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GEF Annual Performance Report 2015

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Independent Evaluation Office

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Foreword

The Independent Evaluation Office (IEO) of the Global Environment Facility (GEF) is pleased to present its 12th Annual Performance Report (APR). The report presents independent assessments of GEF activities on key performance parameters: project outcomes and sustainability, factors affecting attainment of project results, and quality of monitoring and evaluation arrangements. It also presents a review of the GEF focal area tracking tools.

APR2015 was presented to the GEF Council during its June 2016 meeting as a working document. The report's recommendation that GEF should reassess its approach to tracking tools for

the upcoming GEF-7 period was endorsed by the GEF Council.

I would like to thank everyone who actively supported this evaluation. Final responsibility for this report remains firmly with the Office.



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Evaluation Office

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The GEF's annual performance reports include important contributions from the evaluation offices of GEF Partner Agencies, in particular terminal evaluations and terminal evaluation reviews prepared by these offices. The GEF IEO appreciates the time and input provided by the GEF Secretariat and Partner Agencies during preparation of this report.

Abbreviations

AMR	annual monitoring review	MAR	management action record
APR	annual performance report	METT	Management Effectiveness Tracking Tool
CEO	chief executive officer	MSP	medium-size project
CPE	country portfolio evaluation	OPS5	Fifth Overall Performance Study
FSP	full-size project	PFD	Program Framework Document
FY	fiscal year	PMIS	Project Management Information System
GEF	Global Environment Facility	RBM	results-based management
GHG	greenhouse gas	SCCF	Special Climate Change Fund
IAP	integrated approach pilot	SGP	Small Grants Programme
IEG	Independent Evaluation Group	SIDS	small island developing states
IFAD	International Fund for Agricultural Development	UNDP	United Nations Development Programme
LDC	least developed country	UNEP	United Nations Environment Programme
LDCF	Least Developed Countries Fund	UNIDO	United Nations Industrial Development Organization
M&E	monitoring and evaluation		

The GEF replenishment periods are as follows: pilot phase: 1991–94; GEF-1 1995–98; GEF-2: 1999–2002; GEF-3: 2003–06; GEF-4: 2006–10; GEF-5: 2010–14; GEF-6: 2014–18; GEF-7: 2018–22.

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

Executive summary

The objective of the annual performance report (APR) is to provide a detailed overview of the performance of Global Environment Facility (GEF) activities and processes, key factors affecting performance, and the quality of monitoring and evaluation (M&E) systems within the GEF partnership.

APR 2015 covers 159 recently completed projects for which (with few exceptions) terminal evaluation reports—including, where applicable, an independent review by the respective partner Agency evaluation office—were submitted to the GEF Independent Evaluation Office (IEO) during calendar year 2015. These 159 projects account for \$728.3 million in GEF funding and \$3.3 billion in realized cofinancing. In total, APR 2015 reports on 1,077 completed projects for which terminal evaluations have been submitted to the IEO from calendar year 2000 to 2015. These 1,077 projects represent \$4.8 billion in GEF funding and \$22.4 billion in realized cofinancing.

APR 2015 reports on project outcomes, sustainability of project outcomes, quality of project implementation and execution, trends in cofinancing, quality of project M&E systems, and quality of terminal evaluation reports. It also features a review of the GEF focal area tracking tools. Its findings are based primarily on the evidence presented in the terminal evaluation reports prepared by the GEF partner Agencies at project completion. Prior to reporting in APRs, all

terminal evaluations and ratings are reviewed and validated by the IEO and/or the evaluation office of the respective GEF partner Agency.

The key findings of APR 2015 are as follows.

- Seventy-four percent of the projects in the APR 2015 cohort, accounting for 73 percent of the funding, have outcome ratings in the satisfactory range. These figures are lower than the average of 81 percent of projects and 79 percent of funding in the satisfactory range for the projects covered in previous APRs. A major reason for the slightly lower ratings for the fiscal year 2015 cohort is a higher representation of projects from the Africa region, which tend to have lower outcome ratings. Projects implemented in small island developing states have, on average, lower outcome ratings than other projects, and medium-size projects have on average higher ratings than full-size projects.
- Sixty-five percent of projects in the APR 2015 cohort, and 69 percent of funding, is in projects with sustainability rated moderately likely or higher. An increase in sustainability ratings is noted when examining sustainability ratings by GEF replenishment period, with a significant increase in GEF-4.
- The quality of implementation ratings are steady at 77 percent, but a lower percentage of APR 2015 cohort is rated in the satisfactory range on the quality of execution (at 72 percent

for APR 2015 cohort versus 81 percent for the cumulative total].

- In the APR 2015 cohort, 55 percent projects were rated in the satisfactory range for M&E design and 52 percent for M&E during implementation. Ratings on M&E implementation have improved from the Pilot phase, however progress from GEF-1 has been incremental. About 30 percent of completed GEF-4 projects have unsatisfactory M&E Design and Implementation ratings indicating that a sizable gap still exists between M&E expectations and practice.
- Compared to GEF-5, the focal tracking tools for GEF-6 are leaner and better aligned with the focal area results framework indicators. Although tracking tools for the biodiversity focal area have also been streamlined, they still account for the most number of data fields. Although there has been some progress in reducing the tracking tool reporting related burden for the multi focal area projects, it has been through the streamlining of the tools for individual focal areas. There are gaps in compliance, retrieval and management of tracking tools. The Secretariat is taking steps to facilitate better tracking of the submission of the tools.
- Ratings for quality of terminal evaluations in the APR 2015 cohort are lower on average than in previous years (72 percent rated satisfactory), driven in part by medium-size projects.

Seventy-nine percent of medium-size projects are rated in the satisfactory range for the quality of terminal evaluations, as compared with 84 percent for full-size projects.

The MAR 2015 tracked 11 GEF Council decisions, of which four have been deferred, and will be reported on following future detailed assessments. Of the remaining seven decisions tracked, for five the level of adoption was rated to be substantial or higher. Three of will be graduated from the MAR and addressed issues including the revitalization of the Small Grants Programme Steering Committee, improvement in greenhouse gas accounting methodologies used in GEF projects, and adoption of a robust tracking and reporting approach to ensure Agency accountability for collaboration and cooperation in the South China Sea and the East Asian Seas area. Decisions with a medium rating include the request to reduce the burden of reporting requirements of multifocal area projects based on the Annual Country Portfolio Evaluation Report 2012, and the request to the Secretariat and UNDP to continue upgrading the Small Grants Programme Country Program.

The APR 2015 has one recommendation: The GEF needs to reassess its approach to tracking tools for GEF-7 (2018–22). It should also assess the burden and utility of its biodiversity tracking tools and of other alternatives.

1: Background and main findings

1.1 Background

The Global Environment Facility (GEF) annual performance report (APR) provides a detailed overview of the performance of GEF activities and processes, key factors affecting performance, and the quality of monitoring and evaluation (M&E) systems within the GEF partnership.

In total, 1,077 projects are covered in APR 2015, representing \$4.8 billion in GEF funding and \$22.4 billion in realized cofinancing.¹ The APR 2015 cohort covers 159 recently completed projects (figure 1.1) representing \$728.3 million in GEF funding and \$3.3 billion in realized cofinancing. The cohort's terminal evaluation reports, including—where applicable—an independent review by the respective Agency evaluation office, were submitted to the GEF Independent Evaluation Office (IEO) during calendar year 2015, with a few exceptions.

As in previous years, this APR reports on project outcomes, sustainability of project outcomes, quality of project implementation and execution, trends in cofinancing, quality of project M&E systems, and quality of terminal evaluation reports. APR 2015 also features a review of the GEF focal area tracking tools.

