their respective Agency procedures. Four Agencies received a rating of 3 for all projects, although these tended to be Agencies with smaller project portfolios (ADB, AfDB, EBRD, and FAO).

In some biodiversity projects, there was overlap between the costs of M&E associated with project implementation and that associated with biodiversity monitoring. Further guidance might be needed on how to separate the two.<sup>4</sup>

- **Have time frames been specified for the M&E activities?** It is important to identify early in the project at what point in the project's life cycle key M&E activities, such as midterm reviews and terminal evaluations, are supposed to take place. The specific time frames for at least some of the M&E activities need to be present for compliance. On this parameter, 98 percent of projects provided information on timing, usually indicating regular project supervision and mid-/end project evaluations.
- **Have the reviews and evaluations (including midterm reviews and terminal evaluations)**

<sup>4</sup> Project monitoring entails both supervisory and project-level activities. The source of budget for these varies across projects and Agencies. To standardize the process, the Operations Unit of the GEF Secretariat presented guidelines at the Annual Monitoring Review Inter-Agency Meeting, April 5, 2012. These guidelines delineate between supervision/monitoring activities to be covered by project fees and those to be covered by project costs.

**to be undertaken been identified?** The GEF 2006 M&E Policy states that the project M&E plan at entry must specify if and roughly when any midterm or terminal evaluations will take place. For compliance on this critical parameter, a project should indicate that it plans to conduct the terminal evaluation and midterm review.

Almost all (99) GEF projects clearly identify the reviews and evaluation to be conducted during the life of the project. Projects are also clearly taking into account individual Agency compliance procedures for project M&E. This bodes well in terms of results readiness and integration of M&E at early stages of project preparation.

## 7.2 Quality at Entry for New Parameters

The GEF's 2010 M&E Policy and recent Council decisions have introduced new standards for M&E design and elements of overall project design. To assess the level of adoption of these new standards, a second review instrument was applied to the full cohort of 137 FSPs endorsed by the GEF CEO in 2011. This instrument included the following questions (parameters) addressing design guidelines offered by the revised M&E Policy as well as by other recent GEF policy documents and Council decisions:

- Are indicators aligned and linked to the focal area results frameworks/strategies? (2010 M&E Policy, Minimum Requirement 1)
- Do the M&E plans specify how the project will keep the relevant GEF OFP informed and involved? (2010 M&E Policy, Minimum Requirement 4)
- Is there a gender mainstreaming strategy? (Policy on Gender Mainstreaming)
- Are there gender-disaggregated indicators? (Policy on Gender Mainstreaming)

- Is there evidence of monitoring of environmental or social safeguards (if a safeguard is triggered and where applicable)? (Policy on Environmental and Social Safeguard Standards)
- Is there identification of climate risks (adaptation and resilience)? (Council decision concerning the mainstreaming and targeting of adaptation and resilience)

This review assesses the **current** provision of information **only** in the CEO endorsement document with regard to these **future** requirements. These parameters were not reviewed for compliance, but rather to give the Office a sense of the present status of information in the Request for CEO Endorsement. There is currently no requirement for the provision of information on gender mainstreaming or on the monitoring of environmental and social safeguards in the Request for CEO Endorsement; thus, the information contained therein is not necessarily reflective of the full body of material that may be available in different source documents. For example, additional information on gender mainstreaming may be in project approval documents. The endorsement request does contain a section on climate risks.

## LINKAGE TO FOCAL AREA RESULTS FRAMEWORKS

The quality at entry assessment results indicate that the GEF's results-based management approach, initiated in June 2007 during the start of GEF-4, is becoming integrated in the portfolio. In the context of the GEF's results-based management framework, focal area results frameworks were developed for GEF-5 that outline each focal area's strategic objectives, expected outcomes and indicators, outcome targets, and core outputs. For this review, project results frameworks (i.e., logframes) were assessed to determine if indicators from the focal area results framework were included in

project M&E design, to facilitate portfolio-level reporting. Going forward, this will be a critical parameter for assessing quality of M&E at entry.

Most projects—96 percent of FSPs—had indicators that were in some way linked to the relevant focal area results frameworks indicators. The Request for CEO Endorsement template includes a section asking for a description of the project's consistency with GEF strategies and strategic programs, which may account for the high level of compliance on this parameter. In addition, some focal area indicators have long been applied in the portfolio. For example, the Protected Area Management Effectiveness Tracking Tool (METT), which assesses the effectiveness of protected area management, has been widely utilized in the GEF's biodiversity portfolio for years and thus was not a new development for GEF-5. Similar tools may have been informally applied in other focal areas as well.

All eight international waters projects and all four land degradation projects received the highest score of 3 on this parameter. The 15 multifocal area projects, however, had the lowest scores—which is not surprising, since such projects do not link to a single focal area strategy but are cross-cutting.

Despite the high compliance rate at the minimum standard level on this parameter, there are significant opportunities for strengthening. Many projects either do not explicitly identify the focal area indicators in their results frameworks, apply some indistinct variation of a focal area indicator, or do not include the indicators in their results frameworks even if they are utilizing them. For example, some projects do not include Protected Area Management Effectiveness Tracking Tool scores as an indicator in their logframe, even though they mention elsewhere in the project documentation that they are using this tool.



## ENGAGEMENT OF OPERATIONAL FOCAL POINT

The engagement of national OFPs is a new requirement of the 2010 GEF M&E Policy; it was instituted to support national efforts to establish or improve monitoring and to increase country ownership of GEF projects. The policy mandates that “Projects and programs will engage operational focal points in M&E-related activities”; a project’s M&E plan at entry is therefore required to “include a specification of how the project or program will keep the relevant GEF OFP informed and, where applicable and feasible, involved, while respecting the independent nature of evaluation” (GEF EO 2010a).

Of the 137 FSPs endorsed by the CEO in FY 2011, 24 (18 percent) already address the role of OFPs by discussing how they would be updated and involved on implementation and results management. Of those 24 projects, 9 are from UNDP; seven from UNIDO; two each from the World Bank and FAO; and one each from ADB, IDB, IFAD, and UNEP.

Some good practice examples emerge from the reviewed projects. For example, the design for the Integrating Adaptation to Climate Change into Agricultural Production and Food Security in Sierra Leone project (GEF ID 3716) clearly explains the responsibilities of the GEF and United Nations Framework Convention on Climate Change focal points in the use of, follow-up to, and action on project evaluation recommendations. The focal points play a key role in keeping stakeholders fully updated on the implementation and results of the project’s M&E activities. Similarly, the Mainstreaming Biodiversity Conservation through Low-Impact Ecotourism in the SINAP project (National Protected Areas System; GEF ID 3889) specifies the role of the OFP in the M&E section of the Request for CEO Endorsement. In other projects, the OFP is part of the project steering committee or project supervisory board, as in the

Strategic Programme on Energy in West Africa–Climate Change Promoting Energy Efficiency in Residential and Public Sector in Nigeria project (GEF ID 3794) and in the Improving Energy Efficiency and Promoting Renewable Energy in the Agro-Food and Other Small and Medium Enterprises in Ukraine project (GEF ID 3917).

## GENDER MAINSTREAMING

The Policy on Gender Mainstreaming was presented to the GEF Council in May 2011 and “aims to enhance the degree to which the GEF and its Agencies promote the goal of gender equality through GEF operations” (GEF 2011). The policy states that, if appropriate, project design should include a gender mainstreaming strategy that recognizes and respects the different roles that women and men play in resource management. It also outlines the importance of the M&E process in gender mainstreaming through the use of gender-disaggregated monitoring indicators to measure socioeconomic outcomes and impacts.

For this study, the reviewers first assessed if a gender mainstreaming strategy was applicable to each project.<sup>5</sup> If so, the reviewers assessed the project for gender-disaggregated indicators in its M&E plans. An obvious challenge in assessing this parameter is the limited view offered through review of only one key document: the Request for CEO Endorsement. It is possible that review of a wider set of documents for each project would yield a greater number with a gender mainstreaming strategy. Another challenge is that there is, as of yet, no clear definition of a “gender mainstreaming strategy.” The GEF policy states that there should be “efforts to analyze and address in GEF projects the specific needs and role of both women and men, as appropriate to each intervention” and that

<sup>5</sup> From a review of the endorsement documents, gender mainstreaming was deemed applicable to 88 projects in the cohort of 137.

the GEF Secretariat will coordinate the development of guidance on the inclusion of gender aspects in the design of projects and on the M&E of gender dimensions (GEF 2011). It is hoped that once such guidance has been fully elaborated and agreed upon by the GEF Agencies, there may be greater clarity on this issue.

As a result of these challenges, the GEF Evaluation Office determined that the findings with regard to gender mainstreaming are inconclusive, as they are based only on information in the Request for CEO Endorsement document and do not draw on the complete body of relevant material.

In the context of OPS5, the GEF Evaluation Office will undertake further investigation into this parameter and review additional project documents as well as systems that Agencies have in place to monitor gender mainstreaming.

## ENVIRONMENTAL AND SOCIAL SAFEGUARD STANDARDS

The Environmental and Social Safeguard Standards Policy was presented to the Council together with the Policy on Gender Mainstreaming in May 2011. Under this policy, the GEF Secretariat does not screen individual projects, but seeks to ensure that all GEF Agencies (including the newly accredited ones) comply with safeguard requirements with regard to environmental and social assessment, natural habitats, involuntary habitats, involuntary resettlement, pest management, physical cultural resources, and safety of dams. Review of projects on this parameter sought to assess the extent to which safeguard monitoring arrangements are visible in the Request for CEO Endorsement for those projects that have triggered safeguards.

Agencies generally have separate systems to track environmental and social risks, and these systems are not necessarily alluded to in project

descriptions or in the results monitoring frameworks presented in the Request for CEO Endorsement—if they are mentioned, it is with limited scope and detail. Current GEF project design guidelines do not stipulate that M&E design address monitoring of environmental or social safeguards. Thus, any findings on this parameter should be viewed as inconclusive. In the context of OPS5, the GEF Evaluation Office will undertake further investigation of this parameter and review additional project documents and systems that Agencies have in place to demonstrate monitoring of environmental and social safeguards.

## CLIMATE RISK ASSESSMENT

At its 39th Meeting in November 2010, the Council issued a decision stemming from the Evaluation of the GEF Strategic Priority for Adaptation requesting screening tools to ensure mainstreaming and targeting of adaptation and resilience.<sup>6</sup> Since climate change can have a negative impact on the implementation and outcomes of GEF-funded activities, it is critical that various project-specific risks arising from climate change be identified during the design stage. Explicit recognition of climate risks in project design mitigates the potential loss of global environmental benefits, maladaptation, and reduced impact of GEF funding. To this end, the risk mitigation section of the Request for CEO Endorsement was reviewed. About two-thirds of the projects in the cohort (67 percent) explicitly address climate risks, even if only to note that climate risks were not relevant for the project in question.

<sup>6</sup> The Council “requested the Secretariat to develop and implement screening tools. These tools will serve as a first step to ensure the mainstreaming and targeting of adaptation and resilience, to reduce the risks from climate change in GEF focal areas and its activities. The Council further requested the Secretariat to report to its November 2012 meeting on steps taken and progress made, including indicators for RBM [results-based management] and M&E” (GEF 2010b).

Reviewers found that among projects that discuss climate risks there is no consistent approach in defining and addressing the risk. In some cases, climate risks are considered narrowly in terms of direct and immediate risks to planned project activities (e.g., in the case where drought could undermine sustainable agriculture demonstrations—also see Strengthening Capacity to Control the Introduction and Spread of Alien Invasive Species, GEF ID 2472). In other cases, risks are broadly considered—in terms of climate risks to intended long-term project outcomes or objectives (e.g., in the case where climate change could reduce the efficacy of project-secured protected areas by shifting ecosystems). Sometimes, risks are also viewed indirectly in terms of general climate risks to the environmental resources targeted by the project. A good practice example is noted for Strengthening the Protected Area Network in Southern Tanzania: Improving the Effectiveness of National Parks in Addressing Threats to Biodiversity (GEF ID 3965), where climate change risk is clearly addressed in the risk analysis table and within the climate change adaptation implementation action plan.

Assessment of climate risks is an obligatory part of the Request for CEO Endorsement, so it is not surprising that a majority of projects include this aspect. Based on reviewer comments, however, a qualitative assessment of this parameter reveals opportunities for improvement. Climate change focal area projects tended to score lower on this parameter, with only 28 percent receiving the highest rating. The climate change projects reviewed largely entail energy efficiency and renewable energy, and do not flag (in the Request for CEO Endorsement) climate change as a salient risk to project objectives.

### 7.3 Assessment of Quality at Entry of Arrangements to Measure Impact

GEF stakeholders, especially the GEF Council, have been very interested in knowing more about the impacts of the activities undertaken with GEF support (GEF 2004, Agenda Item 6; GEF 2005a). This is also reflected in the 2006 GEF M&E Policy wherein impact evaluation was identified as a separate evaluation stream. Further, assessment of the impact of GEF activities has been among the central themes covered by OPS2, OPS3, and OPS4.

OPS2 (GEF 2002a) pointed out that, due to a lack of baseline data, the evaluation team had difficulty in reporting impact achievements of completed and ongoing projects. OPS3 acknowledged the progress made by the GEF in terms of the inclusion of baselines and indicators (GEF 2005b). However, it maintained that most projects do not generate information on quantifiable long-term impacts; and many projects do not have clear baselines, indicators on impact, or methodologies to calculate them. OPS4 noted that the GEF has made considerable progress in establishing a results-based management framework (GEF EO 2010a). It also reported that, for several projects, insufficient data prevented an assessment of progress to impact.

To a great extent, the quality of the information on impacts that is available for analysis after project completion is contingent on the design and implementation of plans for M&E. Therefore, to ensure good quality data on impacts, oversight of the quality of M&E arrangements to measure impact and their implementation is important. The Evaluation Office, in collaboration with the GEF STAP, conducted an assessment of quality at entry of arrangements to measure impact in GEF projects. The objectives of the assessment were to

- assess the quality of arrangements to measure impact at the design stage for GEF projects and programs; and

- provide feedback on the effectiveness of quality control mechanisms for impact measurement arrangements at the project proposal stage, identifying—if any—areas for improvement.

Prior to (and concurrent with) this assessment, the Office undertook several other assessments to track the level of compliance with GEF M&E requirements. The assessments of M&E arrangements at entry presented in APR 2005, APR 2008, and this APR 2011 (discussed above) focus on determining the degree to which the M&E arrangements of CEO-endorsed projects are in compliance with the minimum M&E requirements of the GEF and track changes in compliance levels over time. The assessment of quality at entry of arrangements to measure impact, although relatively narrow in terms of the breadth of M&E-related issues, examines impact measurement arrangements in greater depth and focuses more on quality than compliance.

## METHODOLOGY

For this assessment, a representative sample of 55 projects that were endorsed by the GEF CEO in FY 2011 was drawn using a stratified random sampling approach ([annex J](#)). Each focal area was considered as a separate stratum. After sampling, proposals were screened to identify those that were foundational in nature (i.e., focused on building an enabling environment and not a significant activity that would directly lead to, or have a proximate indirect link with, environmental stress reduction). Of the 55 sampled proposals, 6 were identified to have little direct or proximate links with environmental stress reduction; these were excluded from the review. The discussion in this section is based on the 49 project proposals that were reviewed ([annex J](#)).

An instrument that addressed quality parameters such as methodology, indicators, baseline, institutional arrangements, budget, etc., was

used to assess the quality of arrangements for impact measurement ([annex J](#)). Desk reviews were conducted by 10 independent reviewers with expertise in the various GEF focal areas. Based on the specific characteristics of a sampled project, a two-member panel was constituted to review the respective project's proposal documents available at the time of CEO endorsement. Each panel prepared a joint draft review report on each proposal reviewed. An evaluator from the Evaluation Office provided feedback to the panel on these draft reports before they were finalized. The reviews were undertaken between November 2011 and February 2012.