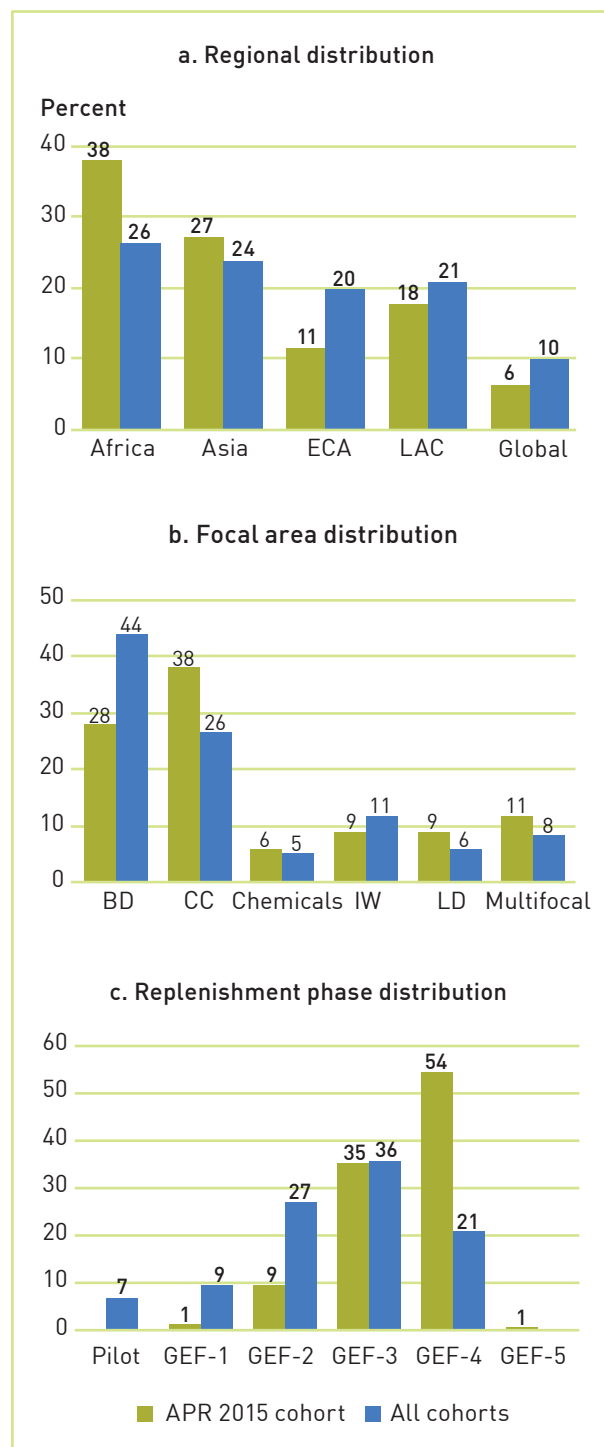
The findings are based primarily on the evidence presented in the terminal evaluation reports prepared by the GEF partner Agencies at project completion. Prior to reporting in APRs, all terminal evaluations and ratings are reviewed and validated by the GEF IEO, the independent evaluation offices of the GEF Agencies, or both.

This year's management action record (MAR) tracks 11 separate GEF Council decisions and reports on the level of adoption of 7 of these decisions. The tracked decisions include eight that were part of MAR 2014, and three new Council decisions based on the evaluations that were presented to the Council in 2015. The IEO has, since APR 2012, also been tracking the adoption of the decisions of the Least Developed Countries Fund and Special Climate Change Fund (LDCF/SCCF) Council. However, none of the decisions from the LDCF/SCCF Council are tracked in MAR 2015 because the one decision that was tracked in MAR 2014 was graduated due to significant adoption, and no new decision from the LDCF/SCCF Council was eligible for inclusion. Tracking and reporting will resume when a decision of the LDCF/SCCF Council meets the criteria for inclusion. MARs are published on the IEO website.²

¹ This excludes GEF funding for project development activities. Data on realized cofinancing are available for 905 completed GEF projects.

² <http://www.gefio.org>.

FIGURE 1.1 Distribution of APR 2015 cohort compared to all cohorts



NOTE: APR 2015 cohort: $n = 159$; all cohorts, 2000–15: $n = 1,077$. ECA = Europe and Central Asia; LAC = Latin American and Caribbean; BD = biodiversity; CC = climate change; IW = international waters; LD = land degradation.

1.2 Findings

RESULTS

To date, 1,066 projects have been rated on overall outcome achievement, based on the extent to which project objectives were achieved; the relevance of project results to GEF strategies, goals, and country priorities; and the efficiency with which project outcomes were achieved.

Seventy-four percent of the projects in the APR 2015 cohort for which outcome ratings are available have outcome ratings in the satisfactory range, and 73 percent of GEF funding is associated with such projects. These figures are lower than the long-term averages of 81 percent of projects and 79 percent of funding in the satisfactory range for projects covered in previous APRs. Although it is difficult to account for the reasons for annual fluctuations in outcome ratings, a major reason for the slightly lower ratings for the fiscal year (FY) 2015 cohort appears to be driven by a greater proportion of projects in the Africa region.

Projects by Agencies other than the United Nations Development Programme (UNDP), United Nations Environment Programme (UNEP) and the World Bank continue to represent only a small portion of all completed projects ($n = 41$). However, a high percentage of projects in this small cohort fare well in terms of outcome ratings: 88 percent had outcomes rated in the satisfactory range (table 1.1). Joint projects covered in APR 2015 also performed well, with all three projects rated in the satisfactory range. However, ratings for jointly implemented projects are still lower on average than all projects implemented by a single agency—70 percent of 37, versus 81 percent of 1,029—but this difference is not statistically significant.

TABLE 1.1 Percentage of projects with satisfactory outcome ratings by Agency, region, and focal area

Characteristic		APR 2015 cohort		All other cohorts	
Agency	UNDP	77	(69)	83	(408)
	UNEP	87	(15)	87	(119)
	World Bank	67	(60)	78	(317)
	Other Agencies	70	(10)	94	(31)
	Joint implementation	100	(3)	68	(34)
Region	Africa	63	(59)	76	(220)
	Asia	81	(43)	82	(211)
	Europe & Central Asia	78	(18)	83	(192)
	Latin American and the Caribbean	79	(28)	83	(192)
	Global	89	(9)	84	(94)
Focal area	Biodiversity	80	(44)	84	(423)
	Climate change	72	(60)	81	(221)
	Chemicals	78	(9)	80	(44)
	International waters	58	(12)	76	(107)
	Land degradation	73	(15)	78	(46)
	Multifocal	76	(17)	81	(68)
Replenishment period	Pilot	0	(0)	73	(70)
	GEF-1	50	(2)	80	(100)
	GEF-2	64	(14)	79	(273)
	GEF-3	60	(55)	84	(326)
	GEF-4	85	(85)	85	(136)
	GEF-5	100	(1)	100	(4)
All rated projects		74	(157)	81	(909)

NOTE: Numbers of rated projects are shown in parentheses.

There are differences among the Agencies in terms of the percentage of projects rated in the satisfactory range. For example, within the World Bank portfolio of completed projects covered through APRs to date, 80 percent of the stand-alone projects are rated in the satisfactory range, while only 64 percent of blended projects are so rated.³ However, the strikingly differ-

ent characteristics of the Agencies' respective project portfolios make direct comparisons less meaningful.

When all completed projects are considered, projects implemented in small island developing states (SIDS) have, on average, lower outcome ratings than other projects across all GEF replenishment periods; this difference is statistically significant at the 95 percent confidence level when controlling for project size, region,

³ Blended projects are those financed by both the GEF and the World Bank. Fully blended projects are processed as one project so that there is only one set of project documents and one decision at each stage of the project cycle. Stand-alone GEF projects are

generally not associated with any other World Bank project in terms of processing.

focal area, and other country characteristics. Medium-size projects (MSPs) have, on average, higher ratings than full-size projects (FSPs);⁴ this difference is also statistically significant at the 95 percent confidence level when focal area, region, and country characteristics are controlled for. Regional and global projects have slightly higher ratings than national projects, but the differences are not statistically significant. Differences in outcome ratings by executing agency type are also not significant.

Sixty-five percent of projects in the APR 2015 cohort have sustainability of outcomes rated as moderately likely or higher, and 69 percent of the funding is in such projects. These percentages are higher than the long-term average; however, the difference is not statistically significant. To date, 1,021 projects have been rated on overall sustainability, based on perceived risks to sustainability of project outcomes.

An increase in sustainability ratings of moderately likely or higher is noted when examining sustainability ratings by GEF replenishment period, with a pronounced increase in GEF-4.

PROCESS

Implementation and execution

Quality of implementation ratings are relatively unchanged, but quality of execution ratings are lower in the APR 2015 cohort. In this cohort, 75 percent of all projects rated on quality of

implementation were rated in the satisfactory range ($n = 143$). Seventy-two percent of all projects rated on quality of execution were rated in the satisfactory range ($n = 144$). While APR 2015 cohort ratings for quality of implementation are largely in line with the overall average of 77 percent (869), quality of execution ratings are lower than the average for all projects (81 percent of 878 projects). For both quality of implementation and execution, ratings have risen steadily for projects approved in the pilot phase through GEF-4.⁵

The percentage of UNEP-implemented projects receiving implementation ratings in the satisfactory range was 88 percent ($n = 106$). Quality of implementation ratings for World Bank projects declined in GEF-3, but showed improvement in GEF-4 based on the projects rated to date for that period (28). Meanwhile, 79 percent of UNDP projects ($n = 398$) and 80 percent of rated projects for other Agencies were rated in the satisfactory range ($n = 40$); this includes projects implemented by the Asian Development Bank, the Food and Agriculture Organization of the United Nations, the Inter-American Development Bank, the International Fund for Agricultural Development (IFAD), and the United Nations Industrial Development Organization (UNIDO).

Sixty percent of jointly implemented projects that were rated for quality of implementation ($n = 35$) were in the satisfactory range. This percentage is substantially lower than for projects implemented by a single agency. Although the jointly implemented projects from GEF-3 and GEF-4 together have tended to have higher ratings, the number of

⁴ The GEF classifies projects based on the size of the associated GEF grant; whether GEF funding supports country activities related to the conventions on biodiversity, climate change, and persistent organic pollutants; and implementation approach. These categories are FSPs, MSPs, enabling activities, and programmatic approaches. For a complete description, see www.thegef.org/gef/project_types.