To correct for any sampling probability-related biases due to the stratified random sampling approach, probability-adjusted percentages are reported here. However, the tables included in this section, in addition to presenting the adjusted percentages, present unadjusted percentages along with number of observations. The main conclusions are robust as to whether distributions are probability adjusted or not.

## PROGRESS TO DATE

The preliminary findings following completion of desk reviews by the respective panels are presented in the following section. A more detailed analysis of the data set and gathering of information on some aspects of the assessment is still ongoing as of this writing. The key staff members of the Secretariat and GEF Agencies are yet to be interviewed in order to gather additional information on the project preparation and review process where relevant to ensuring quality of arrangements for impact measurement in project proposals. As a result, the findings in this section have not been reported by focal area or Agency.

The review reports for each of the projects covered under this review have been shared with the Agencies and Secretariat to facilitate learning within the

GEF partnership. The final findings of the assessment will be presented to the GEF Council within the framework of the 2012 Annual Impact Report.

## PRELIMINARY FINDINGS

The review panels rated overall quality of impact measurement arrangements specified in project proposals to be moderately satisfactory or above for 69 percent of proposals. Forty-nine percent of the proposals met a more stringent yardstick of satisfactory or above (table 7.1).

In general, project proposals that were endorsed as part of a programmatic approach tended to have a

lower quality at entry rating for impact measurement arrangements than those that were not part of such an approach. For example, 58 percent of the proposals endorsed as part of a programmatic approach were rated moderately satisfactory or above, and 38 percent were rated satisfactory or above (table 7.2). By way of comparison, of the proposals not endorsed under a programmatic approach, 79 percent were rated moderately satisfactory or above and 59 percent were rated satisfactory or above.

For proposals endorsed under a programmatic approach, the time taken from the point of a project proposal's approval to its CEO endorsement

**TABLE 7.1 Overall Quality at Entry of Arrangements to Measure Impact**

Rating	Number of projects	Percentage (unadjusted)	Percentage (probability adjusted)
Highly satisfactory	7	14	15
Satisfactory	16	33	35
Satisfactory or above	23	47	49
Moderately satisfactory	9	18	20
Moderately satisfactory or above	32	65	69
Moderately unsatisfactory	11	22	21
Unsatisfactory	4	8	8
Highly unsatisfactory	2	4	2
Total	49	100	100

**TABLE 7.2 Time in the Pipeline from Approval to Endorsement and Ratings on Quality at Entry of Arrangements to Measure Impact**

Time taken	Percentage of proposals endorsed under a programmatic approach			Percentage of proposals endorsed without a programmatic approach			Percentage of all proposals		
	Total	MS or above	S or above	Total	MS or above	S or above	Total	MS or above	S or above
Within 1 year	1	0 (0)	0 (0)	4	76 (3)	50 (2)	5	60 (3)	41 (2)
1–1½ years	4	61 (2)	31 (1)	3	63 (2)	37 (1)	7	62 (4)	34 (2)
1½–2 years	6	81 (5)	27 (2)	14	81 (11)	73 (10)	20	81 (16)	59 (12)
2–3 years	8	61 (5)	61 (5)	2	100 (2)	0 (0)	10	68 (7)	49 (5)
≥ 3 years	5	24 (1)	24 (1)	2	71 (1)	71 (1)	7	40 (2)	40 (2)
All years	24	58 (13)	38 (9)	25	79 (19)	59 (14)	49	69 (28)	49 (23)

NOTE: MS = moderately satisfactory; S = satisfactory. Number of observations are in parentheses.

appears to be linked with differences in ratings. However, this relationship is neither strong nor linear. The proposals that take too much time (more than three years) or too little time (less than 18 months) from the point of approval to endorsement tend to have lower ratings than other proposals (table 7.2). This is a relationship that will be tracked in future cohorts so as to be able to draw any conclusions on this with greater certainty.

Projects for which preparation grants were not provided by the GEF tend to have lower ratings for quality at entry of M&E arrangements. The ratings for projects that received preparation grants tend to be higher; however, the amount of the preparation grant does not seem to influence ratings (table 7.3). Given the small number of observations on projects with no project preparation grant support, it is difficult to draw strong conclusions.

## QUALITY OF INDICATORS

Indicators are used to gather information that may show level of change and progress made toward project objectives. Arrangements for impact measurement presented in the sampled proposals were assessed on several dimensions that address quality of indicators. These include coverage of expected impacts, congruence with the project's theory of change, scientific validity of indicators, and congruence with the results-based management framework of the GEF.

To assess the extent to which the impact indicators specified in the proposals meet quality expectations, indicators for any given proposal were assessed using both a high and a low—but reasonable—performance threshold. For example, when assessing the extent to which specified indicators cover major intended impacts, indicators covering all the major intended impacts of the project were considered to meet the high performance threshold. A lower threshold of expected performance would be when the indicators at least cover most of the major intended impacts (although they may also have some minor gaps). Table 7.4 presents statistics on the percentage of proposals that met indicator quality expectations at different thresholds. While for most proposals, indicators met the low quality threshold for dimensions such as scientific validity and congruence with the project's theory of change, the percentages of proposals that met the high threshold on these dimensions were relatively low.

Indicators for a relatively high percentage of proposals are consistent with the results-based management framework of the GEF. Among the sampled proposals, those that had been approved before FY 2008 were less likely to be congruent with the results-based management framework.

## BASELINE INFORMATION

Baseline measurements provide a frame of reference to compare changes. They also allow project

**TABLE 7.3 Project Preparation Grants and Ratings on Quality at Entry of Arrangements to Measure Impact**

Project preparation grant status	Total	Percentage of proposals rated moderately satisfactory or above		Percentage of proposals rated satisfactory or above	
No grant support	10	32	(3)	19	(2)
Grant support ≤ \$100,000	22	81	(18)	58	(13)
Grant support > \$100,000	17	71	(11)	52	(8)
All projects	49	69	(32)	49	(23)

NOTE: Number of observations are in parentheses.

TABLE 7.4 Proposals That Meet Impact Indicator Quality Thresholds

Quality dimension for Indicators and high and low threshold standards	Percentage meeting threshold (probability adjusted)
Coverage of expected impacts through Indicators	
High: All major expected impacts covered.	33 (16)
Low: All or almost all expected impacts covered	69 (32)
Congruence of indicators with project's theory of change	
High: Consistent with theory of change	31 (15)
Low: Consistent or broadly consistent with theory of change	87 (41)
Scientific validity of Indicators	
High: Indicators are scientifically valid	36 (17)
Low: Generally indicators are scientifically valid	88 (42)
Congruence of indicators with results-based management framework	
High: Feed into the GEF's results-based management framework	72 (32)
Low: Feed into and/or consistent with results-based management framework	93 (44)
All thresholds	
High	16 (7)
Low	69 (44)

NOTE: Number of projects are in parentheses. *N* = 49.

proponents to make reasoned projections of expected changes so as to facilitate ex ante benefit/cost assessment and provide targets against which performance may be compared. Fourteen percent of the proposals met a high threshold of providing baseline information for all the specified indicators. Sixty-three percent met a lower threshold of providing baseline information for most of the specified indicators. For the remaining 23 percent of indicators, it was reported that baseline information will be gathered once project implementation starts.

The extent to which proposals provide baseline information needs to be assessed along with the quality of indicators for a more comprehensive account of the quality of baseline information. Fifty-two percent of proposals met a low threshold on baseline information along with meeting the low thresholds for indicator quality dimensions such as coverage of expected impacts, congruence with the project's theory of change, and scientific

validity. When a high threshold is applied, the percentage of proposals that met all of these thresholds dropped to 6 percent.

#### QUALITY OF PLANNING FOR DATA COLLECTION ON IMPACT INDICATORS

For 81 percent (38) of proposals, the planned frequency for data collection was assessed to be appropriate for either all or most of the specified indicators. For 87 percent (41) of the proposals, institutional arrangements and responsibilities for collecting data on impact indicators had been specified. The capacities of the individuals and/or institutions that are charged with the responsibility of gathering information on impact indicators were assessed to be sufficient for 74 percent (35) of the proposals. For 48 percent (21), the amount budgeted for impact measurement-related work was assessed to be sufficient. For an additional 37 percent (20), it was ascertained that—although

sufficient information was not available to assess whether the budget for impact measurement was adequate—the budgeted amount for M&E was sufficient.

In all, 62 percent of proposals were assessed to have met the low thresholds for acceptable performance on data collection, institutional arrangements and responsibilities, capacities of the institutions responsible for collecting data on impact, and sufficiency of budget.



## 8. Management Action Record

The GEF management action records track the level of adoption of GEF Council decisions that are based on findings and recommendations of evaluations presented by the GEF Evaluation Office. The MARs 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. A complete version of the MAR 2011 is available at the GEF Evaluation Office website.<sup>1</sup>

### 8.1 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

<sup>1</sup> <http://www.thegef.org/gef/sites/thegef.org/files/documents/MAR%202011.pdf>.

- **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
- **No longer relevant**—a decision has been superseded by a subsequent programmatic or strategy change or policy report

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

- APR 2006 (GEF/ME/C.31/1, May 2007)
- Joint Evaluation of the Small Grants Programme—Executive Version (GEF/ME/C.32/2, October 2007)
- Annual Country Portfolio Evaluation Report 2009 (GEF/ME/C.35/1, June 2009)
- GEF Annual Report on Impact 2009 (GEF/ME/C.36/2, November 2009)
- Annual Country Portfolio Evaluation Report 2010 (GEF/ME/C.38/2, June 2010)
- APR 2009 (GEF/ME/C.38/4, June 2010)

- Review of the Earth Fund (GEF/ME/C.39/2 and GEF/ME/C.39/1, October 2010)
- Evaluation of the Strategic Priority for Adaptation (GEF/ME/C.39/4, October 2010)

One additional document is a new evaluation presented to the Council in 2011:

- Annual Thematic Evaluations Report 2011 (GEF/ME/C.41/2, October 2011)

## 8.2 Findings

This year, the MAR tracks management actions on 12 Council decisions (table 8.1). The GEF Evaluation Office was able to verify 10 decisions. Two have been graduated for having achieved a high adoption rating, and thus will not be tracked in the next MAR.

### DECISIONS RATED WITH HIGH OR SUBSTANTIAL LEVEL OF ADOPTION

Of the 12 Council decisions tracked, the Evaluation Office rated management adoption of 58 percent as either high (2 decisions) or substantial (5 decisions). For the MAR prepared for APR 2010, the level of adoption was so rated for 34 percent

of decisions. This year's higher percentage level does not necessarily indicate that management has become more responsive in adopting Council decisions. Rather, the increase is due to the fact that there were fewer decisions to be tracked this year than last and that the Secretariat is moving through GEF-4 decisions from the Council. For the level of adoption of the five remaining decisions, two were rated as medium, one as negligible, and two as not possible to verify yet.

The GEF Evaluation Office has upgraded two decisions to high from the previous assessment—one from negligible and one from substantial—as the issues they addressed continued to improve during the past year.

- Based on the Annual Country Portfolio Evaluation Report 2010, the Council had requested the Secretariat to consider provision of specific M&E training to the national focal point mechanism through the Country Support Program. In its FY 2011 roll-out of the extended constituency workshops, the Secretariat has developed a training session on results-based management. Because the 2010 GEF M&E Policy sets a minimum requirement for GEF Agencies to systematically involve OFPs in M&E activities by sharing information with them in a timely

TABLE 8.1 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	No longer relevant	
High	2	1	0	0	0	0	3
Substantial	0	4	2	0	0	0	6
Medium	0	0	0	0	2	0	2
Negligible	0	0	0	1	0	0	1
Not possible to verify yet	0	0	0	0	0	0	0
No longer relevant	0	0	0	0	0	0	0
<b>Sum of Office ratings</b>	<b>2</b>	<b>5</b>	<b>2</b>	<b>1</b>	<b>2</b>	<b>0</b>	<b>12</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).

manner, the GEF Evaluation Office will review implementation of this policy during GEF-5, through OPS5 and cited examples. Continuous review is also taking place through the country portfolio evaluation work program.

- A Council decision stemming from the Review of the Earth Fund requested that the Secretariat prepare for the May 2011 Council meeting a revised strategy for enhancing engagement with the private sector that included a plan for implementation of the second phase of the Earth Fund. In upgrading this decision's level of adoption from substantial to high, the GEF Evaluation Office considered the fact that the aforementioned GEF strategy for engagement with the private sector was presented and approved at the November 2011 Council meeting.

Three decisions have been upgraded from medium to substantial progress, as the issues entailed showed continuous improvement during the past year.

- A Council decision stemming from the Annual Report on Impact 2009 requested that the Secretariat incorporate lessons, where possible and as appropriate, from the positive private sector engagement in the ozone layer depletion focal area into its efforts to engage the private sector in other focal areas. Rating of adoption of this decision was upgraded because the GEF strategy for engagement with the private sector was presented and approved at the November 2011 Council meeting. The Evaluation Office, in future reviews, will assess the extent to which positive private sector lessons have been applied to engagement of the private sector in other GEF focal areas.
- Adoption of two decisions related to the Evaluation of the Strategic Priority for Adaptation were upgraded. Regarding the first, the Council had requested the Secretariat develop and launch an adaptation tracking tool including indicators to measure progress in the implementation of

adaptation and resilience projects. In this regard, the recently adopted and launched Adaptation Monitoring and Assessment Tool (AMAT)—although only applied to climate change adaptation projects under the Least Developed Countries Fund/Special Climate Change Fund—can serve as a source of information and experience to further improve the mainstreaming of resilience and adaptation into the GEF focal areas.

Regarding the second decision, the Climate Risk Screening Tool devised by the GEF STAP in consultation with the Secretariat, the Evaluation Office, the GEF Agencies, and external experts can make a significant contribution to mainstreaming climate risk considerations into GEF projects across focal areas. Findings from the Strategic Priority for Adaptation evaluation informed the design process for the screening tool.

## DECISIONS WITH NO CHANGE IN RATING

Three Council decisions included in the previous MAR have ratings that have not improved. Two relate to APR 2006, with adoption ratings remaining at medium and substantial, respectively. One decision from the Joint Evaluation of the Small Grants Programme continues to have an adoption rating of substantial.

- The first APR 2006 decision refers to a Council request for special attention to ensure continued and improved supervision by the GEF Agencies during project implementation and that adequate funding be provided for this supervision from project fees. Last year's MAR rated progress in adoption of this decision as medium. During the past year, the November 2011 Council formed a working group to develop a fees proposal; this proposal was agreed to by the group members and was to be presented at the June 2012 Council. The proposal includes a sliding fee structure. Although it constitutes

a positive step away from the current one-size-fits-all approach, it is also unclear to what extent the implementation costs of MSPs were considered in the decision. The Evaluation Office will continue to assess the extent to which fees are sufficient and used for the intended purposes.

- The second decision refers to a Council request to all GEF Agencies to ensure that terminal evaluation reports include adequate information on sustainability of outcomes, quality of M&E systems, and reporting on cofinancing, in line with the minimum requirements for project evaluation in the 2010 GEF M&E Policy. Last year's MAR recorded adoption progress of this decision as substantial. During the past year, terminal evaluations reporting on outcomes, sustainability, and quality of M&E systems have improved significantly. A remaining area of concern, particularly with regard to UNDP, is the determination of cofinancing.
- The third decision whose adoption level remains unchanged concerns strengthening the country programming oversight of the Small Grants Programme. Audits of country programs continue, and information collected through these audits is shared with the management chain in the Secretariat. The establishment of an ombudsman for addressing complaints is a positive development and appears to be functioning appropriately. Challenges remain with respect to the monitoring systems that are used in the program, as what is required is currently too taxing and often inappropriate for small grants.

## COMPARISON OF EVALUATION OFFICE AND MANAGEMENT RATINGS

GEF management and the GEF Evaluation Office agree on the rating of the level of adoption of 7 out of 12 Council decisions, which represents 58 percent. This is a lower level of agreement than in APR 2010 (66 percent), but comparable to APR

2009 (56 percent). As in previous years, much of the disagreement stemmed from the Evaluation Office's being more prudent in rating the level of adoption for some Council decisions.

This year, GEF management ratings for level of adoption are higher than the Evaluation Office's for three out of five decisions on which ratings diverged. For the other two decisions, while management understands the level of progress to be medium, the GEF Evaluation Office considers progress not possible to verify yet because the decision has been issued too recently by the Council. No decision has been upgraded by the GEF Evaluation Office as a result of comparison with management ratings (table 8.1).

- GEF Evaluation Office and management ratings diverged for two decisions from APR 2006. The first decision refers to a Council request for special attention to ensure continued and improved supervision by the GEF Agencies during project implementation and that adequate funding be provided for this supervision from project fees. While management considers the level of adoption substantial, the GEF Evaluation Office, as noted [above](#), continued to track this decision as having made medium progress.

The second divergence in ratings refers to a Council request to all GEF Agencies to ensure that terminal evaluation reports include adequate information on sustainability of outcomes, quality of M&E systems, and reporting on cofinancing, in line with minimum requirements for project evaluation in the GEF M&E Policy. While management suggested graduation of this decision for high progress in adoption level, the GEF Evaluation Office considers its progress only substantial, because of continued concerns regarding the criterion used to define cofinancing, particularly with regard to UNDP.

- A decision stemming from APR 2009 requested concerted efforts between the Secretariat, the Evaluation Office, and the Agencies for improvement of the Project Management Information System. Management considers adoption of this decision to have shown substantial progress; the Evaluation Office considers progress medium. Specifically, while improvements in the system's quality have been realized, data in the project status field in particular remains weak. Data in this field are not accurate or checked in a regular and systematic manner. As a result, it is difficult to determine whether a project has been completed.
- Two Council decisions from the Annual Thematic Evaluations Report 2011 requested that the Secretariat incorporate experiences and lessons learned from the National Capacity Self-Assessment (NCSA) evaluation in the programming approach for GEF-6, and to make relevant knowledge products available—including toolkits on how to conduct NCSAs—to Agencies and at GEF workshops such as multi-stakeholder dialogues. Management considers progress in the level of adoption to be medium for both decisions, because planned meetings and publications add to the ongoing dissemination of knowledge in extended constituency workshops. However, the GEF Evaluation Office maintains that progress of adoption of either

decision is not possible to verify yet because programming for GEF-6 has not begun and there has been insufficient time to develop products.

With regard to another decision, GEF management and the GEF Evaluation Office came to agreement on progress of adoption. Pursuant to the Annual Country Portfolio Evaluation Report 2009, a Council decision requested that a survey be conducted in countries with exceptional situations concerning limited access to GEF partner international financial institutions. Management holds that countries such as Syria have limited access to such institutions because of their political situation and that therefore undertaking a survey would not be very useful at this point in time. The GEF Evaluation Office considers the relevant issue to be not so much the political situation of the country, but the extent to which countries have access to GEF resources, particularly through international financial institutions. The GEF Evaluation Office has considered the survey not yet initiated; therefore, the rating of progress on level of adoption is negligible.

## GRADUATED DECISIONS

Since its start, the MAR has followed the adoption of 100 GEF Council decisions based on the recommendations of 28 evaluations (table 8.2). In general, the GEF has been very responsive to Council

TABLE 8.2 Summary of Council Decisions Graduated from the MAR

MAR	Fully adopted			No longer relevant			Total
	High	Substantial	Medium	Negligible	Not possible to verify yet	N.A.	
2005	5	15	7	3	—	—	30
2006	5	1	—	—	—	—	6
2007	7	8	—	—	2	—	17
2008	5	—	—	—	—	—	5
2009	5	—	—	—	—	—	5
2010	9	3	4	3	—	2	21
2011	2	—	—	—	—	—	2
Total	38	27	11	6	2	2	86

decisions, which has led to an ongoing reform process. The GEF Evaluation Office graduates decisions either for which a high adoption rating has been achieved or that are considered no longer

relevant. A total of 86 (86 percent) Council decisions, including 2 that attained the high adoption rating this year, have been graduated since the first MAR was presented in APR 2005.

## 9. Performance Matrix

The performance matrix provides a summary of the performance of the GEF Agencies covering key areas such as results, processes affecting results, and M&E. Although several parameters included in the matrix are assessed by the Evaluation Office on an annual basis, to mitigate fluctuations in performance ratings due to differences in project mix, the values presented in the matrix are, depending on the parameter, running averages of two to four years. Of the 10 parameters included in the performance matrix this year, information is provided on nine (table 9.1).

### 9.1 Rating Approach

Reporting methodology varies among the 10 parameters:

- **Project outcomes, implementation completion delays, materialization of cofinancing, and quality of M&E during implementation** are reported on using four-year running averages (FY 2008–11), as systemic changes in performance on these parameters are expected to be gradual. The aggregate figures are weighted averages, with each project considered to have equal weight.
- **Quality of supervision and adaptive management** and **realism of risk assessment** (robustness of project-at-risk systems) are based on the findings of the follow-up assessments of project supervision, and of candor and realism, that were last presented in APR 2009. The projects considered for both assessments were under implementation during FY 2007 and 2008. Figures remain valid until another specific study is conducted after a three-year period; the next one is expected to take place for APR 2012.
- **Quality of project terminal evaluation reports** is reported on using two-year running averages (FY 2010–11), as meaningful changes can be attained in the short run.
- **Independence of terminal evaluations or independent review of terminal evaluations** is appraised through assessment of the process followed for conducting terminal evaluations through field verification and on interviews with relevant staff and consultants of the partner Agencies. This parameter was last presented in APR 2009, and is rated on a six-point scale from 1, highly unsatisfactory, to 6, 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

TABLE 9.1 Performance Matrix for GEF Agencies and the GEF Overall

Parameter	UNDP	UNEP	World Bank	Overall GEF Performance
<b>Results</b>				
1. Project outcomes: percentage of completed projects with outcomes rated moderately satisfactory or above	86	95	78	85
<b>Processes affecting results</b>				
2. Quality of supervision and adaptive management: percentage rated moderately satisfactory or above	92	73	86	85
<b>Reported cofinancing</b>				
3a. Reported materialization of cofinancing per dollar of approved GEF financing	5.6	1.5	2.5	3.7
3b. Reported materialization of cofinancing as percentage of promised cofinancing	202	155	95	149
<b>Efficiency</b>				
4. Project preparation elapsed time: average number of months required to prepare projects	—	—	—	—
5. Implementation completion elapsed time: average difference between expected and actual completion of projects in months	19	15	13	16
<b>Quality of M&amp;E</b>				
6. Independence of terminal evaluations or independent review of terminal evaluations for FSPs/MSPs	HS/HS	HS/HS	HS/n.a. <sup>a</sup>	S
7. 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	77	73	80	77
8. Quality assurance of project M&E arrangements at entry: percentage compliant with critical parameters	88	92	100	80
9. Quality of project M&E during implementation: percentage rated moderately satisfactory or above	73	63	56	66
10. Quality of project terminal evaluation: percentage rated moderately satisfactory or above	82	90	83	83

NOTE: — = not available; HS = highly satisfactory. See [annex C](#) for detailed information on the rating methodology for each of the parameters included in this table.

a. Not applicable, because the IEG does not conduct independent review for MSPs.

- 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 (e.g., 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

- **Quality of project M&E arrangements at entry** for projects endorsed by the CEO in FY 2011 is reported on based on reviews conducted after three-year intervals. The previous reviews of M&E arrangements at entry were conducted in FY 2005 and 2008.
- **Project preparation elapsed time** indicates the 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 for OPS5.

## 9.2 Findings

Of the projects for which terminal evaluations have been submitted since FY 2008, the Evaluation Office rated project outcome achievements (parameter 1) of 85 percent to be moderately satisfactory or above. The outcome achievements of 78 percent of World Bank projects, 86 percent of UNDP projects, and 95 percent of UNEP projects have been rated in the satisfactory range.

For **quality of supervision and adaptive management** (parameter 2), the Office rated the overall quality of supervision and adaptive management of 85 percent of projects to be moderately satisfactory or above. By Agency, 73 percent of UNEP projects, 86 percent of World Bank projects, and 92 percent of UNDP projects have been rated in the satisfactory range.

The reported materialization of **cofinancing** per dollar of approved GEF financing (parameter 3a) achieved a ratio of 3.7 for the overall performance of GEF Agencies, ranging from a ratio of 5.6 for UNDP to 1.5 for UNEP and 2.5 for the World Bank. For the percentage of promised cofinancing (parameter 3b), the overall performance of GEF Agencies reached 149 percent, with 202 percent for UNDP, 155 percent for UNEP, and 95 percent for the World Bank. The analysis is based on information on actual cofinancing provided by the Agencies in the terminal evaluation reports or through other communications. These figures have not been verified.

The **project preparation elapsed time** (parameter 4) figures, indicating the average number of months required to prepare projects, are not presented here. They will be updated for OPS5 with data provided by the Agencies and the GEF Secretariat database.

The Evaluation Office tracks **implementation completion elapsed time** (parameter 5) through the terminal evaluation review process by determining the average difference (or delay) in months between expected and actual project completion for the cohort. Since FY 2008, the overall average difference for the three major GEF Agencies is 16 months, with UNDP averaging a difference of 19 months, UNEP 15 months, and the World Bank 13 months.

Ratings of **independence of terminal evaluations or independent review of terminal evaluations** (parameter 6) are based on the extent to which systems in the partner Agencies are conducive to unbiased and candid terminal evaluations. The independence of the terminal evaluations submitted by UNDP and UNEP is rated highly satisfactory for both FSPs and MSPs. The independence of World Bank terminal evaluations is rated highly satisfactory for FSPs and is considered not applicable for MSPs, as the latter are not reviewed by the World Bank's IEG but instead by the GEF Evaluation Office according to an agreement with the IEG.

For **realism of risk assessment (robustness of project-at-risk systems)**, ratings are the same as those presented in APR 2009 (parameter 7). The projects considered for the 2009 assessment were under implementation and subject to supervision during FY 2007 and 2008. The Office rated the realism of risk assessment of 77 percent of projects as moderately satisfactory or above. By Agency, 80 percent of World Bank projects, 77 percent of UNDP projects, and 73 percent of UNEP projects were rated in the satisfactory range. These figures remain valid until the next specific study is conducted, which is expected to take place for APR 2012.

The review of **quality assurance of project M&E arrangements at entry** (parameter 8) is elaborated upon in section 9.1, and presents the results of a

study on projects endorsed by the CEO in FY 2011. Overall, 80 percent of the projects reviewed were compliant with critical parameters. This finding represents an increase over that reported in the review of quality of project M&E arrangements for projects endorsed by the CEO in FY 2008. The compliance rate on the same parameters in the 2008 review was 76 percent; it was 58 percent in a study of FY 2005 projects.

The ratings for **quality of project M&E arrangements during implementation** (parameter 9) are provided for terminal evaluations submitted since FY 2008. The figures are four-year averages based on information provided in the terminal evaluation reports. The Office rated M&E arrangements during implementation as moderately satisfactory or above for 66 percent of projects. UNDP's performance increased from 60 percent in FY 2008 to

73 percent in FY 2011, and UNEP's from 57 percent to 63 percent. The percentage of World Bank projects rated as having moderately satisfactory or above M&E arrangements during implementation decreased from 63 percent to 56 percent.

For **quality of project terminal evaluations** (parameter 10), the ratings are based on terminal evaluation reports submitted since FY 2010. The figures are two-year averages and are based on the terminal evaluation report review process. The quality of 90 percent of terminal evaluation reports submitted by UNEP was rated in the satisfactory range, as was 83 percent of World Bank terminal evaluation reports. UNDP report quality declined by 10 percentage points, with 82 percent of terminal evaluation reports receiving a rating in the satisfactory range in FY 2011 compared to 92 percent in FY 2010.

# Annex A. Terminal Evaluation Report Review Guidelines

The assessments in the terminal evaluation reviews are 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 takes 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, relevance of the project results, and the project's cost-effectiveness.<sup>1</sup>

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

The ratings on the outcomes of the project will be based on performance on the following criteria:<sup>2</sup>

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

An overall rating will be provided according to the achievement and shortcomings in the three criteria

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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.

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 the effectiveness and efficiency criteria calculated using the following formula:

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

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

## A.2 Criteria for Sustainability Ratings

Sustainability will be understood as the likelihood of continuation of project benefits after completion of project implementation (GEF 2000). To assess sustainability, the terminal evaluation reviewer will identify and assess the key risks that could undermine continuation of benefits at the time of the evaluation. Some of these risks might include the absence of or inadequate financial resources, an enabling legal framework, commitment from key stakeholders, 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 to sustainability of outcomes.
- **Moderately likely.** There are moderate risks to sustainability of outcomes.
- **Moderately unlikely.** There are significant risks to sustainability of outcomes.
- **Unlikely.** There are severe risks to sustainability of outcomes.
- **Unable to assess.** Unable to assess risks on this dimension.
- **Not applicable.** Risks on this dimension are 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 = N.A. 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 dimension with the lowest rating. 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.3 Criteria for Assessment of Quality of Project M&E Systems

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

- **M&E design.** 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), appropriate 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. The 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)?

- **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. The 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?
- **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 = UA. 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.4 Criteria for Assessment of Quality of Terminal Evaluation Reports**

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

- 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.
- The report was consistent, the evidence presented was complete and convincing, and ratings were well substantiated.
- The report presented a sound assessment of sustainability of outcomes.

- The lessons and recommendations are supported by the evidence presented and are relevant to the portfolio and future projects.
- The report included the actual project costs (totals, per activity, and per source) and actual cofinancing used.
- 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 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 = UA. 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 on this criterion.
- **Satisfactory.** There were minor shortcomings in the terminal evaluation on this criterion.
- **Moderately satisfactory.** There were moderate shortcomings in the terminal evaluation on this criterion.
- **Moderately unsatisfactory.** There were significant shortcomings in the terminal evaluation on this criterion.
- **Unsatisfactory.** There were major shortcomings in the terminal evaluation on this criterion.
- **Highly unsatisfactory.** There were severe shortcomings in the terminal evaluation 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.5 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?
- **Country ownership and sustainability.** Assess the extent to which country ownership has affected project outcomes and sustainability. Describe the ways in which it affected outcomes and sustainability highlighting the causal links.

# Annex B. Terminal Evaluations Reviewed in FY 2011

This annex lists the projects for which terminal evaluation reviews were received in FY 2011. Corresponding lists for previous reports are found in

APR 2004, annex D; APR 2005, annex F; APR 2006, annex B; APR 2007, annex B; APR 2008, annex B; APR 2009, annex B; and APR 2010, annex B.