⁵ The GEF replenishment periods are: pilot phase (1990–94), GEF-1 (1995–98), GEF-2 (1999–2002), GEF-3 (2003–06), GEF-4 (2006–10), GEF-5 (2010–14), and GEF-6 (2014–18). The GEF fiscal year runs from July 1 to June 30.

observations are too small for conclusions to be drawn (83 percent; $n = 18$).

Project execution ratings are lower for projects implemented in Africa compared to other regions (72 percent versus 84 percent), as are ratings for projects implemented in SIDS (72 percent compared to 82 percent for all other projects).

Cofinancing

For the APR 2015 cohort, cofinancing requirements were fully met in 54 percent of the projects, with an average cofinancing ratio of 5.6. To date, information on promised cofinancing is available for all 1,077 projects covered in APR 2015, while information on realized cofinancing is available for 905 projects. For the APR 2015 cohort, information on promised cofinancing is available for all 159 projects, and data on realized cofinancing are available for 123 projects.

For the FY 2015 cohort, promised cofinancing materialized fully in 54 percent of GEF projects; the total realized at the portfolio level was 136 percent. While the percentage of APR 2015 cohort projects for which at least 100 percent of cofinancing was realized is slightly lower than for all projects (59 percent of 894), total cofinancing at the portfolio level is higher than the average for all projects (122 percent).

Average ratios of cofinancing to GEF grant at appraisal for the APR 2015 cohort were high, at 4.6 ($n = 159$), compared to 3.2 for all projects ($n = 1,077$). Similarly, the average ratios of realized cofinancing to GEF grant were higher in the APR 2015 cohort: 5.6 ($n = 123$) compared to 4.5 for all projects ($n = 905$). In general, average ratios of GEF grant at appraisal have risen steadily since GEF-1, from 2.0 ($n = 102$) to 3.7 in GEF-4 ($n = 223$). Both promised and realized median cofinancing ratios have continued to rise over the GEF replenishment periods as well. Although actual

cofinancing information is not available for all projects, the median project ratio of promised cofinancing to GEF grant and median project ratio of realized cofinancing to GEF grant are both 1.6.

When all projects are considered, an increasing percentage of projects have fulfilled or exceeded their original cofinancing commitments, rising from 48 percent of GEF-1 projects realizing 100 percent or more of promised cofinancing, to 66 percent of completed GEF-4 projects. Similarly, 75 percent of completed GEF-4 projects realized 90 percent or more of their cofinancing, compared with 55 percent of GEF-1 projects.

Monitoring and evaluation

Of the projects of the APR 2015 cohort, 55 percent were rated in the satisfactory range for M&E design and 52 percent for M&E during implementation. To date, ratings on M&E design and M&E implementation are available for 1,004 and 908 projects, respectively. This includes the APR 2015 cohort, where ratings on M&E design and M&E implementation are available for 157 and 145 projects, respectively.

Fifty-five percent of projects in the APR 2015 cohort, and 59 percent of all projects for which ratings are available, are rated in the satisfactory range for M&E design. From the pilot phase to GEF-4, there has been a steady trend of improvement in quality of M&E design ratings. Seventy percent of the GEF-4 projects that are rated ($n = 220$) are in satisfactory range for quality of M&E design.

Fifty-two percent of projects in the APR 2015 cohort, and 62 percent of all projects for which ratings are available, are rated in the satisfactory range for M&E implementation. Although ratings on M&E implementation have risen over time—from 42 percent of projects in the pilot phase ($n = 38$) to 67 percent of projects in GEF-4

($n = 208$)—much of the increase was between the pilot phase and GEF-1 (from 42 percent to 62 percent).

Ratings on M&E implementation have improved considerably since pilot phase, although improvements in ratings from GEF-1 onwards are incremental. While improvements in M&E ratings are positive, the finding that around 30 percent of completed GEF-4 projects have unsatisfactory M&E design and implementation ratings indicates that a sizable gap still exists between M&E expectations and practice.

Treatment of M&E at the program level varies widely, as was found through a survey of 38 programs, representing the portfolio of programs approved since publication of the 2008 GEF Council document introducing guidelines on future programmatic approaches and a procedure for developing programs using the Program Framework Document (PFD) template. The survey found that while 92 percent of programs provide at least some information on M&E at the program level, relatively few provide information on overall program budget for M&E (31 percent) and program-level indicators (26 percent). Treatment of M&E at the project level appears more uniform in making provisions for reporting.

Tracking tools

Compared to GEF-5, the focal area tracking tools for GEF-6 are leaner and better aligned with the focal area results framework indicators. Significant progress has been made in meeting the recommendation made in the Fifth Overall Performance Study (OPS5) that the tracking tools be simplified and the reporting burden on Agencies reduced. The number of data fields Agencies are required to fill in tracking tools has dropped by 33 percent (from 1,504 to 1,009). When taking into account the fact that during GEF-6, there has been a net increase in the number of programs

and activities supported by the GEF, and considering the change in reporting burden only for tracking results of activities common to GEF-5 and GEF-6, the number of data fields has been reduced by 44 percent.

There is some variation in the extent to which tracking tools have been streamlined across the focal areas. The number of data fields in tracking tools for the climate change mitigation, land degradation, and sustainable forest management focal areas was slashed by more than half. Although tracking tools for the biodiversity focal area have also been streamlined, they still account for the most number of data fields.

The Management Effectiveness Tracking Tool (METT), which is embedded in the biodiversity tool and tracks results on projects focused on protected area management, has been substantially streamlined. However, the financial sustainability-related data fields—which account for more than half of the tool's fields—have not been streamlined. Together with the requirement to prepare a METT assessment for each protected area covered by a project, tracking tool reporting requirements in the biodiversity focal area remain high for projects that focus on protected areas. For other biodiversity focal area programs, the relevant sections of the tracking tools have been sufficiently streamlined. The biodiversity focal area team reports that the tracking tools have been serving the GEF well in terms of meeting its information needs. At the same time, several GEF partner Agencies noted the high burden these tracking tools impose on them.

Tracking tool reporting requirements for multifocal area projects continue to present challenges. Agencies are required to prepare tracking tools for all the focal areas that support a given multifocal area project. Although the reporting burden for multifocal areas has been somewhat

reduced due to the reduction in the number of data fields in the GEF-6 tracking tools, this reduction is limited given that Agencies are still required to prepare tracking tools for all relevant focal areas.

For integrated approach pilots (IAPs), customized tracking tools that draw from the relevant indicators and data fields of the tracking tool for given focal areas covered by the IAP are being used to track results. Though this is likely to make it easier for Agencies to use and report on tools, it may create a challenge in aggregating information.

A major step toward streamlined, consistent reporting on results is incorporation of corporate results indicators in the project identification form (PIF; specifically Table F) and the Chief Executive Officer (CEO) endorsement/approval templates (Table E) for GEF-6. This has ensured that project proponents link their projects to corporate targets at the project preparation stage; it will also allow for aggregation.

The GEF Secretariat does not have a robust system in place to track submission of completed tracking tools at midterm and project completion. Analysis of the annual monitoring review (AMR) data set indicates significant gaps in submission by the GEF Agencies. Verification of these gaps indicates that, in recent years, at least part of the problem is related to retrieval, storage, and management of tracking tools by the Secretariat. Recent measures by the results-based management (RBM) team—including an internal review to assess gaps in tracking tool submission and the development of a dashboard to facilitate tracking of project implementation progress and tracking tools submission—should, if well implemented, help improve compliance with tracking tool submission requirements.

Quality of terminal evaluations

Ratings for quality of terminal evaluations in the APR 2015 cohort were lower on average than past years, driven partly by MSPs. To date, ratings on quality of terminal evaluations are available for 1,067 projects, including 158 of the 159 projects in the APR 2015 cohort. The quality of 72 percent of terminal evaluations covered as part of the APR 2015 cohort is rated in the satisfactory range. Though this is lower than the ratings for all terminal evaluations covered so far, the drop is partly explained by a number of MSPs included in the cohort for which terminal evaluation quality was lower.

Differences between the ratings for MSPs, and FSPs remain, with 79 percent of MSPs for which ratings are available (413) rated in the satisfactory range for quality of terminal evaluation, and 84 percent of FSPs for which ratings are available (654) similarly rated.

Management action record

MAR 2015 tracked 11 GEF Council decisions, of which 4 have been deferred and will be reported on following future detailed assessment. Of the remaining seven decisions tracked, the level of adoption was rated to be substantial or higher for five. For the remaining two, the level of adoption was rated as medium. For six of the seven decisions tracked, the ratings provided by GEF management and the GEF IEO matched.

Three of the five decisions that received a rating of substantial or high adoption will be graduated from the MAR, including one decision that received a high rating and two that received substantial ratings for adoption. The graduated decisions addressed issues including the revitalization of the Small Grants Programme (SGP) Steering Committee, improvement in greenhouse gas (GHG) accounting methodologies used in GEF

projects, and adoption of a robust tracking and reporting approach to ensure Agency accountability for collaboration and cooperation in the South China Sea and the East Asian Seas area.

Four decisions—two whose adoption was rated substantial and two rated medium—continue to be relevant and will be reported on in future. The first decision that received a rating of medium was a request to reduce the burden of reporting requirements of multifocal area projects based on the 2012 Annual Country Portfolio Evaluation Report. Though the reporting burden has been somewhat reduced for multifocal area projects, it is still significantly higher than for single focal area projects (see [chapter 5](#) for details). The second decision on which the level of adoption was rated medium asked the Secretariat and UNDP to continue upgrading the SGP Country Program, based on the recommendations of the Semi-Annual Evaluation Report of June 2015. As further progress is needed in building on the strengths and addressing the weaknesses identified in the evaluation, the level of adoption is rated as medium.

Performance matrix

The performance matrix provides a summary of the performance of the GEF Agencies on six parameters, including results, quality of implementation, cofinancing, efficiency, and M&E. Some of the parameters included in the performance matrix, such as outcome ratings and cofinancing, are also covered elsewhere in the APR, while some are only reported on in the matrix. Values presented in the performance matrix are a four-year moving average. This year includes completed projects covered for the first time in APRs 2012 through 2015 for all parameters except quality of terminal evaluations; for that parameter, values are a four-year average for terminal evaluations completed in years 2012–15.

The performance matrix is presented in table 1.2 and in [chapter 8](#).

1.3 Recommendation

The GEF needs to reassess its approach to tracking tools for GEF-7 (2018–22). It should also assess the burden and utility of its biodiversity tracking tools and other alternatives.

The GEF has made significant progress in streamlining its tracking tools for GEF-6, and most of the focal area tracking tools have been streamlined. However, even after streamlining, the total number of indicators tracked at the GEF portfolio level remains high. Progress on streamlining reporting for multifocal area projects has been limited to changes made on the individual focal area tools. The GEF needs to reassess its approach to tracking tools for GEF-7 with a greater focus on tracking indicators needed to demonstrate results.

The number of indicators tracked through the biodiversity tracking tools remains high and poses an excessive burden on the partner Agencies. In particular, the tool to assess financial sustainability provides further opportunities for streamlining. Even so, the overall burden of the biodiversity tracking tools is likely to remain high. Therefore, when developing its approach for GEF-7, the Secretariat should assess the extent to which the burden imposed by these tracking tools is justified by their utility. The Secretariat should also consider alternatives—such as the geographic information system (GIS) and remote sensing based approach—to monitor changes in biodiversity conditions, and assess the extent and manner in which they could be used in monitoring results in the focal area. If the present approach of tracking tools is assessed to be optimal based on the burden-utility review, providing support to the GEF Agencies through better technical

TABLE 1.2 Performance matrix

Parameter	UNDP	UNEP	World Bank	IFAD	UNIDO	Other ^a	Overall GEF
Results							
1. % of projects with overall outcome ratings of moderately satisfactory or higher	83 (258)	87 (63)	68 (70)	80 (10)	85 (13)	80 (35)	79 (549)
Factors affecting results							
2. Quality of implementation: % of projects rated moderately satisfactory or higher	83 (244)	90 (63)	65 (159)	80 (10)	75 (12)	74 (34)	78 (522)
Reported cofinancing ^b							
3a. Reported materialization of total cofinancing to total GEF funding	8.4 (215)	2.5 (61)	9.0 (134)	3.0 (8)	7.9 (12)	2.3 (30)	7.6 (460)
3b. Reported materialization of cofinancing to GEF funding—median project value	2.2 (215)	1.2 (61)	2.7 (134)	2.8 (8)	2.1 (12)	1.4 (30)	2.1 (460)
3c. Reported materialization of cofinancing as % of total promised cofinancing	215 (215)	84 (61)	110 (134)	107 (8)	113 (12)	71 (30)	128 (460)
Efficiency							
4. % of completed projects that require extensions of < 2 years ^c	13 (258)	13 (63)	14 (169)	0 (10)	0 (11)	26 (31)	13 (542)
Quality of M&E							
5. % of projects with M&E implementation ratings of moderately satisfactory or above	70 (251)	70 (64)	43 (151)	40 (10)	62 (13)	60 (30)	61 (519)
6. % of terminal evaluations rated moderately satisfactory or above	79 (219)	100 (49)	81 (122)	70 (10)	67 (12)	84 (19)	82 (431)

NOTE: All data are for APR years 2012–15, except for Parameter 6, which covers terminal evaluation report completion years 2012–15. Numbers of rated projects are shown in parentheses.

a. Other includes Asian Development Bank, Food and Agriculture Organization of the United Nations, Inter-American Development Bank, and joint projects.

b. Ratios include only projects for which data on realized cofinancing are available.

c. Only includes projects for which actual and expected project completion dates are available.

support and/or increased support in the preparation of tracking tools in project M&E budgets should be considered.

1.4 Issues for the future

As terminal evaluations for programs become available, treatment of the evaluations for programs and their child projects will require a

different approach to avoid double counting. For APR 2015, three program-level terminal evaluations were received; these were considered [separately](#) from the other projects included in APR coverage. The GEF IEO will need to develop an approach to report on program-level evaluations in future APRs.

2: Scope and methodology

2.1 Performance and effectiveness of completed projects and programs

The GEF GEF Independent Evaluation Office's annual performance report brings together detailed findings from the portfolio of completed GEF projects, as well as analysis of some key factors affecting performance.

APR 2015 includes the following:

- **An overview of the extent to which GEF projects and funding are achieving desired outcomes, and the sustainability of these outcomes** ([chapter 3](#)). The assessment covers completed projects for which ratings on overall project outcomes are available, as well as ratings on the sustainability of project outcomes. This year, the discussion also takes stock of the extent to which projects approved under the programmatic approach are being reported on through terminal evaluations.
- **Analysis of factors affecting project outcomes** ([chapter 4](#)). Factors covered include quality of project implementation and execution, trends in cofinancing of GEF projects, and quality of M&E systems.
- **Analysis of GEF tracking tools** ([chapter 5](#)). The assessment details the extent to which focal area tracking tools—including those for multifocal projects—have been streamlined for GEF-6, arrangements for collecting and

managing information gathered through the tracking tools, and utilization of information gathered through tracking tools.

- **Quality of terminal evaluation reports** ([chapter 6](#)). This assessment looks at the quality of the terminal evaluation reports submitted by the GEF Agencies to the IEO. Trends in overall quality of reporting, as well as trends in reporting along individual performance dimensions, are presented, based on the year in which terminal evaluation reports were completed.
- **Presentation of the management action record** ([chapter 7](#)). The MAR assesses the degree to which relevant GEF Council decisions based on IEO recommendations have been adopted by GEF management.
- **Performance matrix** ([chapter 8](#)). The performance matrix provides a summary of GEF Agency performance on key indicators. Eight indicators are tracked in the matrix included in APR 2015.

2.2 Projects covered for the first time in APR 2015

This report is primarily based on evidence provided in the terminal evaluations of 1,077 completed GEF projects, representing \$4.8 billion in GEF funding and \$22.4 billion in realized cofinancing. This includes the APR 2015 cohort

of 159 recently completed projects, representing \$728 million in GEF funding and \$3.3 billion in realized cofinancing. The terminal evaluation reports, including—where applicable—an independent review by the respective Agency evaluation office, for the APR 2015 cohort of 159 projects were submitted to the IEO mainly during the period January 1–December 31, 2015.

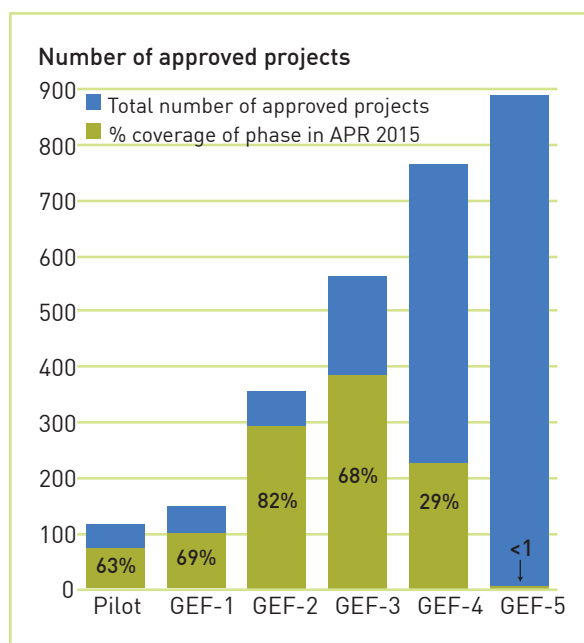
The terminal evaluation reports for each of the projects covered in this APR have undergone a subsequent independent review, by either the IEO or the independent evaluation offices of UNDP or UNEP, or the World Bank's Independent Evaluation Group (IEG). Table 2.1 presents an overview of the 159 projects covered for the first time in APR 2015. Projects are characterized in terms of focal area and regional composition,¹ GEF Agency representation, and GEF replenishment period. A complete list of the 159 projects covered for the first time in APR 2015 is found in [annex A](#).