GEF ID	Project name	Country	Focal area	Size	GEF Agency
1	BD Conservation in South High Atlas	Morocco	BD	FSP	UNDP
205	Argentina: Consolidation and implementation of the Patagonian Coastal Zone Management Programme and biodiversity conservation	Argentina	BD	FSP	UNDP
248	Rehabilitation of protected areas in the DRC	Congo, DR	BD	FSP	UNDP
457	Biological Diversity Conservation through Participatory Rehabilitation of the Degraded Lands of the Arid and Semi-Arid Transboundary Areas of Mauritania and Senegal	Regional	BD	FSP	UNDP/ UNEP
459	Coastal Contamination Prevention and Sustainable Fisheries Management	Argentina	IW	FSP	WB
488	Integrated Coastal Management Project	Georgia	BD	FSP	WB
623	China: Wetlands biodiversity conservation and sustainable use	China	BD	FSP	UNDP
636	Lebanon - Cross Sectoral Energy Efficiency and Removal of Barriers to Esco Operation	Lebanon	CC	FSP	UNDP
642	Conservation and Sustainable Use of Tropical Peat Swamp Forests and Associated Wetland Ecosystems	Malaysia	BD	FSP	UNDP
665	Protected Areas Management	Yemen	BD	MSP	WB
671	Ecomarkets	Costa Rica	BD	FSP	WB
763	Control of invasive species in the Galapagos Archipelago	Ecuador	BD	FSP	UNDP
767	Reversal of Land and Water Degradation Trends in the Lake Chad Basin Ecosystem	Regional	IW	FSP	WB/ UNDP
779	Mesoamerican Biological Corridor	Mexico	BD	FSP	WB
783	Kazakhstan Wind Power Market Development Initiative	Kazakhstan	CC	FSP	UNDP
790	Reducing Environmental Stress in the Yellow Sea Large Marine Ecosystem	Regional/ Korea	IW	FSP	UNDP
816	Restoration of Round Island	Mauritius	BD	MSP	WB
838	Kazakhstan Wetlands Project: Integrated Conservation of Priority Globally Significant Migratory Bird Wetland Habitat	Kazakhstan	BD	FSP	UNDP



GEF ID	Project name	Country	Focal area	Size	GEF Agency
839	Mexico: Integrated Ecosystem Management in Three Priority Ecoregions	Mexico	MF	FSP	UNDP
840	Caribbean Renewable Energy	Regional/ Guyana	CC	FSP	UNDP
842	Okavango River Basin	Regional	IW	FSP	UNDP
862	Improved Household Stoves in Mongolian Urban Centers	Mongolia	CC	MSP	WB
877	Consolidation of the Protected Areas Program (SINAP II)	Mexico	BD	FSP	WB
882	Croatia: Removing Barriers to Improving Energy Efficiency of the Residential and Service Sectors	Croatia	CC	FSP	UNDP
944	Energy Efficiency Project	Croatia	CC	FSP	WB
956	PRC/GEF Partnership on Land Degradation in Dryland Ecosystems: Project I-Capacity Building to Combat Land Degradation	China	MF	FSP	ADB
966	End Use Energy Efficiency Program (EUEEP)	China	CC	FSP	UNDP
1016	Development of National Implementation Plans for the Management of Persistent Organic Pollutants (POPs)	Global	POPs	FSP	UNEP
1030	Making the link: the connection and sustainable management of Kon Ka Kinh and Kon Cha Rang Nature Reserves PDS	Vietnam	BD	MSP	UNDP
1042	Conservation of Globally Significant Biodiversity in the Landscape of Bulgaria's Rhodope Mountains	Bulgaria	BD	FSP	UNDP
1055	CAPE Agulhas Biodiversity Initiative (ABI)	South Africa	BD	FSP	UNDP
1080	Integrated Water and Ecosystems Management Project	Albania	MF	FSP	WB
1094	Nile Basin Initiative Shared Vision Programme	Regional	IW	FSP	WB/ UNDP
1103	Philippines: Efficient Lighting Market Transformation Project (PELMATP)	Philippines	CC	FSP	UNDP
1106	Vietnam Energy Efficiency Public Lighting (VEEPL)	Vietnam	CC	FSP	UNDP
1114	Conservation and sustainable use of globally significant biodiversity in the Tassili and Ahaggar National Parks (Phase I)	Algeria	BD	FSP	UNDP
1132	National Off-Grid Electrification Programme based on Renewable Energy Sources	Costa Rica	CC	FSP	UNDP
1161	Conservation and Sustainable Use of Wild Salmonid Biological Diversity in Russia's Kamchatka Peninsula, Phase I	Russia	BD	FSP	UNDP
1162	Removing Barriers to Coal Mine Methane Recovery and Utilization	Russia	CC	FSP	UNDP
1170	Conservation and Management of the Eastern Arc Mountain Forests	Tanzania	BD	FSP	WB/ UNDP
1183	Tonle Sap Conservation project	Cambodia	BD	FSP	UNDP/ ADB
1184	Conservation of Medicinal and Herbal Plants Project	Jordan	BD	FSP	WB
1200	Conservation of Inland Wetland Biodiversity	Lithuania	BD	FSP	UNDP
1226	Programme for Phasing Out Ozone Depleting Substances	Armenia	OD	FSP	UNEP/ UNDP
1236	Chilean Coast Marine Protected Areas	Chile	BD	FSP	UNDP
1244	Dryland Management Project	Kazakhstan	MF	FSP	WB
1247	Addressing Land-based Activities in the Western Indian Ocean (WIO-LaB)	Regional	IW	FSP	UNEP
1264	Philippines: Capacity Building to Remove Barriers to Renewable Energy Development (CBRED)	Philippines	CC	FSP	UNDP
1291	Renewable Energy Resources Projects	Croatia	CC	FSP	WB

GEF ID	Project name	Country	Focal area	Size	GEF Agency
1329	Land Degradation Assessment in Drylands (LADA)	Global	LD	FSP	UNEP
1336	Promoting Energy Conservation in Small and Medium-sized Enterprises (PECSME)	Vietnam	CC	FSP	UNDP
1349	Sustainable Transport and Air Quality for Santiago Project	Chile	CC	FSP	WB
1355	Agricultural Pollution Control Project - under WB-GEF Strategic Partnership for Nutrient Reduction in the Danube River and Black Sea	Moldova	IW	FSP	WB
1377	Santiago Foothills: Mountain Ecosystem Conservation	Chile	BD	MSP	WB
1408	Biodiversity Conservation and Community Natural Resource Management in the Nanay River Basin (Peruvian Amazon)	Peru	BD	MSP	WB
1458	Recovery, Conservation, and Sustainable Use of Georgia's Agrobiodiversity	Georgia	BD	MSP	UNDP
1489	Biodiversity Conservation and Sustainable Use in the Mbaracayu Natural Reserve	Paraguay	BD	MSP	WB
1535	Rural Environment Project	Azerbaijan	BD	FSP	WB
1600	Biodiversity Conservation in the Lower Dniester Delta Ecosystem	Moldova	BD	MSP	WB
1628	Capacity Building for Implementation of the Cartagena Protocol	India	BD	MSP	WB
1681	Conservation, Restoration and Wise Use of Calcareous Fens in the Slovak Republic	Slovak Republic	BD	MSP	UNDP
1682	Facilitating and strengthening local resource management initiatives of traditional landholders & their communities to achieve biodiversity conservation objectives	Vanuatu	BD	MSP	UNDP
1733	Consolidating a system of Municipal Regional Parks (MRPs) in Guatemala's Western Plateau	Guatemala	BD	MSP	UNDP
1735	Conservation of Dry Forest and Coastal Biodiversity of the Pacific South of Nicaragua: Building Private-Public Partnerships	Nicaragua	BD	MSP	UNDP
1836	Integrated Ecosystem and Wildlife Management Project in Bolikhamxay Province	Lao PDR	BD	MSP	WB
1838	Energy and Environment Upgrading of the Industrial Park of Sidi Bernoussi Zenata, Casablanca	Morocco	CC	MSP	WB
1842	Indigenous Peoples' Network for Change	Global	BD	MSP	UNEP
1893	Strengthening Global Capacity to Sustain Transboundary Waters: The International Waters Learning Exchange and Resource Network (IW:LEARN)	Global	IW	FSP	UNEP /WB/ UNDP
1943	Integrating Watershed and Biodiversity Management in Chu Yang Sin National Park	Vietnam	BD	MSP	WB
2057	Renaturalization and Sustainable Management of Peatlands in Belarus to Combat Land Degradation	Belarus	MF	MSP	UNDP
2078	Consolidation of the Protected Area System (SINAP II) - Second Tranche	Mexico	BD	FSP	WB
2117	Energy Efficiency Project	Bulgaria	CC	FSP	WB
2131	Oceanic Fisheries Management: Implementation of the Strategic Action Programme of the Pacific Small Island Developing States (Pacific SAP II)	Regional	IW	FSP	UNDP
2188	East Asian Seas Region: Development and Implementation of Public Private Partnerships in Environmental Investments	Regional	IW	MSP	UNDP

GEF ID	Project name	Country	Focal area	Size	GEF Agency
2235	Demonstrating Sustainable Conservation of biological diversity in Four Protected Areas of Russian Kamchatka Oblast - Phase II	Russia	BD	FSP	UNDP
2244	Building Local Capacity for Promoting Energy Efficiency in Private and Public Buildings	Bulgaria	CC	MSP	UNDP
2249	Removing Barriers to Greenhouse Gas Emissions Mitigation through Energy Efficiency in the District Heating System, Phase 2	Ukraine	CC	FSP	UNDP
2256	Barrier Removal to Namibian Renewable Energy Programme (NAMREP) Phase II	Namibia	CC	FSP	UNDP
2328	Action Plan Training/Skills Building for 25 Least Developed Countries to assist with National Implementation Plan Development under the Stockholm Convention	Global	POPs	MSP	UNDP
2402	Sustainable Land Management for Mitigating Land Degradation, Enhancing Agricultural Biodiversity and Reducing Poverty (SLaM) in Ghana	Ghana	LD	MSP	UNDP
2405	Transboundary Diagnostic Analysis and Strategic Action Program Development for the Lake Victoria Basin	Regional	IW	MSP	WB
2433	Integrated Microhydro Development and Application Program (IMIDAP), Part I	Indonesia	CC	FSP	UNDP
2491	Building Local Capacity for Conservation and Sustainable Use of Biodiversity in the Okavango Delta	Botswana	BD	FSP	UNDP
2495	Support Programme for National Capacity Self-Assessments (NCSAs)	Global	MF	FSP	UNDP/ UNEP
2557	Adaptation Learning Mechanism [ALM]: Learning by Doing	Global	CC	MSP	UNDP
2584	Nile Basin Initiative, Transboundary Environmental Action project	Sudan/ Regional	IW	FSP	UNDP
2617	Establishment of a Basin Management Framework for the Integrated Management for the Tisza Transboundary River Basin	Regional	IW	MSP	UNDP
2638	Conservation and sustainable use of globally significant biological diversity in Khazar Nature Reserve on the Caspian Sea Coast	Turkmenistan	BD	FSP	UNDP
2739	Building Sustainable Capacity and Ownership to Implement UNCCD Objectives in Latvia	Latvia	LD	MSP	UNDP
2799	Integrating Global Environmental Issues into Bulgaria's Regional Development Process	Bulgaria	MF	MSP	UNDP
2815	Action Plan Skills Building for 15 Least Developed Countries to assist with National Implementation Plan of Development under the Stockholm Convention	Global	POPs	MSP	UNDP
2817	Tabuleiro State Park: Conservation of Biodiversity and Ecosystem Rehabilitation	Brazil	BD	MSP	WB
2862	Capacity Building and on-the-ground Investments for Sustainable Land Management in Turkmenistan	Turkmenistan	LD	MSP	UNDP
2870	Market Transformation for Efficient Biomass Stoves for Institutions and Small and Medium-Scale Enterprises	Kenya	CC	MSP	UNDP
3262	Building Capacity and Mainstreaming Sustainable Land Management in Bhutan	Bhutan	LD	MSP	UNDP
3292	Strengthening the Ecological, Institutional and Financial sustainability of Macedonia's Protected Area system	Macedonia	BD	MSP	UNDP
3342	Development of Methodologies for GEF Transboundary Waters Assessment	Global	IW	MSP	UNEP
3361	Assessment and Recommendations on Improving Access of Indigenous Peoples to Conservation Funding	Global	BD	MSP	WB

<b>GEF ID</b>	<b>Project name</b>	<b>Country</b>	<b>Focal area</b>	<b>Size</b>	<b>GEF Agency</b>
3427	Building Capacity and Mainstreaming Sustainable Land Management in Cambodia	Cambodia	LD	MSP	UNDP
3660	Global capacity building and demonstration program for pastoral sustainable land management	Global	LD	MSP	UNDP
3708	Rapid Assessment of Chemical Contamination of the Wenchuan Earthquake in Sichuan Province	China	POPs	MSP	WB
4215	Low Carbon Campaign for Commonwealth Games 2010	India	CC	MSP	UNDP

NOTE: BD = biodiversity; CC = climate change; IW = international waters; MF = multifocal; OD = ozone depletion; POPs = persistent organic pollutants; WB = World Bank.

# Annex C. Methodological Notes on the Performance Matrix

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

## C.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 FY 2007–10. The aggregate figures are weighted averages, with each project considered to have equal weight.

## C.2 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 FY 2007–10.

## C.3 Materialization of Cofinancing

The figures presented are averages based on the projects for which terminal evaluation reports were submitted during FY 2007–10. This is the

aggregate ratio of actual cofinancing to GEF grants for all projects in this time period. The analysis is based on information provided by the Agencies in the terminal evaluation reports or through other communications. The reported cofinancing amounts have not been verified.

## C.4 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.

## C.5 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 are 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 FY 2007–10.

## C.6 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 FY 2009 and 2010.

# Annex D. Instrument for Assessment of M&E Quality at Entry

Parameter	Score and response
1. Is there at least one specific indicator in the logframe for each of the project objectives and outcomes?	(3) Yes (1) No
2. Are the indicators in the logframe relevant to the chosen objectives and outcomes?	(3) Yes (2) Only some are relevant (1) No
3. Are the indicators in the logframe sufficient to assess achievement of the objectives and outcomes?	(3) Sufficient (2) Largely sufficient (1) Some important indicators are missing
4. Are the indicators for project objectives and outcomes quantifiable?	(3) Yes (2) Only some (1) No, or else it has not been shown how the indicators could be quantified
5. Has the complete and relevant baseline information been provided?	(3) Yes, complete baseline information (2.5) Partial information; survey in Year 1 (2) No baseline information; survey in Year 1 (1.5) Partial information; no survey in Year 1 (1) No information provided
6. Has the methodology for determining the baseline been explained?	(3) Yes (1) No
7. Has a separate budget been allocated to M&E activities?	(3) Yes (1) No
8. Have the responsibilities been clearly specified for the M&E activities?	(3) Yes, and clearly specified (2) Yes, broadly specified (1) No
9. Have the time frames been specified for the M&E activities?	(3) Yes, for all activities (2) Yes, but only for major activities (1) No
10. Have the performance standards (targets) been specified in the logframe for the project outputs?	(3) Yes, for all outputs (2) Yes, but only for major outputs (1) No

Parameter	Score and response
11. Have the targets been specified for the indicators for project objectives and outcomes in the logframe?	(3) Yes, for most (2) Yes, but only for some (1) No
12. Are the specified targets for indicators of project objectives and outcomes based on initial conditions?	(3) Yes (2) Yes, but only for some (1) No
13. Do the project documents mention having made a provision for midterm review and terminal evaluation?	(3) Yes, both midterm review and terminal evaluation (2.5) Only the terminal evaluation identified (1.5) Only the midterm review identified (1) No information provided

NOTE: Shaded parameters are considered critical for compliance with 2006 M&E requirements.

- 1. Is there at least one specific indicator in the results framework for each of the project objectives and outcomes?** There should be at least one specific indicator for each objective and outcome listed in a given project results framework. The absence of a specific indicator for any of a project's stated objectives or outcomes implies difficulty in ascertaining whether that objective or outcome has been achieved. For compliance on this parameter, each of the objectives or outcomes listed in the results framework should have a corresponding indicator. This parameter is not critical, since deficiencies in it will make it difficult to track overall impact.
- 2. Are all indicators in the logframe relevant to the chosen objectives and outcomes?** For compliance, all or almost all of the indicators listed in the results framework are expected to be relevant to the corresponding objectives and outcomes. In instances where an indicator is not relevant, additional costs may be incurred in collecting information that is not essential. The presence of irrelevant indicators also indicates a lack of clarity with regard to how various project components will help achieve the project's overall objectives. This is a critical parameter.
- 3. Are the indicators in the results framework sufficient to assess achievement of the objectives and outcomes?** This parameter assesses whether the number and type of indicators presented in the results framework are sufficient to measure progress toward the project's objectives and outcomes. Too few—and, equally, too many—indicators of a qualitative nature can affect the ability to collect enough accurate and useful data. This is a critical parameter.
- 4. Are the indicators for project objectives and outcomes quantifiable?** Specifying the indicators in a quantifiable format facilitates the establishment of objective targets. For compliance on this parameter, all or at least some of the indicators should be presented in a quantifiable form.
- 5. Has complete and relevant baseline information been provided?** Progress can only be determined when a clear understanding of the starting point has been achieved. Baseline information thus forms a basis for determining progress. The M&E Policy requires projects to provide a clear baseline definition, including specifications on who is paying for the cost of the baseline at CEO endorsement/approval. For compliance on this parameter, a project should provide partial baseline information and promise to provide full baseline information within its first year of implementation. This is a critical parameter.



6. **Has the methodology for determining the baseline been explained?** Explaining how a baseline will be or has been determined helps in ascertaining the methodology's feasibility. The assessment instrument notes those cases in which a description of the baseline collection methodology was provided.
7. **Has a separate budget been allocated to M&E activities?** Allocation of sufficient budget to M&E activities is essential to ensure that M&E activities are not stalled for want of funds. How much budget will be sufficient for carrying out M&E activities satisfactorily is, however, dependent on factors such as size of the project; focal area; and institutional, local, and technological context. Due to these differences, a great degree of variation may be expected across projects. While it is difficult to determine whether the budget allocated to M&E is sufficient, where no budget has been allocated, it can be safely inferred that the financial support to M&E must be insufficient. For compliance on this parameter, a project should make explicit provision for M&E activities in the budget. This is a critical parameter.
8. **Have the responsibilities been clearly specified for the M&E activities?** Lack of information on M&E responsibilities often leads to delays in the start-up and implementation of the project's M&E system. Specific responsibilities for at least some M&E activities should be present for compliance on this parameter.
9. **Have time frames been specified for the M&E activities?** It is important to identify early in the project at what point in the project's life cycle key M&E activities, such as midterm reviews and terminal evaluations, are supposed to take place. The specific time frames for at least some of the M&E activities need to be present for compliance. On this parameter, 98 percent of projects provided information on timing, usually indicating regular project supervision and mid-/end project evaluations.
10. **Have the performance standards (targets) been specified in the results framework for the project outputs?** Specification of targets for project outputs facilitates monitoring of resource allocation and progress of activities during project implementation. For compliance on this parameter, a project should provide targets for at least some of the outputs.
11. **Have targets been specified for the indicators for project objectives and outcomes in the results framework?** To be tracked in a cost-effective way that reflects the expectations of the project, indicators should have targets associated with the project objectives, outcomes, and outputs. For compliance on this parameter, the targets for at least some of the indicators should be specified. This is a critical parameter.
12. **Are the specified targets for indicators based on initial conditions?** In order to be realistic, the specified targets should be based on some assessment of the initial conditions (i.e., baseline) and on the level of change that could reasonably be expected by the end of the project. To this end, it is important to ensure that the level of targeted change specified for a given indicator is realistic and that the stated targets were based on some assessment of initial conditions. For compliance on this parameter, the specified targets for at least some indicators should be based on an assessment of the initial conditions. This is a critical parameter.
13. **Have the reviews and evaluations (including midterm reviews and terminal evaluations) to be undertaken been identified?** The GEF 2010 M&E Policy states that identification of reviews and evaluation are to be identified in the M&E design. All the GEF Agencies have adopted the requirement of terminal evaluations for GEF projects, and most of them also provide for midterm reviews; whether these are mentioned in the project documents is more an indication of how well evaluation and review

activities have been integrated into the M&E plans than of if these activities will actually be conducted (it is assumed that they will). For

compliance on this critical parameter, a project should indicate that it plans to conduct the terminal evaluation and midterm review.

# Annex E. Instrument for Assessment of Quality at Entry for New Parameters

Parameter	Response and raw score
Are the indicators linked appropriately to the focal area results frameworks?	Yes ..... 3
	Somewhat ..... 2
	No ..... 1
	Not applicable/unable to assess
Has the M&E plan included a specification of how the project or program will keep the relevant GEF operational focal point informed and involved?	Yes ..... 3
	Somewhat ..... 2
	No ..... 1
	Not applicable/unable to assess
Does the project or program include a gender mainstreaming strategy or plan (if and when appropriate)?	Yes ..... 3
	Somewhat ..... 2
	No ..... 1
	Not applicable/unable to assess
Do the M&E plans include gender-disaggregated indicators (if and when appropriate)?	Yes ..... 3
	Somewhat ..... 2
	No ..... 1
	Not applicable/unable to assess
Do the M&E plans include monitoring of environmental or social safeguards (if safeguard is triggered)?	Yes ..... 3
	Somewhat ..... 2
	No ..... 1
	Not applicable/unable to assess
Do the project design documents address climate risks (adaptation and resilience)?	Yes ..... 3
	Somewhat ..... 2
	No ..... 1
	Not applicable/unable to assess

# Annex F. Full-Size Projects Endorsed by the CEO in FY 2011

A sample of 80 projects was reviewed for quality of M&E arrangements at entry (shaded). All 137

projects were included in the new parameters assessment.

GEF ID	Project name	GEF Agency	Country	Focal area	CEO-approved grant
2416	Mainstreaming Biodiversity in Agricultural and Land Management Policies, Plans and Programmes	UNDP	Lao PDR	BD	2,265,000
2472	Strengthening Capacity to Control the Introduction and Spread of Alien Invasive Species	UNDP	Sri Lanka	BD	1,825,000
2706	Implementing Integrated Water Resource and Wastewater Management in Atlantic and Indian Ocean SIDS	UNEP/ UNDP	Regional	IW	9,700,000
2732	MENARID Institutional Strengthening and Coherence for Integrated Natural Resources Management	UNDP	Iran	MF	4,320,000
2770	Demonstration of a Regional Approach to Environmentally Sound Management of PCB Liquid Wastes and Transformers and Capacitors Containing PCBs	UNEP	Regional	POPs	4,889,399
2860	Regional Framework for Sustainable Use of the Rio Bravo	UNEP	Mexico	IW	4,000,000
2967	BS Regional Project for Implementing National Biosafety Frameworks in the Caribbean Sub-region - under the GEF Biosafety Program	UNEP	Regional	BD	5,972,493
2995	Demonstrating and Promoting Best Techniques and Practices for Managing Healthcare Waste and PCBs	WB	Tunisia	POPs	5,500,000
3218	Integrating Climate Change into the Management of Priority Health Risks	UNDP	Ghana	CC	1,718,182
3266	Management of Chimborazo's Natural Resources	FAO	Ecuador	BD	3,870,000
3269	Environmentally Sound Management and Disposal of PCBs in Argentina	UNDP	Argentina	POPs	3,400,000
3279	Citarum Watershed Management and Biodiversity Conservation Project	ADB	Indonesia	BD	3,750,000
3302	Climate Adaptation for Rural Livelihoods and Agriculture (CARLA)	AfDB	Malawi	CC	3,000,000
3370	SIP- Mainstreaming Sustainable Land Management in Agropastoral Production Systems of Kenya	UNDP	Kenya	LD	3,030,734
3396	SIP - Improving Policy and Practice Interaction through Civil Society Capacity Building	UNDP	Regional	LD	1,740,000

GEF ID	Project name	GEF Agency	Country	Focal area	CEO-approved grant
3403	SIP-Kalahari-Namib Project: Enhancing Decision-making through Interactive Environmental Learning and Action in Molopo-Nossob River Basin in Botswana, Namibia and South Africa	UNEP	Regional	LD	2,175,000
3448	Revitalization of Mongolia's Protected Areas through Effective Forest Management of Bogd Khan Uul	WB	Mongolia	BD	1,727,182
3450	SFM Rehabilitation of Forest Landscapes and Degraded Land with Particular Attention to Saline Soils and Areas Prone to Wind Erosion	FAO	Iran	MF	2,668,300
3461	Promoting Sustainable Transport Solutions for East Africa	UNEP	Regional	CC	2,850,000
3483	PRC-GEF Partnership: Forestry and Ecological Restoration in Three Northwest Provinces (formerly Silk Road Ecosystem Restoration Project)	ADB	China	MF	5,119,546
3539	Pakistan Sustainable Transport Project	UNDP	Pakistan	CC	4,800,000
3541	TT-Pilot (GEF 4): Phase Out HCFCs and Promotion of HFC-free Energy Efficient Refrigeration and Air-Conditioning Systems in the Russian Federation Through Technology Transfer	UNIDO	Global (Russian Federation)	MF	18,000,000
3553	Promoting Energy Efficiency and Renewable Energy in Selected Micro SME Clusters in India - under the Programmatic Framework for Energy Efficiency	UNIDO	India	CC	7,172,797
3554	IND Improving Energy Efficiency in the Indian Railway System - under the Programmatic Framework for Energy Efficiency	UNDP	India	CC	5,200,000
3555	IND Energy Efficiency Improvements in Commercial Buildings - under the Programmatic Framework for Energy Efficiency	UNDP	India	CC	5,200,000
3589	CTI Coastal and Marine Resources Management in the Coral Triangle: Southeast Asia under Coral Triangle Initiative	ADB	Regional	MF	11,218,182
3591	PAS Strengthening Coastal and Marine Resources Management in the Coral Triangle of the Pacific - under the Pacific Alliance for Sustainability Program	ADB	Regional	MF	13,118,183
3593	RUS Market Transformation Programme on Energy Efficiency in GHG-Intensive Industries in Russia	EBRD/ UNIDO	Russian Federation	CC	15,385,000
3595	CF: Promoting Energy Efficiency in the Industries through System Optimization and Energy Management Standards	UNIDO	Indonesia	CC	2,180,380
3596	RUS Improving Efficiency in Public Buildings in the Russian Federation - under the Energy Efficiency Umbrella Program	EBRD	Russian Federation	CC	9,209,075
3597	RUS Improving Urban Housing Efficiency in the Russian Federation	EBRD/ WB	Russian Federation	CC	9,670,000
3601	CF: Industrial Energy Efficiency	UNIDO	Philippines	CC	3,166,065
3611	PRC-GEF Partnership: Mainstreaming Biodiversity Protection within the Production Landscapes and Protected Areas of the Lake Aibi Basin	WB	China	MF	2,976,000
3614	DSSA Demonstrating and Scaling Up Sustainable Alternatives to DDT for the Control of Vector-borne Diseases in Southern Caucasus and Central Asia	UNEP	Regional	POPs	2,050,000

GEF ID	Project name	GEF Agency	Country	Focal area	CEO-approved grant
3618	Sustainable Management of Nyika Transfrontier Conservation Area	WB	Regional	BD	4,817,000
3641	PAS: Promoting Energy Efficiency in the Pacific	ADB	Regional	CC	5,254,545
3651	Development and Institution of A National Monitoring and Control System (Framework) for Living Modified Organisms (LMOs) and Invasive Alien Species (IAS)	UNEP	Cameroon	BD	2,400,000
3659	RUS: Building Energy Efficiency in the North West of Russia	UNDP	Russian Federation	CC	5,840,000
3664	PAS Prevention, Control and Management of Invasive Alien Species in the Pacific Islands	UNEP	Regional	BD	3,031,818
3687	Madagascar's Network of Managed Resource Protected Areas	UNDP	Madagascar	BD	5,999,611
3695	Mongolia Livestock Sector Adaptation Project	IFAD	Mongolia	CC	1,500,000
3703	Increased Resilience and Adaptation to Adverse Impacts of Climate Change in Guinea's Vulnerable Coastal Zones	UNDP	Guinea	CC	2,970,000
3716	Integrating Adaptation to Climate Change into Agricultural Production and Food Security in Sierra Leone	IFAD	Sierra Leone	CC	2,644,800
3717	SFM Sustainable Management of Biodiversity and Water Resources in the Ibarra-San Lorenzo Corridor	IFAD	Ecuador	MF	2,700,000
3724	Transforming the Market for Efficient Lighting	UNDP	Ukraine	CC	6,500,000
3726	Groundwater Governance: A Global Framework for Country Action	FAO	Global	IW	1,750,000
3733	Strengthening Adaptive Capacities to Address Climate Change Threats on Sustainable Development Strategies for Coastal Communities in Haiti	UNDP	Haiti	CC	3,500,000
3736	Mainstreaming Agro-biodiversity Conservation into the Farming Systems of Ethiopia	UNDP	Ethiopia	BD	3,863,600
3737	Namibia Protected Landscape Conservation Areas Initiative (NAM PLACE)	UNDP	Namibia	BD	4,500,000
3743	Provincial Energy Efficiency Scale-Up Program	WB	China	CC	13,386,363
3747	Improving Energy Efficiency in Industry	UNDP/ UNIDO	Turkey	CC	5,900,000
3748	Protected Area Network Management and Building Capacity in Post-conflict Southern Sudan	UNDP	Sudan	BD	3,820,000
3753	Sustainable Financing of the Protected Area System in Mozambique	UNDP	Mozambique	BD	4,850,000
3755	Phasing out Incandescent Lamps through Lighting Market Transformation in Vietnam	UNEP	Vietnam	CC	2,940,000
3758	Energy Efficient Design and Construction in Residential Sector	UNDP	Kazakhstan	CC	4,568,500
3760	SPWA-BD Integrating the Sustainable Management of Faunal Corridors into Niger's Protected Area System	UNDP	Niger	BD	1,768,182
3763	SPWA-BD Expansion and Strengthening of Mali's PA System	UNDP	Mali	BD	1,768,000
3766	Testing a Prototype Caribbean Regional Fund for Wastewater Management (CReW)	IDB/ UNEP	Regional	IW	20,000,000

GEF ID	Project name	GEF Agency	Country	Focal area	CEO-approved grant
3767	SFM Strengthening National Policy and Knowledge Frameworks in Support of Sustainable Management of Brazil's Forest Resources	FAO	Brazil	MF	8,850,000
3773	Support to the Madagascar Foundation for Protected Areas and Biodiversity (through Additional Financing to the Third Environment Support Program Project (EP3)	WB	Madagascar	BD	10,000,000
3777	CBSP Sustainable Management of the Wildlife and Bushmeat Sector in Central Africa	FAO	Regional	BD	4,245,211
3779	CBSP Enhancing Institutional Capacities on REDD issues for Sustainable Forest Management in the Congo Basin	WB	Regional	MF	13,000,000
3781	Evolution of PA systems with regard to climate change in the West Africa Region	UNEP	Regional	BD	3,536,363
3786	CF: Industrial Energy Efficiency	UNIDO	Thailand	CC	3,620,000
3788	LGGE Promoting Energy Efficiency in Buildings in Eastern Africa	UNEP	Regional	CC	2,853,000
3791	Energy Efficiency Standards and Labels in Peru	UNDP	Peru	CC	2,000,000
3794	SPWA-CC Promoting Energy Efficiency in Residential and Public Sector in Nigeria	UNDP	Nigeria	CC	2,677,273
3801	Strengthening the Implementation of the Biological Diversity Act and Rules with Focus on its Access and Benefit Sharing Provisions	UNEP	India	BD	3,561,000
3806	Strengthening National Management Capacities and Reducing Releases of POPs in Honduras	UNDP	Honduras	POPs	2,650,000
3813	Integrating Trade-offs between Supply of Ecosystem Services and Land Use Options into Poverty Alleviation Efforts and Development Planning	UNEP	Mexico	BD	5,900,000
3816	Mainstreaming the Conservation of Ecosystem Services and Biodiversity at the Micro-watershed Scale in Chiapas	UNEP	Mexico	BD	1,484,044
3819	PAS Forestry and Protected Area Management	FAO	Regional	BD	6,283,750
3820	Strengthening of the Protected Area Networking System in Mongolia (SPAN)	UNDP	Mongolia	BD	1,363,630
3825	Mountains and Markets: Biodiversity and Business in Northern Pakistan	UNDP	Pakistan	BD	1,793,182
3826	Designing and Implementing a National Sub-System of Marine Protected Areas (SMPA)	UNDP	Colombia	BD	4,850,000
3828	LGGE Energy Efficiency Code in Buildings	UNDP	Syria	CC	3,460,000
3831	Conservation and Sustainable use of Biodiversity and Land in Andean Vertical Ecosystems	IDB	Bolivia	MF	6,000,000
3832	Improving the Energy Efficiency of Lighting and Building Appliances	UNDP	Egypt	CC	4,450,000
3841	Improvement of Early Warning System to Reduce Impacts of Climate Change and Capacity Building to Integrate Climate Change into Development Plans	UNEP	Lesotho	CC	1,735,000
3848	Integrated Management of the Ilha Grande Bay Ecosystem	FAO	Brazil	BD	2,300,000
3856	BS:UNEP-GEF Project for Continued Enhancement of Building Capacity for Effective Participation in the BCH II	UNEP	Global	BD	2,500,000
3857	Adapting Water Resource Management in Comoros to Increase Capacity to Cope with Climate Change	UNDP/UNEP	Comoros	CC	3,740,000