In addition to these 159 projects, three programs are also covered for the first time; these are discussed in [section 3.4](#).

2.3 Coverage of GEF replenishment periods

Coverage of GEF replenishment periods in GEF APRs—that is, the percentage of approved projects from each GEF replenishment period that have been reviewed, and performance ratings included among those presented in the APR—is, to date, incomplete for all GEF phases (GEF IEO 2015a). Figure 2.1 shows the percentage coverage of GEF replenishment periods to date in APR 2015. Each bar indicates the total number of projects meeting the threshold for APR review (see [section 2.4](#)). Coverage of GEF-2 is highest, at

FIGURE 2.1 Percentage of approved projects covered in GEF annual performance Reports to date



NOTE: Excludes enabling activities of \$500,000 or less and SGP projects.

82 percent, a 5 percent increase from last year's coverage. GEF-1 coverage follows at 69 percent, then GEF-3 at 68 percent; 63 percent of all pilot phase projects are covered. Coverage of GEF-3 and GEF-4 projects have increased by 10 percent and 11 percent, respectively, this year, although GEF-4 coverage remains comparatively low at 29 percent. Only 5 projects from the GEF-5 phase are covered in APR 2015. Incomplete coverage, particularly of the more recent phases, counters the robustness of any early conclusions based on performance data from this set of cohorts.

2.4 Methodology

Reporting on project outcomes and sustainability, factors affecting outcomes, and quality of terminal evaluations (in chapters 3, 4, and 5, respectively) is based on analysis of information provided in terminal evaluations that have been

¹For a description of the GEF regions used in this report, see [annex C](#).

TABLE 2.1 Composition of the APR 2005–14 and 2015 APR cohorts, and all cohorts to date

Criterion	All cohorts, excl. APR 2015			APR 2015 cohort			All cohorts		
	No. of projects	Funding (mil. \$)	Funding (%)	No. of projects	Funding (mil. \$)	Funding (%)	No. of projects	Funding (mil. \$)	Funding (%)
Focal area									
Biodiversity	427	1,709.8	42	44	166.8	23	471	1,876.5	39
Chemicals ^a	44	200.5	5	9	35.4	5	53	235.8	5
Climate change	224	1,112.8	27	60	340.6	47	284	1,453.4	30
Int'l waters	107	716.5	18	14	64.4	9	121	780.9	16
Land degradation	46	115.8	3	15	39	5	61	154.8	3
Multifocal	70	211.6	5	17	82.2	11	87	293.8	6
Region									
Africa	222	1,034.4	25	60	215.9	30	282	1,250.3	26
Asia	213	1,103.6	27	43	266.8	37	256	1,370.4	29
ECA	193	684.7	17	18	57.8	8	211	742.5	15
LAC	195	881.1	22	28	111.4	15	223	992.5	21
Global	95	363.2	9	10	76.4	10	105	439.6	9
GEF Agency									
UNDP	412	1,296.1	32	69	203.4	28	481	1,499.6	31
UNEP	120	318.7	8	16	32.4	4	136	351.1	7
World Bank	321	2,077.1	51	61	406.0	56	382	2,483.1	52
Other	31	95.9	2	10	20.2	3	41	116.2	2
Joint	34	279.2	7	3	66.1	9	37	345.4	7
GEF phase									
Pilot	72	451.7	11	n.a.	n.a.	n.a.	72	451.7	9
GEF-1	100	803.4	20	2	18.8	3	102	822.2	17
GEF-2	278	1,292.3	32	14	52.9	7	292	1,345.2	28
GEF-3	327	1,259.5	31	56	394	54	383	1,653.5	34
GEF-4	137	256.5	6	86	261.6	36	223	518.1	11
GEF-5	4	3.6	< 1	1	1	< 1	5	4.6	< 1
Total	918	4,067.0	100	159	728.3	100	1,077	4,795.3	100

NOTE: ECA = Europe and Central Asia; LAC = Latin America and the Caribbean; n.a. = not applicable. Funding does not include project preparation grants.

a. The chemicals focal area consists of projects in the persistent organic pollutants focal area and the ozone layer depletion focal area; beginning in GEF-4, these have been grouped together in a single GEF focal area.

first reviewed by the IEO and/or the evaluation offices of GEF partner Agencies. GEF activities under the SGP, as well as enabling activities with GEF funding of less than \$0.5 million, are not required to prepare terminal evaluations, and are

not included in this report. Among the 1,077 projects covered in APR 2015 are 5 enabling activities meeting the threshold for review. For analysis, these have been grouped with FSPs based on the amount of associated GEF funding.

All of the terminal evaluations used for analysis and reporting in APRs are first reviewed to verify that ratings are properly substantiated and, where needed, to revise or include additional ratings (such as for quality of terminal evaluations). For earlier APR years, this oversight was performed entirely by the IEO. Beginning in 2009, the IEO began accepting ratings from the independent evaluation offices of the World Bank Group, UNEP, and subsequently UNDP. This approach, which reduces duplicative work, follows the IEO finding that ratings from these three evaluation offices are largely consistent with those it provides (GEF IEO 2009b). The IEO will consider accepting the ratings provided by the evaluation offices of the other GEF Agencies in the future, once enough ratings are available to compare consistency. If, over the course of time, significant inconsistencies emerge in the ratings provided by the IEO and those from Agency evaluation offices whose ratings are currently accepted by the Office for publication, the IEO may stop accepting these ratings until the inconsistencies are addressed.

Where differences between groups are reported as statistically significant, regression analysis was used to determine the statistical significance of differences between groups, controlling for relevant factors when possible.

RATINGS APPROACH

The principal dimensions of project performance on which ratings are first provided in terminal evaluations, and in subsequent IEO or GEF partner Agency evaluation office reviews of terminal evaluations, are described here in brief and in full in [annex B](#):

- **Project outcomes.** Projects are evaluated on the extent to which project objectives, as stated in the project design documents approved or

endorsed by the GEF CEO,² were achieved or are expected to be achieved; the relevance of project results to GEF strategies and goals and country priorities; and the efficiency, including cost-effectiveness, with which project outcomes and impacts were achieved. A six-point rating, from highly satisfactory to highly unsatisfactory, is assigned.

- **Sustainability of project outcomes.** Projects are evaluated on the likelihood that project benefits will continue after project implementation. To arrive at an overall sustainability rating, project evaluators are asked to identify and assess key risks to sustainability of project benefits, including financial risks, sociopolitical risks, institutional/governance risks, and environmental risks. A four-point rating, from likely to be sustained to unlikely to be sustained, is assigned.
- **Quality of implementation and quality of execution.** Quality of implementation primarily covers the quality of project design, as well as the quality of supervision and assistance provided by the GEF Implementing Agency to executing agencies throughout project implementation. Quality of execution primarily covers the effectiveness of the executing agency in performing its roles and responsibilities. In both instances the focus is on factors that are largely within the control of the respective implementing and executing agency. A six-point rating, from highly satisfactory to highly unsatisfactory, is assigned.
- **Quality of M&E systems.** M&E facilitates adaptive management during project implementation, and assessment of project

² All GEF FSPs require approval by the GEF Council and endorsement by the GEF CEO prior to funding, while MSPs require only GEF CEO approval to go forward.

outcomes and impacts after project completion. The quality of project M&E systems is evaluated in two ways: (1) assessment of the project's M&E design, including whether indicators used are SMART,³ whether relevant baselines are established, whether roles and responsibilities and a schedule for M&E activities are defined, and whether M&E processes are properly budgeted; and (2) the degree and quality of M&E during implementation, including its use in facilitating adaptive management. A six-point rating, from highly satisfactory to highly unsatisfactory, is assigned for quality of M&E design and quality of M&E implementation.

- **Quality of terminal evaluation reports.** Terminal evaluations—which are the primary source of information on which project performance is assessed—are assessed for quality, consistency, coverage, quality of lessons and recommendations, and the degree to which project ratings provided are properly substantiated. A six-point rating, from highly satisfactory to highly unsatisfactory, is assigned.

PROCEDURE FOR IEO REVIEW OF TERMINAL EVALUATIONS

The GEF IEO uses the following procedure in reviewing terminal evaluations prior to inclusion in the APR, as well as for oversight purposes.

Using a set of detailed guidelines to ensure that uniform criteria are applied (see [annex B](#) for these guidelines), IEO reviewers assess the degree to which project ratings provided in

terminal evaluations are properly substantiated, and address the objectives and outcomes set forth in the project design documents approved by the GEF Council and/or the GEF CEO. In the process of drafting a terminal evaluation review, a peer reviewer with substantial experience in assessing terminal evaluations provides feedback on the report. This feedback is incorporated into subsequent versions of the report.

When a primary reviewer proposes downgrading project outcome ratings from the satisfactory to the unsatisfactory range, an IEO senior evaluation officer also examines the review to ensure that the proposed rating is justified.

In cases where a terminal evaluation report provides insufficient information to make an assessment or to verify the report's ratings on any of the performance dimensions, the IEO rates the project as unable to assess, and excludes it from further analysis on the respective dimension.