GEF ID	Project name	GEF Agency	Country	Focal area	CEO-approved grant
3860	Save Our Species	WB	Global	BD	4,900,000
3865	Strengthening the Marine and Coastal Protected Areas System	UNDP	Venezuela	BD	7,445,455
3881	SPWA-CC Promoting of Appliance Energy Efficiency and Transformation of the Refrigerating Appliances Market in Ghana. (under West Africa Energy Program:3789)	UNDP	Ghana	CC	1,722,727
3886	Colombian National Protected Areas Conservation Trust Fund—Additional Financing for the Sustainability of the Macizo Regional Protected Area System (SIRAPM)	WB	Colombia	BD	4,000,000
3889	Mainstreaming biodiversity conservation through low-impact ecotourism in the SINAP	IDB	Panama	BD	4,000,000
3893	Support to the Adaptation of Vulnerable Agricultural Production Systems	IFAD	Mauritania	CC	3,500,000
3900	MENARID GEF IW:LEARN: Strengthening IW Portfolio Delivery and Impact	UNDP/ UNEP	Global	IW	4,095,000
3908	CF Industrial Energy Efficiency for Malaysian Manufacturing Sector (IEEMMS)	UNIDO	Malaysia	CC	4,200,000
3909	Mainstreaming Biodiversity Conservation into Russia's Energy Sector Policies and Operations	UNDP	Russian Federation	BD	7,200,000
3910	Inter-jurisdictional System of Coastal-Marine Protected Areas (ISCOMPA)	UNDP	Argentina	BD	2,177,727
3917	Improving Energy Efficiency and Promoting Renewable Energy in the Agro-Food and other Small and Medium Enterprises (SMEs) in Ukraine	UNIDO	Ukraine	CC	5,156,108
3925	Strengthening Seychelles' Protected Area System through NGO Management Modalities	UNDP	Seychelles	BD	2,100,000
3927	Integrated Approach for Zero Emission Project Development in the New Town of Boughzoul	UNEP	Algeria	CC	8,240,000
3933	SFM Sustainable Management of Protected Areas and Forests of the Northern Highlands of Peru	IFAD	Peru	BD	1,720,000
3936	IND-BD Mainstreaming Coastal and Marine Biodiversity Conservation into Production Sectors in the Godavari River Estuary in Andhra Pradesh State	UNDP	India	BD	6,023,636
3940	Sustainable Management of Biodiversity in Thailand's Production Landscape	UNDP	Thailand	BD	1,940,000
3942	AFLDC: Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LDCs) of the SADC Subregion	UNEP/ UNIDO	Regional	POPs	3,000,000
3954	PAS Community-Based Forest and Coastal Conservation and Resource Management in PNG	UNDP	Papua New Guinea	BD	6,900,000
3955	Enhancing the Prevention, Control and Management of Invasive Alien Species in Vulnerable Ecosystems	UNDP	Cuba	BD	5,018,182
3956	Consolidating Costa Rica's Marine Protected Areas (MPAs)	UNDP	Costa Rica	BD	1,212,027
3965	Strengthening the Protected Area Network in Southern Tanzania: Improving the Effectiveness of National Parks in Addressing Threats to Biodiversity	UNDP	Tanzania	BD	5,304,500



GEF ID	Project name	GEF Agency	Country	Focal area	CEO-approved grant
3967	Integrating Climate Change in Development Planning and Disaster Prevention to Increase Resilience of Agricultural and Water Sectors	WB	Morocco	CC	4,345,454
3968	AFLDC:Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LDCs) of the COMESA Subregion	UNEP/ UNIDO	Regional	POPs	5,000,000
3969	AFLDC:Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LDCs) of the ECOWAS Subregion	UNEP/ UNIDO	Regional	POPs	8,000,000
3972	Vietnam Clean Production and Energy Efficiency Project	WB	Vietnam	CC	2,374,407
3976	Reducing Greenhouse Gas Emissions through Improved Energy Efficiency in the Industrial Sector	UNIDO	Cambodia	CC	1,240,000
3978	Regional Coordination on Improved Water Resources Management and Capacity Building Horizontal Adaptable Programmatic Programme (H-APL) (TA)	WB	Regional	IW	5,644,545
3979	Integrating Climate Resilience into Agricultural Production for Food Security in Rural Areas	FAO	Mali	CC	2,106,818
3980	CTI Integrated Natural Resources and Environmental Management Sector	ADB	Philippines	MF	2,500,000
3986	Disposal of POPs Wastes and Obsolete Pesticides	FAO	Mozambique	POPs	1,950,000
3987	Eritrea: Prevention and Disposal of POPs and Obsolete Pesticides	FAO	Eritrea	POPs	2,150,000
4013	Sustainable Transport in the City Of Almaty	UNDP	Kazakhstan	CC	4,886,000
4018	São Tomé and Príncipe Adaptation to Climate Change	WB	São Tomé and Príncipe	CC	4,147,800
4019	Strengthening Resilience and Adaptive Capacity to Climate Change in Guinea-Bissau's Agrarian and Water Sectors	UNDP	Guinea-Bissau	CC	4,000,000
4026	SPWA-BD: Strengthening the Conservation Role of Togo's National System of Protected Areas (PA)	UNDP	Togo	BD	1,222,200
4029	Integrated Natural Resource Management in the Baikal Basin Transboundary Ecosystem	UNDP	Regional	MF	3,898,000
4034	Improving the Resilience of the Agriculture Sector in Lao PDR to Climate Change Impacts	UNDP	Lao PDR	CC	4,445,450
4075	SPWA-BD Support to Protected Areas Management	WB	Benin	BD	1,900,000
4080	SPWA Participatory Biodiversity Conservation and Low Carbon Development in Pilot Ecovillages in Senegal	UNDP	Senegal	MF	2,880,000
4090	SPWA-BD Niger Delta Biodiversity Project	UNDP	Nigeria	BD	3,610,000
4100	PCB Management and Disposal Project	WB	Nigeria	POPs	6,300,000
4105	SPWA-BD Wetlands Conservation Project	WB	Sierra Leone	BD	1,800,000
4109	China Energy Efficiency Promotion in Industry	WB	China	CC	4,000,000
4115	LGGE Improving Energy Efficiency in Low-Income Households and Regions of Romania	UNDP	Romania	CC	2,974,840
4116	Lighting and Appliances Efficiency Project	WB	Mexico	CC	7,118,600
4129	TT-Pilot (GEF-4)- Green Truck Demonstration Project	WB	Global (China)	CC	4,200,000

GEF ID	Project name	GEF Agency	Country	Focal area	CEO-approved grant
4130	Kathmandu Sustainable Urban Transport (SUT) Project	ADB	Nepal	CC	2,520,000
4138	Catalytic Investments for Geothermal Power	IDB	Colombia	CC	2,727,000
4152	Rural Electrification Phase II	WB	Lao PDR	CC	1,818,000
4176	Encouraging the Establishment and Consolidation of an Energy Service Market in Chile	IDB	Chile	CC	2,364,000
4216	Integration of Climate Change Risk and Resilience into Forestry Management (ICCRIFS)	UNDP	Samoa	CC	2,400,000
4280	West Africa Regional Fisheries Program APL B1	WB	Guinea-Bissau	IW	2,000,000
4301	SLM subprogram for the Centre-West Region	UNDP	Burkina Faso	LD	2,219,594
4329	5th Operational Phase of the GEF Small Grants Programme	UNDP	Global	MF	134,615,385
4528	West Africa Regional Fisheries Program in Ghana	WB	Ghana	LD	3,500,000

NOTE: BD = biodiversity; CC = climate change; IW = international waters; MF = multifocal; OD = ozone depletion; POPs = persistent organic pollutants; WB = World Bank.

# Annex G. Percentage of Projects Meeting Minimum Requirements, by Agency

TABLE G.1 GEF Main Agencies

Parameter	UNDP			UNEP			World Bank			Other			All Agencies		
	2005	2008	2011	2005	2008	2011	2005	2008	2011	2005	2008	2011	2005	2008	2011
1. Is there at least one specific indicator in the logframe for each of the project objectives and outcomes?	57	89	100	57	100	83	53	100	100	100	100	69	57	95	88
2. Are the indicators in the logframe relevant to the chosen objectives and outcomes?	100	100	97	100	100	100	100	100	100	100	100	100	100	100	99
3. Are the indicators in the logframe sufficient to assess achievement of the objectives and outcomes?	79	89	97	86	83	100	69	100	100	100	100	92	76	94	96
4. Are the indicators for project objectives and outcomes quantifiable?	96	100	100	100	100	83	97	100	100	100	92	96	97	99	96
5. Have the performance standards (targets) been specified in the logframe for the project outputs?	93	94	75	100	83	92	94	70	80	100	92	88	95	85	83
6. Have the targets been specified for the indicators for project objectives and outcomes in the logframe?	89	100	100	71	100	100	92	100	100	100	92	100	89	99	100
7. Are the specified targets for indicators of project objective and outcomes based on initial conditions?	79	100	100	71	83	100	86	93	100	100	85	96	82	94	99
8. Has the complete and relevant baseline information been provided?	93 (25)	94 (31)	88 (41)	86 (43)	33 (0)	100 (33)	94 (11)	93 (26)	100 (90)	67 (0)	77 (8)	69 (27)	92 (19)	87 (23)	85 (41)
9. Has a separate budget been allocated to M&E activities?	100	100	100	86	100	92	86	85	100	100	100	92	92	95	97
10. Have the responsibilities been clearly specified for the M&E activities?	100	100	97	86	100	83	100	100	90	100	100	96	99	100	94
11. Have the time frames been specified for the M&E activities?	100	100	100	100	100	100	97	100	90	100	100	96	99	100	98
12. Do the project documents mention having made a provision for midterm and terminal evaluation?	100	100	100	86	100	100	58	100	100	100	100	96	78	100	99
13. Has the methodology for determining the baseline been explained?	93	97	94	71	100	100	78	100	80	100	100	81	84	99	89
Compliance rate	64	83	88	57	33	92	53	81	100	67	62	58	58	76	80
Number of projects	28	36	32	7	6	12	36	27	10	3	13	26	74	82	80

NOTE: Parameters 1–7 are SMART criteria. The percentages in parentheses for Parameter 5 represent proposals with complete baseline information at the point of CEO endorsement as per the 2006 M&E Policy.

**TABLE G.2 Other GEF Agencies**

Parameter	ADB			AfDB	EBRD	FAO		IDB			IFAD		UNIDO		
	2005	2008	2011	2011	2011	2008	2011	2005	2008	2011	2008	2011	2005	2008	2011
1. Is there at least one specific indicator in the logframe for each of the project objectives and outcomes?	100	100	20	100	100	100	100	100	100	67	100	100	100	100	40
2. Are the indicators in the logframe relevant to the chosen objectives and outcomes?	100	100	100	100	100	100	100	100	100	100	100	100	100	100	100
3. Are the indicators in the logframe sufficient to assess achievement of the objectives and outcomes?	100	100	60	100	100	100	100	100	100	100	100	100	100	100	100
4. Are the indicators for project objectives and outcomes quantifiable?	100	100	100	100	100	100	100	100	100	67	100	100	100	80	100
5. Have the performance standards (targets) been specified in the logframe for the project outputs?	100	100	60	100	100	100	100	100	100	100	100	100	100	80	80
6. Have the targets been specified for the indicators for project objectives and outcomes in the logframe?	100	100	100	100	100	100	100	100	100	100	100	100	0	80	100
7. Are the specified targets for indicators of project objective and outcomes based on initial conditions?	100	100	100	100	100	100	88	100	100	100	50	100	0	80	100
8. Has the complete and relevant baseline information been provided?	0 (0)	67 (0)	40 (0)	100 (0)	100 (0)	100 (0)	75 (50)	100 (0)	100 (0)	100 (33)	100 (0)	33 (33)	0 (0)	60 (20)	80 (20)
9. Has a separate budget been allocated to M&E activities?	100	100	100	100	100	100	100	100	100	33	100	100	100	100	100
10. Have the responsibilities been clearly specified for the M&E activities?	100	100	100	100	100	100	100	100	100	67	100	100	0	100	100
11. Have the time frames been specified for the M&E activities?	100	100	100	100	100	100	100	100	100	67	100	100	0	100	100
12. Do the project documents mention having made a provision for midterm and terminal evaluation?	100	100	100	100	100	100	100	100	100	100	100	67	100	100	100
13. Has the methodology for determining the baseline been explained?	100	100	100	100	100	100	75	100	100	33	100	100	100	100	80
Compliance rate	100	67	20	100	100	100	75	100	100	33	50	33	0	40	80
Number of projects	1	3	5	1	1	2	8	1	1	3	2	3	1	5	5

NOTE: Parameters 1–7 are SMART criteria. The percentages in parentheses for Parameter 5 represent proposals with complete baseline information at the point of CEO endorsement as per the 2006 M&E Policy.

# Annex H. Percentage of Projects Meeting Minimum Requirements, by Focal Area

TABLE H.1 Biodiversity, Climate Change, International Waters, and Ozone Depletion

Parameter	Biodiversity			Climate change			International waters			Ozone depletion
	2005	2008	2011	2005	2008	2011	2005	2008	2011	2005
1. Is there at least one specific indicator in the logframe for each of the project objectives and outcomes?	50	90	89	81	96	90	55	100	100	0
2. Are the indicators in the logframe relevant to the chosen objectives and outcomes?	100	100	100	100	100	100	100	100	100	100
3. Are the indicators in the logframe sufficient to assess achievement of the objectives and outcomes?	75	100	100	90	96	97	64	90	100	100
4. Are the indicators for project objectives and outcomes quantifiable?	100	100	96	100	100	97	82	100	80	100
5. Have the performance standards (targets) been specified in the logframe for the project outputs?	100	90	74	100	72	93	73	90	100	100
6. Have the targets been specified for the indicators for project objectives and outcomes in the logframe?	89	100	100	95	100	100	73	100	100	100
7. Are the specified targets for indicators of project objective and outcomes based on initial conditions?	75	95	100	95	100	100	73	100	100	100
8. Has the complete and relevant baseline information been provided?	96 (0)	95 (38)	93 (33)	90 (48)	100 (28)	90 (45)	100 (9)	90 (10)	80 (60)	100 (100)
9. Has a separate budget been allocated to M&E activities?	93	95	100	90	92	93	91	90	100	100
10. Have the responsibilities been clearly specified for the M&E activities?	100	100	93	100	100	93	91	100	100	100
11. Have the time frames been specified for the M&E activities?	96	100	96	100	100	97	100	100	100	100
12. Do the project documents mention having made a provision for midterm and terminal evaluation?	86	100	100	67	100	97	73	100	100	100
13. Has the methodology for determining the baseline been explained?	93	100	89	86	100	86	82	90	100	100
Compliance rate	50	95	89	76	88	83	55	70	80	100
Number of projects	28	21	27	21	25	29	11	10	5	1

NOTE: Parameters 1–7 are SMART criteria. The percentages in parentheses for Parameter 5 represent proposals with complete baseline information at the point of CEO endorsement as per the 2006 M&E Policy.

**TABLE H.2 Land Degradation, Persistent Organic Pollutants, Multifocal, and All Focal Areas**

Parameter	Land degradation			Persistent organic pollutants			Multifocal			All		
	2005	2008	2011	2005	2008	2011	2005	2008	2011	2005	2008	2011
1. Is there at least one specific indicator in the logframe for each of the project objectives and outcomes?	0	100	100	100	89	100	38	100	56	57	95	88
2. Are the indicators in the logframe relevant to the chosen objectives and outcomes?	100	100	100	100	100	100	100	100	89	100	100	99
3. Are the indicators in the logframe sufficient to assess achievement of the objectives and outcomes?	33	100	100	100	78	100	63	86	78	76	94	96
4. Are the indicators for project objectives and outcomes quantifiable?	100	100	100	100	89	100	100	100	100	97	99	96
5. Have the performance standards (targets) been specified in the logframe for the project outputs?	100	100	100	100	78	83	88	86	56	95	85	83
6. Have the targets been specified for the indicators for project objectives and outcomes in the logframe?	100	100	100	100	100	100	88	100	100	89	99	100
7. Are the specified targets for indicators of project objective and outcomes based on initial conditions?	100	80	100	100	100	100	75	100	100	82	94	99
8. Has the complete and relevant baseline information been provided?	67 (33)	70 (0)	75 (50)	50 (0)	56 (22)	100 (83)	88 (13)	71 (14)	44 (11)	92 (19)	87 (23)	85 (41)
9. Has a separate budget been allocated to M&E activities?	100	100	100	100	100	100	88	100	100	92	95	97
10. Have the responsibilities been clearly specified for the M&E activities?	100	100	100	100	89	83	100	100	100	99	100	94
11. Have the time frames been specified for the M&E activities?	100	100	100	100	89	100	100	100	100	99	100	98
12. Do the project documents mention having made a provision for midterm and terminal evaluation?	100	100	100	50	78	100	88	100	100	78	100	99
13. Has the methodology for determining the baseline been explained?	33	100	75	100	100	83	63	100	100	84	99	89
Compliance rate	33	60	75	50	33	100	50	57	33	58	76	80
Number of projects	3	10	4	2	9	6	8	7	9	74	82	80

NOTE: Parameters 1–7 are SMART criteria. The percentages in parentheses for Parameter 5 represent proposals with complete baseline information at the point of CEO endorsement as per the 2006 M&E Policy.

# Annex I. SMART Parameters

Parameter	Strong indicator	Weak indicator	Note
Specific	Project 3611: "Total spring vegetation cover in selected Lake Aibi NWR monitoring sites set out in Lake Aibi NWR management plan (%)" and includes targets for Y1, Y2, Y3, etc.	Project 3801: Enhanced sharing of experiences and information on implementation options for India at regional and international fora, including regional preparatory processes	Weak indicator is vague and does not specify exact nature of experiences and information to be shared, and how this will be elaborated.
Measurable	Project 3753: Capacity development indicator score for protected area system (baseline and targets specified for different levels—systemic: 46 percent, institutional: 46 percent, and individual: 35 percent)	Project 3755: "guidelines for recycling and safe disposal of ESLs"  Project 3461: "percent of staffing with competencies and skills matching position requirements and with a clear job description"  Project 3856: "level of quality and participation in networks"	Weak indicators use terms such as "low" and "inadequate" capacities in baseline values against which it is difficult to measure progress. Also, weak indicators do not indicate how they could be measured and do not "read" like a measurable indicator.  Difficult to measure indicators that include more than one concern if not separated out in the results framework.
Achievable and Attributable	Project 3972: Energy efficiency action plans in key industry sectors adopted and launched (includes baselines and cumulative target values per year)	Project 3910: At objective level, there are indicators related to seabird, turtle, and dolphin mortality due to certain types of fishing gear  Project 3461: "Strategy and design developed for citywide NMT investment and corridor plans and TDM strategies (parking reforms, road pricing, spatial planning..."—target end 2011	Weak indicator, as it suggests a significant impact of fishing gear on relevant industry in near term, which may require more time and investment than project allows.  The achievability may be difficult as the project is only beginning in January 2011. Very ambitious.

Parameter	Strong indicator	Weak indicator	Note
Realistic and Relevant	Project 2770: "Management and treatment schemes operational and sustainable Tonnes/no. of units secured or destroyed under ESM processes." Indicators specified are relevant to outcomes and well connected to means of verification. Results framework specifies baseline numbers, cumulative targets, frequency of collection, source/methodology and responsibility of data collection, and assumptions.	Project 3736: Number of policies changed, number of farmers trained, number of extension packages  Project 3591: Indicators and targets are generally well formed, and are at the outcome and impact level. However, the "impact"-level result is structured to focus on sustainable food security, rather than on the conservation of biodiversity. Sustainable food security may be a critical outcome, but this could be achieved without conservation of the full range of biodiversity, and the primary impact-level result for GEF biodiversity projects should be the conservation of biodiversity.	Weak indicator has potentially lower relevance levels for assessing progress toward desired outcome.
Time Bound, Timely, Trackable, Targeted	Project 3801: By the end of the project, at least 25 ABS agreements are in place and effectively being implemented.	Project 3856: 80 percent of project countries are fully trained in common format	Weak indicator does not include a time-bound target.



# Annex J. Assessment of Quality at Entry of Arrangements to Measure Impact

## J.1 Projects Included in Review

TABLE J.1 Distribution by Focal Area of Projects Reviewed (Sample Plan)

Focal area	Total number	Raw sample size	Probability weight of a sampled proposal	Reviewed proposals
Biodiversity	44	18	0.0224	17
Climate change	35	15	0.0214	15
International waters	5	5	0.0092	3
Land degradation	4	4	0.0092	3
Persistent organic pollutants	9	6	0.0138	5
Multifocal area	12	7	0.0157	6
All focal areas	109	55	—	49

TABLE J.2 Projects Reviewed

GEF ID	Project name	Probability weight	Focal area	GEF Agency	Rating
3266	Management of Chimborazo's Natural Resources	0.0224	BD	FAO	S
3736	Mainstreaming Agro-biodiversity Conservation into the Farming Systems of Ethiopia	0.0224	BD	UNDP	S
3737	Namibia Protected Landscape Conservation Areas Initiative (NAM PLACE)	0.0224	BD	UNDP	MU
3748	Protected Area Network Management and Building Capacity in Post-conflict Southern Sudan	0.0224	BD	UNDP	HS
3773	Support to the Madagascar Foundation for Protected Areas and Biodiversity (through Additional Financing to the Third Environment Support Program Project (EP3)	0.0224	BD	WB	MS
3819	Forestry and Protected Area Management in Fiji, Samoa, Vanuatu and Niue	0.0224	BD	FAO	S
3825	Mountains and Markets: Biodiversity and Business in Northern Pakistan	0.0224	BD	UNDP	S
3860	Save Our Species	0.0224	BD	WB	S

GEF ID	Project name	Probability weight	Focal area	GEF Agency	Rating
3865	Strengthening the Marine and Coastal Protected Areas System	0.0224	BD	UNDP	MS
3889	Mainstreaming biodiversity conservation through low-impact ecotourism in the SINAP	0.0224	BD	IDB	HS
3909	Mainstreaming Biodiversity Conservation into Russia's Energy Sector Policies and Operations	0.0224	BD	UNDP	MS
3925	Strengthening Seychelles' Protected Area System through NGO Management Modalities	0.0224	BD	UNDP	HS
3933	SFM Sustainable Management of Protected Areas and Forests of the Northern Highlands of Peru	0.0224	BD	IFAD	U
3956	Consolidating Costa Rica's Marine Protected Areas (MPAs)	0.0224	BD	UNDP	S
3965	Strengthening the Protected Area Network in Southern Tanzania: Improving the Effectiveness of National Parks in Addressing Threats to Biodiversity	0.0224	BD	UNDP	S
4026	SPWA-BD: Strengthening the Conservation Role of Togo's National System of Protected Areas (PA)	0.0224	BD	UNDP	S
4105	SPWA-BD Wetlands Conservation Project	0.0224	BD	WB	U
3554	Improving Energy Efficiency in the Indian Railway System - under the Programmatic Framework for Energy Efficiency	0.0214	CC	UNDP	S
3555	Energy Efficiency Improvements in Commercial Buildings - under the Programmatic Framework for Energy Efficiency	0.0214	CC	UNDP	HS
3595	Promoting Energy Efficiency in the Industries through System Optimization and Energy Management Standards in Indonesia	0.0214	CC	UNIDO	MU
3597	Improving Urban Housing Efficiency in the Russian Federation	0.0214	CC	EBRD/WB	MU
3659	Building Energy Efficiency in the North West of Russia	0.0214	CC	UNDP	MS
3755	Phasing out Incandescent Lamps through Lighting Market Transformation in Vietnam	0.0214	CC	UNEP	S
3788	Promoting Energy Efficiency in Buildings in Eastern Africa	0.0214	CC	UNEP	MS
3794	SPWA-CC Promoting Energy Efficiency in Residential and Public Sector in Nigeria	0.0214	CC	UNDP	MS
3828	LGGE Energy Efficiency Code in Buildings	0.0214	CC	UNDP	MU
3972	Vietnam Clean Production and Energy Efficiency Project	0.0214	CC	WB	MU
4013	Sustainable Transport in the City Of Almaty	0.0214	CC	UNDP	S
4109	China Energy Efficiency Promotion in Industry	0.0214	CC	WB	MU
4115	LGGE Improving Energy Efficiency in Low-Income Households and Regions of Romania	0.0214	CC	UNDP	MS
4116	Lighting and Appliances Efficiency Project	0.0214	CC	WB	S
4130	Kathmandu Sustainable Urban Transport (SUT) Project	0.0214	CC	ADB	MU
2860	Regional Framework for Sustainable Use of the Rio Bravo	0.0092	IW	UNEP	MU
4280	West Africa Regional Fisheries Program APL B1	0.0092	IW	WB	S
4528	West Africa Regional Fisheries Program in Ghana	0.0092	IW	WB	MU
3370	Mainstreaming Sustainable Land Management in Agro-pastoral Production Systems of Kenya	0.0092	LD	UNDP	HU

GEF ID	Project name	Probability weight	Focal area	GEF Agency	Rating
3403	Kalahari-Namib Project: Enhancing Decision-making through Interactive Environmental Learning and Action in Molopo-Nossob River Basin in Botswana, Namibia and South Africa	0.0092	LD	UNEP	HU
4301	SLM subprogram for the Centre-West Region	0.0092	LD	UNDP	U
3450	Iran SFM Rehabilitation of Forest Landscapes and Degraded Land with Particular Attention to Saline Soils and Areas Prone to Wind Erosion	0.0157	MF	FAO	S
3483	PRC-GEF Partnership: Forestry and Ecological Restoration in Three Northwest Provinces (formerly Silk Road Ecosystem Restoration Project)	0.0157	MF	ADB	HS
3611	PRC-GEF Partnership: Mainstreaming Biodiversity Protection within the Production Landscapes and Protected Areas of the Lake Aibi Basin	0.0157	MF	WB	U
3717	Ecuador Sustainable Management of Biodiversity and Water Resources in the Ibarra-San Lorenzo Corridor	0.0157	MF	IFAD	HS
3831	Conservation and Sustainable use of Biodiversity and Land in Andean Vertical Ecosystems	0.0157	MF	IDB	MS
3980	Integrated Natural Resources and Environmental Management Sector	0.0157	MF	ADB	S
2770	Demonstration of a Regional Approach to Environmentally Sound Management of PCB Liquid Wastes and Transformers and Capacitors Containing PCBs	0.0138	POPs	UNEP	MS
3806	Strengthening National Management Capacities and Reducing Releases of POPs in Honduras	0.0138	POPs	UNDP	S
3942	AFLDC:Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LDCs) of the SADC Subregion	0.0138	POPs	UNEP/ UNIDO	MU
3969	AFLDC:Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LDCs) of the ECOWAS Subregion	0.0138	POPs	UNEP/ UNIDO	MU
3987	Eritrea: Prevention and Disposal of POPs and Obsolete Pesticides	0.0138	POPs	FAO	HS

NOTE: BD = biodiversity; CC = climate change; IW = international waters; MF = multifocal; WB = World Bank; HS = highly satisfactory; S = satisfactory; MS = moderately satisfactory; MU = moderately unsatisfactory; U = unsatisfactory; HU = highly unsatisfactory.

## J.2 Assessment Instrument

TABLE J.3 Instrument for Assessing Quality at Entry of Arrangements to Measure Impact

Question	Response/comments	Instructions
1. Based on the activities listed in the project or program design, is it likely that the project will directly or indirectly lead to global environmental benefits? <i>(Check a response that is closest to your assessment.)</i>	Yes, directly and indirectly.....	1
	Yes, indirect and proximate linkage.....	2
	Yes, indirect but remote linkage.....	3 → End
	No.....	4 → End
	Unable to assess.....	999 → End
2. Does the proposal (including its accompanying documents) mention any activity aimed at measuring environmental impacts?	Yes.....	1
	No.....	2 → 9
	Unable to assess.....	999 → 9
3. The arrangements for impact measurement described in the proposal will allow measurement of the impacts at which of these levels? <i>(Check all that apply.)</i>	Ongoing process to which the project or program will contribute.....	1
	GEF-supported projects or programs.....	2
	GEF-supported components or activities within the projects or programs.....	3
	Unable to assess.....	999
3.1. Explain whether and how impacts at different levels of intervention have been distinguished and addressed. <i>(The levels have been described in the response options for question 3.)</i>		
4. Does the proposal describe the methodology for measurement of impact either separately or combined with other issues?	Yes.....	1
	No.....	2 → 5
	Unable to assess.....	999 → 5
4.1. Is the methodology described in the proposal and accompanying documents scientifically valid?	Yes, on all major aspects.....	1
	Yes, on some major aspects.....	2
	No.....	3
	Unable to assess.....	999
4.2. To what extent does the described methodology adopt the relevant GEF tracking tools? Will the proposed methodology generate reliable information for GEF tracking tools?		
5. Does the proposal specify indicators for measurement of intended impacts?	Yes.....	1
	No.....	2 → 8
	Unable to assess.....	999 → 8
5.1. To what extent are there gaps in the indicators chosen to measure the intended impacts, i.e., do impact indicators cover all of the major impacts?	All major intended impacts covered.....	1
	Some minor gaps in coverage of impacts.....	2
	Major gaps in coverage of impacts.....	3
	Unable to assess.....	999
5.2. To what extent are the specified impact indicators consistent with the given project's or program's expressed or implied theory of change? <i>(In this context, theory of change refers to the pathways through which the intended impacts will be achieved.)</i>	Consistent.....	1
	Broadly consistent.....	2
	Broadly inconsistent.....	3
	Inconsistent.....	4
	Unable to assess.....	999

Question	Response/comments	Instructions
5.3. To what extent are the specified impact indicators scientifically valid? ( <i>Check the statement with which you would most agree.</i> ) (In the given context, scientifically valid means that specified indicators are consistent with the program's/project's theory of change and the science to reliably measure change on the specified indicators exists.)	Indicators are scientifically valid ..... 1	→ 5.5
	Generally, specified indicators are scientifically valid ..... 2	
	Generally, specified indicators are scientifically invalid ..... 3	→ 5.5
	Indicators are scientifically invalid ..... 4	
	Unable to assess ..... 999	
5.4. If the indicators are scientifically invalid (or generally scientifically invalid), explain why this is the case.		
5.5. To what extent are the chosen impact indicators consistent with, and feed into, the results-based management framework of the GEF?	Feed into results-based management framework of the GEF ..... 1	
	Consistent with but do not feed into the results-based management framework of the GEF ..... 2	
	Inconsistent with the results-based management framework ..... 3	
	Unable to assess ..... 999	
5.6. What is your overall assessment of the quality of the specified indicators? What are the major strengths and weaknesses? Explain in about five to six lines.		
6. Does the project proposal present baseline measurements on the specified impact indicators? (Baseline measurements refer to the preproject implementation status measurements.)	Yes, for all the specified impact indicators ..... 1	
	Yes, for most impact indicators; the remainder will be collected after project implementation starts ..... 2	
	Yes, but only for some impact indicators; the remainder will be collected after project implementation starts ..... 3	
	Yes, but only for some impact indicators. It is not clear how the baseline data will be collected for the remainder after project implementation starts ..... 4	
	No, but will be collected after project implementation starts ..... 5	
	No ..... 6	
	Other (explain) ..... 666	
Unable to assess ..... 999		
6.1. Do the project proposal documents provide information on how the baseline information on impact indicators was collected? In some cases, baseline information may not have been collected by the time of CEO endorsement—in such cases, assesses whether the project proposal provides information on how baseline information on preproject status will be collected once project implementation starts.	Yes ..... 1	
	No ..... 2	
	Unable to assess ..... 999	
7. Will the data on specified indicators be collected at appropriate frequencies?	Yes, for all of the specified indicators ..... 1	
	Yes, for most indicators ..... 2	
	Yes, but only for a few indicators ..... 3	
	No ..... 4	
	Unable to assess ..... 999	
7.1. Have the responsibilities (institutional arrangements) for data collection been specified/indicated?	Yes ..... 1	
	No ..... 2	
	Unable to assess ..... 999	