Reviews are then shared with the GEF partner Agencies and, after their feedback is taken into consideration, the reviews are finalized.

SOURCE OF RATINGS REPORTED IN APR 2015

As noted above, prior to FY 2009, the GEF IEO reviewed all terminal evaluations reported on in APRs, and verified ratings provided therein. Beginning in FY 2009, the IEO began accepting ratings from the independent evaluation offices of UNEP, the World Bank Group, and subsequently UNDP. Because the procedure used by GEF partner Agencies for arriving at overall ratings in terminal evaluations is not always identical to that used by the GEF IEO, comparability of ratings from APR 2009 and later cohorts with earlier APR cohorts is of some concern.

³SMART indicators are specific; measurable; achievable and attributable; relevant and realistic; and time-bound, timely, trackable, and targeted. See GEF IEO (2010) for a complete description.

The IEO has been tracking the consistency between ratings provided by itself and partner Agency evaluation offices; this is accomplished through random sampling and review of a portion of terminal evaluations included in the APR for which ratings have been provided by Agency evaluation offices. To date, ratings provided by those offices are largely consistent with those provided by the GEF IEO. The Office will continue to track the consistency of ratings going forward.

For projects implemented by GEF Agencies other than UNDP, UNEP, and the World Bank Group, the GEF IEO currently provides final project ratings. In addition, where ratings are not provided by the UNDP, UNEP, and World Bank evaluation offices, the IEO provides final ratings. Examples of these projects include all projects under joint implementation; MSPs implemented by the World Bank Group, which the IEG does not review; and projects where independent review of terminal evaluations is not prepared within two years of terminal evaluation completion. For APR 2015, at the request of the UNDP Independent Evaluation Office, the GEF IEO has undertaken terminal evaluation reviews for all of the new terminal evaluations submitted by UNDP.

Table 2.2 lists the source of terminal evaluation review ratings used for analysis and reporting for projects in the APR 2015 cohort.

MATERIALIZATION OF COFINANCING

The reporting in [section 4.3](#) on cofinancing and materialization of cofinancing is based on information in project design documents, as well as information provided by the GEF Agencies on completed projects both through terminal evaluation and other project reports. Information on actual (realized) cofinancing is available for 905 of the 1,077 completed projects reported on in APR 2015.

TABLE 2.2 Source of terminal evaluation review ratings for projects in APR 2015 cohort

Source of ratings	No. of projects
UNDP Independent Evaluation Office	0
UNEP Evaluation Office	13
World Bank IEG	43
GEF IEO	42
ADB projects	1
FAO projects	1
IFAD projects	6
UNDP projects	69
UNEP projects	3
UNIDO projects	2
World Bank projects	18
Joint implementation projects	3
Total	159

NOTE: ADB = Asian Development Bank; FAO = Food and Agriculture Organization of the United Nations.

STUDY ON TRACKING TOOLS

The GEF has developed tracking tools to monitor results and performance at the project portfolio level. The study on tracking tools ([chapter 5](#)) addresses the following questions:

1. To what extent have the focal area tracking tools, including those for multifocal projects, been streamlined and the burden on results reporting reduced for GEF-6?
2. What arrangements are in place to gather, manage, and report on information through tracking tools?
3. To what extent are the data sets based on information gathered through tracking tools complete, accessible, and in readily usable form?
4. How is the information gathered through tracking tools being utilized?

The assessment of the extent to which tracking tools have been streamlined and the reporting burden changed (Question 1) was based on a desk review comparing the design of the tracking tools for GEF-5 and GEF-6. In addressing Question 2, the study took stock of the arrangements that are in place—at the project level, within the partner Agencies, and at the GEF Secretariat level—to gather, manage, and report on information through tracking tools. The question was addressed through interviews with the Secretariat and partner Agency staff, including project managers. Question 3 was answered through an analysis of the tracking tool availability related data set prepared by the Secretariat and a desk review of the analysis on completeness of the METTs prepared as part of the GEF IEO's Impact Evaluation of GEF Support to Protected Areas and Protected Area Systems (GEF IEO 2016). The study determined the utility of the tracking tools (Questions 4) through information gathered through interviews.

MANAGEMENT ACTION RECORD

At the request of the GEF Council, the IEO tracks the level of adoption by the relevant actors within the GEF partnership (here referred to broadly as GEF management) of GEF Council decisions that have been made on the basis of IEO recommendations. The MAR is updated annually, and reported on in the APR. To compile the MAR, the GEF IEO produces a working document containing all the relevant GEF Council decisions being tracked for the current MAR. This includes all decisions from the prior year MAR that continue to be relevant and where the level of adoption is not yet sufficient to warrant graduation. Decisions are graduated from the MAR when at least a substantial or high level of adoption has been achieved, or the decision is no longer relevant, and/or subsequent Council decisions have made it difficult

to adopt the earlier decision. For decisions that continue to be tracked, a full record of prior GEF management actions and ratings as well as IEO ratings are provided in the working document. In addition, the working document includes all relevant Council decisions that have been adopted at the GEF Council meetings in the preceding calendar year.

The MAR was first presented in APR 2005 and has since been a regular feature of the APR. Based on its experience in implementing the MAR, the IEO streamlined the process in FY 2014–15 to make it less burdensome. From FY 2014 onwards, at the start of the MAR process for a given year, the GEF IEO determines whether a decision needs to be reported on in that year's MAR. Decisions for which reporting has been deferred are listed in the APR, along with information on when and how adoption of the decision will be assessed in the future.

GEF management provides self-assessment and ratings on the level of adoption of each tracked Council decision. After management completes its self-assessment and ratings, the IEO provides its own assessment and ratings on adoption. The completed MAR is then published and reported on in the APR.

REVIEW OF FINDINGS

The draft version of this report was shared with stakeholders to check for factual errors and errors of analysis. The draft report was discussed in an interagency meeting in Washington, D.C., on May 5, 2016. Feedback from the stakeholders has been addressed in finalizing the report.

3: Outcomes and sustainability of outcomes

This chapter presents verified ratings on outcomes for completed GEF projects. Of the 159 projects in the APR 2015 cohort, outcome ratings are available for 157, representing \$721.9 million in GEF funding. To date, the GEF IEO has provided or adopted outcome ratings on 1,066 projects, which account for \$4.774 billion in GEF funding. Also presented in this chapter are ratings on sustainability of outcomes.

3.1 Ratings scale on outcomes and sustainability

Project outcomes are rated based on the extent to which project objectives were achieved, the relevance of project results to GEF strategies and goals and country priorities, and the efficiency with which project outcomes were achieved. A six-point rating scale is used to assess overall outcomes, with the following categories.

- **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.** Unable to provide an overall outcome rating.

For sustainability of project outcomes, an overall assessment on the likelihood of project benefits continuing after project closure is made. A four-point rating scale is used to assess the overall likelihood of sustainability, with the following categories.

- **Likely.** There are no risks to the sustainability of project outcomes.
- **Moderately likely.** There are moderate risks to the sustainability of project outcomes.
- **Moderately unlikely.** There are significant risks to the sustainability of project outcomes.
- **Unlikely.** There are severe risks to the sustainability of project outcomes.

3.2 Outcomes

Table 3.1 presents overall outcome ratings for the APR 2015 cohort and for all other completed projects. As shown, the percentage of projects and the percentage of funding in projects with outcome ratings in the satisfactory range in the APR 2015 cohort is 7 percent lower than for all

TABLE 3.1 Percentage distribution of GEF projects and GEF funding in projects by outcome rating, for the APR 2015 cohort and all other completed projects

Outcome rating	% of projects		% of funding	
	APR 2015 cohort	All other projects	APR 2015 cohort	All other projects
Highly satisfactory	3	4	1	3
Satisfactory	31	39	32	37
Moderately satisfactory	40	37	40	38
Moderately satisfactory or above	74	81	73	79
Moderately unsatisfactory	20	14	20	17
Unsatisfactory	6	5	6	4
Highly unsatisfactory	1	< 1	1	1
Number/funding of rated projects	157	909	\$721.9 million	\$4,052.1 million

NOTE: Details may not sum to 100 percent due to rounding.

other projects.¹ However, as has been noted in previous APR reports, the number of projects in a single-year APR cohort is too small to indicate trends. When controlling for region, country characteristics, project size, and project focal area, the difference in the number of projects rated in the satisfactory range in the APR 2015 cohort and all other projects is not statistically significant.

As reported in past APRs, implementation of projects in the Africa region have been found to be negatively correlated with outcomes. Fifty-nine out of the 157 APR 2015 projects rated on outcomes, or 38 percent of this cohort, were implemented in Africa, as was 24 percent (220 out of 909) of all other rated projects. This prevalence explains some of the difference in ratings between the APR 2015 cohort and other projects: the overall percentage of projects with satisfactory outcome ratings in the APR 2015 cohort is 81 percent when excluding those implemented in Africa. That said, it is worth noting that within

the APR 2015 cohort, there is a split on outcome ratings for projects in Africa by replenishment period, with projects that were approved in more recent replenishment periods tending to have higher ratings. In the APR 2015 cohort, 47 percent of the 32 African projects rated in GEF-2 and GEF-3 have satisfactory outcome ratings, as do 81 percent of the 27 projects rated in GEF-4. This difference is statistically significant at a 95 percent confidence level. Although the difference in ratings may be linked with improved performance, it could also be linked with the difference in time taken to completion—i.e., projects that did not face implementation challenges were completed on time, whereas those encountering problems experienced delayed completion.