Question	Response/comments	Instructions
7.2. Is it likely that institutions or individuals vested with responsibility to measure impact have capacities to effectively carry out the responsibility? ( <i>Consider whether measurements are highly technical in nature and capacities for impact measurement are unlikely to be built in the short run; the extent to which capacities are available and are likely to stay with the organizations vested with the responsibility. If reviewers are unable to assess, then they should note it in their response.</i> )	Yes .....	1
	No .....	2
	Unable to assess .....	999
7.3. Provide an explanation for your response to question 7.2.		
8. Is the proposed budget for impact measurement sufficient?	Sufficient funds for impact measurement .....	1
	Unable to assess whether there is sufficient allocation for impact measurement but sufficient funds allocated for M&E.....	2
	Unable to assess whether there is sufficient allocation for impact measurement but insufficient funds allocated for M&E.....	3
	Insufficient funds for impact measurement .....	4
	Unable to assess .....	999
8.1. Your comments on the budget for impact measurement.		
9. Is the overall approach adopted for arrangements for impact measurement practical, in line with the existing and anticipated country capacities, and cost-effective? Explain.		
9.1. Your overall rating on the quality of arrangements for impact measurement.	Highly unsatisfactory .....	1
	Unsatisfactory .....	2
	Moderately unsatisfactory.....	3
	Moderately satisfactory.....	4
	Satisfactory .....	5
	Highly satisfactory .....	6
Unable to assess .....	999	
9.2. Provide your overall comments in about 8 to 10 lines on the quality of arrangements for impact measurement in this proposal. ( <i>Cover salient overall strengths and weaknesses pertaining to quality of methodology and indicators, baseline information, institutional arrangements for impact measurement, budget, etc. If applicable, also reflect on how quality of arrangements for impact measurements could have been further improved for this proposal.</i> )		END

### J.3 Guidance for Using the Assessment Instrument

The following provides guidance on filling out the preceding instrument for assessment of quality of arrangements at entry for impact measurement. The questionnaire has 11 subsections. The reviewers are encouraged to fill out the forms in the form of a Word document. For questions

where there are multiple responses, an easy way to register the chosen response would be to **bold** or *italicize* it, but reviewers could also use other approaches that they find convenient. The questions that are self-explanatory have not been explained. The instructions on skip patterns are provided in the right-hand column of the instrument. To fill out the form, general review of the relevant sections of the project document

(prepared for CEO endorsement) would be sufficient. However, in some instances, the panel members may need to refer to other documents related to the given project or program.

For this review, the Organisation for Economic Co-operation and Development's Development Assistance Committee definition of impact—which describes it as “positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended”—has been used (OECD DAC 2002). The two reviewers of the panel should prepare a review report by jointly filling out the review instrument. In case of disagreement between the two members, they should point this out in the last section of the instrument, noting the area and nature of disagreement.

**Section 1:** Question 1.0 is aimed at understanding whether the nature of the proposed project is such that it will **directly** lead to global environmental benefits. In case only **indirect** pathways to generation of global environmental benefits are expected, then the important question is whether these are **proximate** and **significant** enough that it is realistic to expect observable changes. In some cases, there may be indirect impacts but they may be **remote or insignificant**—for example, environmental impacts of a meeting, workshop, or a congress may lead to impressive gains later on, but it may be difficult to link such gains to these activities. In some other instances, it might be difficult to establish any link (one would expect that this is not the case, but there is always a possibility). This question is important from the perspective of whether a given project is suitable for this review. If the response for question 1.0 is 1 or 2, then it obviously is. If it is not, the review should end at that point. The Evaluation Office has prescreened the sampled projects, so the reviewers are allotted only those projects that lend themselves to this review.

**Section 2:** Question 2.0 is aimed at understanding whether the given project includes activities that aim at measuring impacts. In case expected stress reductions or impacts will not be measured (or it is difficult to ascertain whether they will be measured), some of the following questions will become redundant. If this is the case, reviewers will mark their response and skip to Section 9. If it is indicated that the expected stress reductions and impacts will be measured, the reviewers will answer the questions that follow.

**Section 3:** Impacts at three levels of activity clusters often get confused when designing arrangements for impact measurement:

- Impact of GEF-supported activities within a project
- Impact of a GEF-supported project that includes both the GEF-financed activities and activities financed by other partners
- Impact of the ongoing programmatic process of which the GEF-supported project is part (or a small part)

Question 3.0 is aimed at understanding whether the impact measurement arrangements distinguish among these activity clusters. The reviewers should check all options that apply. In cases where reviewers are unable to assess, they should explain the reason in Question 3.1.

**Section 4:** This section has three questions on overall methodological approach proposed for the project. This would be more of a summative assessment covering issues such as indicators, data collection arrangements, models used to address attribution, financial resources, etc.

Question 4.0 determines whether the project proposal describes a methodology for measuring impact. The intent here is to know whether some of building blocks of an impact measurement

methodology—indicators, targets, surveys, etc.—have been included in the project proposal (it is not expected that a methodological approach should have been described in a detailed and formal manner; as long as some elements are there, the answer will be yes).

Question 4.1 assesses whether the methodology described in the project proposal document and annexes is scientifically valid. The attempt is to determine whether there is sufficient scientific basis for the proposed methodology.

Question 4.2 assesses whether the proposed methodology has adopted the applicable GEF tracking tool and whether the information thus generated will be appropriate aggregation through the tracking tools.

**Section 5:** Section 5 covers a series of questions on indicators specified for measurement of intended stress reduction and impacts.

Question 5.0 establishes whether indicators have been specified. In case they have not been specified, this should be marked in the response and the reviewer should skip to Section 8, because the questions in between are redundant. If the indicators have been specified, the following questions aim at assessing the quality of the specified indicators.

Question 5.1 addresses the issue of coverage offered by a set of specified indicators. A project may pursue several objectives. The specified indicators should be comprehensive enough to cover progress on all key objectives. It could be the case that while the specified indicators cover some objectives or some aspects of an objective, some objectives or aspects of objectives may not have been covered.

Question 5.2 aims at assessing the extent to which the specified indicators are consistent or congruent

with the project's or program's expressed or implied theory of change. The indicators should measure change that is expected based on the project's or program's expressed or implied theory of change. In this context, the theory of change refers to the pathways through which the intended impacts will be achieved.

Question 5.3 assesses whether the specified impact indicators are scientifically valid. This is to address instances where specified indicators are consistent with the project's or program's theory of change but the science to measure change on the specified indicators may not be there.

Question 5.4 requires the reviewers to provide an explanation of why they have assessed it to be the case that a few, some, or all of the specified indicators are scientifically invalid.

Question 5.5 is aimed at assessing whether the chosen impact indicators are consistent with, and feed into, the results-based management framework. It could be the case that several impact indicators—those that are part of the GEF tracking tools and those that are not—could be used to measure progress on specified objectives of a project or program. While it is important to incorporate whichever impact indicators are more appropriate in the M&E design, the relevant impact indicators that have been prescribed in the GEF tracking tool also need to be incorporated in the M&E design. This question assesses the extent to which the GEF tracking tool-based impact indicators have been incorporated in project design.

Question 5.6 is a summative question for other questions in Section 5. It is aimed at recording the overall assessment of the reviewers on the quality of the specified indicators, especially their salient features, in five or six lines.

**Section 6:** This section addresses issues related to the collection and inclusion of baseline information



for impact measurement in project proposals. This information is required as a yardstick against which progress made on key objectives is measured.

Question 6.0 aims at determining the extent to which baseline measurements of the preproject implementation status have been provided on the chosen set of indicators. The GEF M&E Policy requires that baseline information on specified indicators be available at the project approval/endorsement stage or else, where desirable, a plan to collect it should be included in the proposal.

Question 6.1 intends to determine whether the proposal documents provide information on how the baseline information on preproject implementation status on impact indicators was collected (or is planned to be collected).

**Section 7:** This section covers issues related to measurement of changes on indicators and related data collection.

Question 7.0 is aimed at assessing whether the data on specified indicators would be collected at appropriate frequencies. Based on a given indicator and the nature of the project, appropriate frequency could differ from several times a day to once in a couple of years. This judgment needs to be made based on what might be desirable from the perspective of what is scientifically valid and what is practical.

Question 7.1 is aimed at determining whether the responsible partners for data collection have been identified. The responsible partners could differ from one impact indicator to another. It is likely that these responsibilities may have been assigned to one partner or to a set of partners with distinct responsibilities.

Questions 7.2 and 7.3 address whether steps have been taken to ensure that institutions or

individuals vested with responsibility for impact measurements have the capacity to effectively carry out this responsibility. This would require an assessment of whether credible impact measurements will require highly technical scientific skills and whether these skills are or will be available (and will remain) with the institutions or individuals vested with the responsibility to gather this information. For example, a project may intend to gather highly technical information through the staff of the executing agency, but may not have adequate time or resources to train the relevant staff. In such cases, one may expect that the impact measurement arrangements will be underserved.

**Section 8:** This section aims at determining the sufficiency of resources committed within a project for impact measurement. Questions 8.0 and 8.1 are self-explanatory. Based on the Evaluation Office's experience with similar questions, it is likely that in several instances the reviewers may not be able to give an opinion on sufficiency of budget due to a lack of information provided in the project proposals.

**Section 9:** Section 9 is a summative section that distills information from all the preceding sections to determine whether, overall, the proposed arrangements for measuring impact make sense.

Question 9.0 seeks the opinion of the reviewers on whether the proposed impact measurement approach—including instances where it is quite minimal or literally nonexistent—is practical, in line with the anticipated country capacities, and cost-effective. Any of these factors could constitute a mitigating circumstance because of which a project's or program's proposed arrangements for impact measurement may not have the desired features.

Question 9.1 requires the reviewers to rate the overall quality of arrangements for impact measurement on a six-point scale.

- **Highly satisfactory.** The impact measurement arrangements have no shortcomings.
- **Satisfactory.** The impact measurement arrangements have minor shortcomings.
- **Moderately satisfactory.** The impact measurement arrangements have moderate shortcomings.
- **Moderately unsatisfactory.** The impact measurement arrangements have significant shortcomings.
- **Unsatisfactory.** The impact measurement arrangements have major shortcomings.

- **Highly unsatisfactory.** The impact measurement arrangements have severe shortcomings.
- **Unable to assess.** The reviewer was unable to assess quality of impact measurement arrangements.

The key threshold ratings in this scale are **moderately satisfactory** (overall acceptable quality) and **moderately unsatisfactory** (overall unacceptable quality).

Question 9.2 requires reviewers to record their overall impressions on the quality of arrangements for impact measurement.

## Annex K. Management Response

*This annex presents the management response to this report, which was presented to the GEF Council in June 2012 as GEF/ME/C.42/01. Minor editorial corrections have been made.*

The Secretariat welcomes the eighth GEF Annual Performance Report 2011 prepared by the GEF Evaluation Office. This year's report focuses on 109 completed projects for which terminal evaluations were submitted during FY 2011.

The Secretariat welcomes the report's conclusion that the outcome achievements of 82 percent of completed projects reviewed for FY 2011 were rated in the satisfactory range and that the quality of 83 percent of the terminal evaluations submitted during FY 2011 was rated moderately satisfactory or above.

The Secretariat is particularly encouraged that the level of cofinancing materialized, as reported by the GEF Agencies, is on average higher than the level of cofinancing expected at the time of project approval. The GEF Council views cofinancing as an indicator of a project's sustainability, country ownership, and mainstreaming of GEF activities in activities of the partner institutions, and as a way to mobilize additional resources for the global environment. This continued trend of a higher cofinancing ratio of materialized to expected is an important performance metric for the GEF as a whole.

The Secretariat notes the finding that the quality of M&E of closed projects is fluctuating, with an average of 68 percent of projects being rated moderately satisfactory or above since 2006. As stated in the report, the Evaluation Office expects to see continuous improvement in ratings along this dimension as current and future cohorts increasingly include projects designed to reflect the 2010 Council-approved changes in M&E policy.

The Secretariat also welcomes the findings of a slight increase in the quality of M&E arrangements at the point of endorsement by the Chief Executive Officer. In particular, the Secretariat is encouraged by the finding that GEF projects at entry demonstrate a high level of alignment between project logical frameworks and focal area results frameworks per the new requirement in the 2010 M&E Policy.

The Secretariat is encouraged by the finding that GEF projects are beginning to specify how operational focal points will be informed of and, where feasible, involved in M&E activities. The engagement of OFPs is a new requirement in the M&E Policy and is intended to reflect the efforts of countries to establish or improve national monitoring and evaluation, and include an emphasis on increased country ownership. The Secretariat and Evaluation Office have collaborated to introduce this new M&E minimum requirement and to explain its implications through the expanded constituency workshops.

The Secretariat supports the recommendation of the APR that GEF Agencies should enhance their efforts to specify how OFPs will be engaged, when feasible and relevant, in project or program M&E.

## **UNDP and World Bank Input to the Management Response**

UNDP is pleased that the GEF Evaluation Office, upon reviewing UNDP terminal evaluations submitted since FY 2008, rated the quality of M&E during project implementation as satisfactory or above at 73 percent, up from 60 percent reported in 2010, and above the 70 percent average across the three Implementing Agencies.

UNDP would like to suggest that a clear definition of cofinancing be articulated in the GEF. The GEF Evaluation Office uses a definition from a Council document in 2003, while another definition of cofinancing proposed in a Council information document of 2010 has been used by others. A clear definition will assist UNDP in reporting cofinancing in line with the expectations of the GEF Council.

UNDP appreciates the new parameters used to determine quality of M&E arrangements at entry based on recently approved GEF policies—namely the revised GEF 2010 M&E Policy, the Policy on Gender Mainstreaming, the Policy on

Environmental and Social Safeguard Standards, and the Council decision concerning the mainstreaming and targeting of adaptation and resilience. However, as noted in the report, UNDP and the World Bank would like to stress that these policies were not in effect at the time these projects were developed. As these new parameters were applied retroactively to projects, it is appropriate that these findings are not used to make evaluative judgments on the quality of M&E arrangements at entry. Similarly, the assessment of entry arrangements for impact evaluation has not been discussed with the Agencies, and such arrangements are not a requirement. Agency representatives caution against a tendency to add new expectations or requirements at entry, at a point in time when more efficiency and streamlining are called for.

UNDP would also like to suggest that more transparency be required on the criteria used by the GEF Evaluation Office to determine a low or high threshold for baseline information, one of the parameters used in the quality of M&E arrangements at entry. A clear definition will assist UNDP in addressing baseline information in line with the expectations of the GEF Council. Further collaboration is needed to develop a common understanding among the GEF Evaluation Office, the GEF Agencies, and the GEF Secretariat on the M&E Policy requirement of a fully budgeted M&E plan.

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*The GEF publications and Council documents (the latter indicated with the designation “GEF.C.xx”) cited here are available on the GEF website, [www.thegef.org](http://www.thegef.org), under the Documents & Publications tab. GEF Evaluation Office documents can be found on the GEF Evaluation Office Web site, [www.gefeo.org](http://www.gefeo.org), under Evaluations & Studies and in the online documents database ASK ME.*

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