Considering all completed and rated projects to date ($n = 1,066$), 80 percent of projects have—and 78 percent of GEF funding is in projects with—overall outcome ratings in the satisfactory range; this is in line with the GEF-5 replenishment target of 80 percent of completed projects receiving satisfactory outcome ratings and exceeds the GEF-4 target of 75 percent of completed projects (GEF 2006; GEF Secretariat and World Bank 2010).

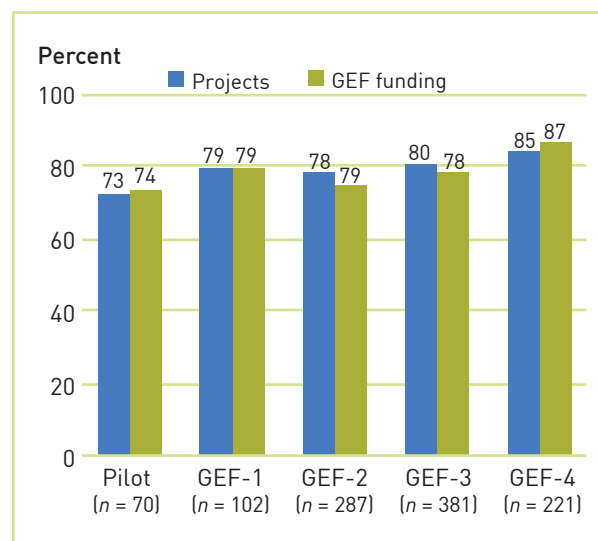
¹In accordance with standard reporting practices of the international development community, projects with outcome ratings of moderately satisfactory or higher are here referred to as having satisfactory outcome ratings.

Figure 3.1 shows overall outcome ratings by GEF replenishment period. APR 2014 undertook a retrospective increase in coverage of replenishment periods by reviewing a number of older projects, allowing for some comparison by phase. As observed in past APRs, there is a distinct increase in ratings from the pilot phase through GEF-4. Analysis of factors associated with outcome ratings, including quality of implementation, quality of M&E systems, and level of cofinancing, are discussed in [chapter 4](#). Thus, the ratings for the APR 2015 cohort are out of line with the relatively stable, slightly upward-moving, long-term trend shown in figure 3.1.

Table 3.2 shows outcome ratings for completed projects by GEF Agency and replenishment period. As noted in past APRs, trends over time from the pilot phase to GEF-4 are most consistent for UNDP, for which outcome ratings have steadily risen. Trends for the other Agencies are less consistent.

Past APRs have noted a decline in ratings in World Bank projects in GEF-3; this has become more pronounced with more complete GEF-3 coverage in APR 2015. Outcome ratings in World Bank projects rise in GEF-4, with 89 percent

FIGURE 3.1 Percentage of completed GEF projects and GEF funding in projects with outcomes rated in the satisfactory range, by GEF replenishment period



of the 35 projects reported on to date receiving outcome ratings in the satisfactory range. The percentage of World Bank projects with satisfactory range outcome ratings in APR 2015—67 percent of 60 projects—is lower than for all World Bank projects (76 percent of 377 projects). When all completed projects are pooled, the percentage of World Bank projects receiving

TABLE 3.2 Percentage of completed GEF projects with outcomes rated in the satisfactory range, by GEF Agency and replenishment period

GEF Agency	Pilot phase	GEF-1	GEF-2	GEF-3	GEF-4	APR 2015 cohort	All phases
UNDP	64 [33]	76 [41]	82 [103]	85 [165]	84 [135]	77 [69]	82 [477]
UNEP	100 [2]	100 [6]	80 [40]	91 [57]	85 [26]	87 [15]	87 [134]
World Bank	80 [35]	81 [47]	78 [132]	67 [128]	89 [35]	67 [60]	76 [377]
Other	0 [0]	0 [0]	100 [2]	94 [16]	81 [21]	70 [10]	88 [41]
Joint	n.a.	75 [8]	40 [10]	87 [15]	75 [4]	100 [3]	70 [37]
All projects	73 [70]	79 [102]	78 [287]	81 [381]	85 [221]	74 [157]	80 [1,066]

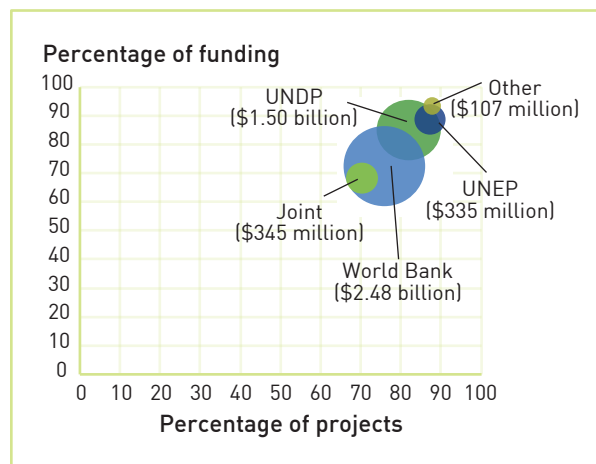
NOTE: n.a. = not applicable. Numbers of rated projects are shown in parentheses. Details may not sum to 100 percent due to rounding. All phases includes five projects from GEF-5.

satisfactory outcome ratings is lower than for all other Agencies.² This difference is significant at a 95 percent confidence level, when region, country characteristics, and focal area are controlled for. A distinct pattern exists within the World Bank portfolio. Of the completed World Bank projects covered in APRs to date, 80 percent of the stand-alone projects have been rated in the satisfactory range compared to only 64 percent of blended projects. The reasons for this difference need further study.

UNEP's ratings for projects in the APR 2015 cohort are in line with the Agency's overall average, with 87 percent of its projects rated in the satisfactory range for both this year's cohort and overall. UNEP's ratings are on average higher than for projects implemented by other Agencies, 79 percent of projects implemented singly or jointly by all other GEF Agencies were rated in the satisfactory range. This difference is significant when region, country characteristics, project size, and focal area are controlled for.

Figure 3.2 shows the percentage of GEF projects and GEF funding in projects with outcome ratings in the satisfactory range by GEF Agency for projects from all phases. The size of each Agency's "bubble" represents total GEF funding in rated projects for that Agency. The figure shows that, when all rated projects are included, Agencies are relatively close in terms of the percentages of their projects with outcomes rated as

FIGURE 3.2 Percentage of completed GEF projects and GEF funding in projects with outcomes rated in the satisfactory range, by GEF Agency



NOTE: Total GEF funding for each Agency's rated projects is shown in parentheses.

moderately satisfactory or higher. The figure also makes clear the fact that other Agencies—which so far implement a small portion of all completed projects in terms of total GEF funding in completed projects—are performing well compared to the GEF's original three Implementing Agencies—UNDP, UNEP, and the World Bank. The percentage of ratings in the satisfactory range for other Agencies in the APR 2015 cohort is 70 percent; however, given the relatively small number of observations (10 projects), it is difficult to draw strong inferences for the group. Additionally, the difference between ratings for other Agencies in the APR 2015 cohort compared to their representation in all other cohorts is not statistically significant.

Ratings for jointly implemented projects are on average lower than for those implemented by a single Agency—70 percent (of 37 projects) versus 81 percent (of 1,029 projects)—but this difference is not statistically significant. The three projects under joint implementation included in APR 2015

²As noted in the methodology section ([section 2.4](#)), the IEO reviews a sample of projects submitted by agencies every year to insure consistency in IEO ratings and Agency ratings. Of the 27 World Bank projects which have been sampled since World Bank ratings were first accepted in APR 2009, IEO reviews have been consistent in terms of rating projects in the Satisfactory range in all but two cases, in which an IEG review rated the project in the unsatisfactory range, while IEO review placed the project in the satisfactory range.

cohort were all rated in the satisfactory range on project outcomes. Many different factors contribute to these rating differences, including the types of projects and country characteristics within each Agency cohort, as well as differences

between joint and non-jointly implemented projects. Thus, caution is advised in drawing conclusions when comparing ratings.

Table 3.3 presents overall outcome ratings for completed projects by various groupings. When

TABLE 3.3 Percentage of completed GEF projects with outcomes rated in the satisfactory range, by various project characteristics and GEF replenishment period

Characteristic		Pilot	GEF-1	GEF-2	GEF-3	GEF-4	All phases
Focal area/ trust fund	Biodiversity	75 (44)	82 (57)	81 (144)	84 (153)	91 (68)	83 (467)
	Chemicals	n.a.	60 (5)	82 (11)	77 (13)	83 (23)	79 (53)
	Climate change	61 (18)	76 (29)	77 (81)	82 (94)	83 (58)	79 (281)
	International waters	88 (8)	80 (10)	72 (36)	68 (40)	80 (25)	74 (119)
	Land degradation	n.a.	n.a.	n.a.	78 (40)	75 (20)	77 (61)
	Multifocal	n.a.	100 (1)	73 (15)	78 (41)	85 (27)	80 (85)
	LCDF/SCCF	n.a.	n.a.	n.a.	100 (6)	89 (18)	92 (24)
Region	Africa	75 (24)	79 (28)	70 (63)	69 (108)	80 (55)	73 (279)
	Asia	63 (19)	85 (27)	81 (70)	83 (81)	88 (57)	82 (254)
	EAC	75 (8)	72 (18)	77 (52)	84 (81)	92 (51)	83 (210)
	LAC	75 (16)	83 (18)	81 (80)	85 (73)	82 (33)	82 (220)
	Global	100 (3)	73 (11)	86 (22)	89 (38)	76 (25)	84 (103)
Country type ^a	Fragile state	46 (13)	75 (20)	70 (30)	79 (48)	68 (22)	72 (134)
	SIDS	60 (10)	67 (6)	75 (20)	67 (30)	70 (20)	69 (86)
	LDC	56 (18)	85 (26)	70 (54)	71 (84)	81 (54)	74 (237)
	Landlocked	67 (15)	77 (22)	74 (53)	79 (96)	91 (56)	80 (242)
Size	FSPb	73 (70)	79 (94)	76 (161)	78 (243)	84 (85)	78 (653)
	MSP	n.a.	88 (8)	82 (126)	84 (138)	85 (136)	84 (413)
Scope	National	72 (58)	80 (74)	78 (218)	78 (269)	85 (163)	80 (783)
	Regional	67 (9)	82 (17)	74 (47)	84 (74)	85 (34)	81 (181)
	Global	100 (3)	73 (11)	86 (22)	89 (38)	79 (24)	85 (102)
Executing agency	Government/parastatal	73 (49)	81 (74)	79 (150)	76 (227)	86 (146)	80 (647)
	NGO/foundation	57 (7)	100 (4)	78 (74)	92 (62)	92 (26)	85 (175)
	Bilateral/multilateral	85 (13)	71 (24)	77 (53)	84 (82)	77 (35)	80 (208)
	Other, including private sector organizations	0 (1)	0 (0)	70 (10)	70 (10)	79 (14)	72 (36)
All projects		73 (70)	79 (102)	78 (287)	80 (381)	85 (221)	80 (1,066)

NOTE: n.a. = not applicable; ECA = Europe and Central Asia; LAC = Latin America and the Caribbean; NGO = nongovernmental organization. Numbers of rated projects are shown in parentheses. Details may not sum to 100 percent due to rounding. All phases includes five projects from GEF-5. The chemicals focal area consists of projects in the persistent organic pollutants focal area and the ozone layer depletion focal area; beginning in GEF-4, these have been grouped together in a single GEF focal area.

a. Country types are not mutually exclusive. Note that if a regional or global project has at least one participating country that is included in one of these country type categories, the project has been tabulated here as being of that country type.

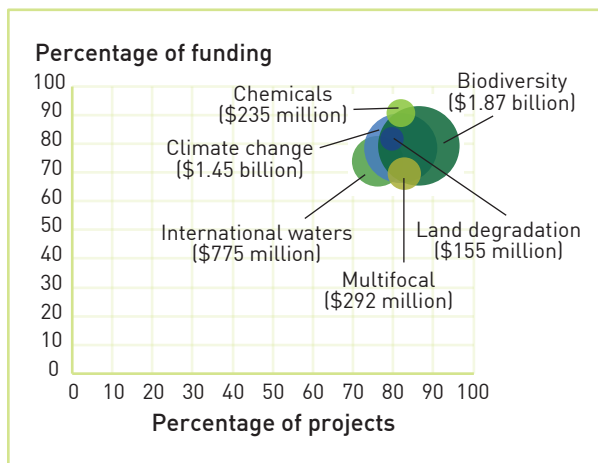
b. FSPs include five enabling activities.

examining all phases, the international waters focal area has lower than average ratings compared to the other focal areas; however, this difference is not statistically significant when controlling for region, country type, and project size. Conversely, biodiversity has higher than average ratings. This difference is statistically significant at a 95 percent confidence level when controlling for the above-mentioned characteristics.

Differences in outcome ratings by focal area are shown in figure 3.3. This figure highlights the fact that although there are significant differences in ratings by focal area, the ratings are all essentially in the same “ballpark.”

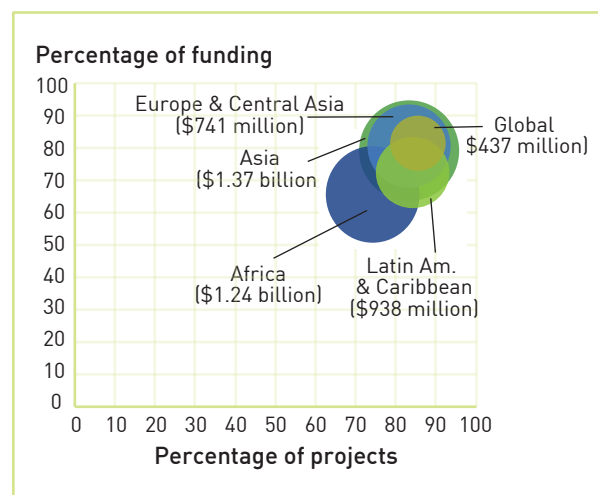
Regionally, projects implemented in Africa have lower ratings on average than other regions when all phases are considered; this difference is statistically significant at a 95 percent confidence level when project size, country type, and focal area are controlled for. This finding is highlighted in figure 3.4. The GEF IEO has completed country portfolio evaluations (CPEs) for

FIGURE 3.3 Percentage of completed GEF projects and GEF funding in projects with outcomes rated in the satisfactory range, by focal area



NOTE: Total GEF funding for each focal area's rated projects is shown in parentheses.

FIGURE 3.4 Percentage of completed GEF projects and GEF funding in projects with outcomes rated in the satisfactory range, by region



NOTE: Total GEF funding for each region's rated projects is shown in parentheses.

seven African countries. These evaluations shed light on some of challenges faced in the region that affect project outcomes. Of the seven CPEs conducted to date in Africa, five noted institutional coordination as a challenge or area with room for improvement. In Tanzania, inadequate institutional coordination among stakeholders was noted as an underlying reason for adverse environmental trends (GEF IEO 2014d). One of the conclusions of that CPE was that mechanisms for networking among GEF Agencies, national institutions, and GEF projects exist, but have not been fully effective in creating synergies in GEF project programming. In the case of Eritrea, although more synergies were visible at the regional level, the CPE noted that “synergies and coordination in programming and implementation among GEF Agencies and Eritrean institutions, as well as among Eritrean institutions themselves are limited” (GEF IEO 2014b). The Madagascar CPE noted that the roles and responsibilities of stakeholders were not clear, and coordination was suboptimal.

Additionally, Madagascar's operational focal point mechanism was not functional, due to a lack of resources (GEF IEO 2008b). Similarly, one of the recommendations of the Benin CPE was to reactivate and strengthen the focal point coordinating mechanism, as the position was vacant at the time of the evaluation (GEF IEO 2008a). Finally in the case of the South Africa CPE it is also noted that the focal point mechanism is hampered in effectively providing strategic guidance and information due to an absence of a concrete national strategy for sustainable development (GEF IEO 2008c). These challenges in institutional coordination would have an effect on project results and efficiency. Fifty-six percent of completed GEF projects in Africa (155 of 282) were implemented in at least one least developed country (LDC)—which is useful to keep in mind when considering the region as a whole. All CPEs note the continued relevance of GEF projects in the countries, underscoring the importance of work in the Africa region (GEF IEO 2008a, 2008b, 2008c, 2009b, 2014b, 2014c, 2014d).

Findings of lower project ratings in Africa are not unique to GEF projects. From an examination of World Bank trends on projects completed between FY 2002 and FY 2015, outcome ratings in the Africa region are lower by 12 percent compared to other regions.³ Additionally, IFAD's *ARRI 2015: Annual Report on Results and Impact of IFAD Operations Evaluated in 2014* cites the West and Central Africa region as the Agency's weakest in terms of overall project achievement ratings (IFAD IEO 2015). The IEG's *Results and Performance of the World Bank Group 2014* noted quality at entry issues as one reason for lower outcome ratings in the region, stating that "projects failed due to over-ambitiousness and complexity; a poor

assessment of country conditions and capacity (not recognized or well addressed in project design) and a deficient results framework" (IEG 2015, 54). IFAD cites a weaker policy and institutional context, and a large proportion of fragile and conflict states, as a key contributing factor to lower ratings in the West and Central Africa region (IFAD IEO 2014).

Projects implemented in SIDS have, on average, lower outcome ratings than other projects when all phases are considered; this difference is statistically significant at a 95 percent confidence level when controlling for project size, region, focal area, and other country characteristics. A 2012 GEF IEO CPE of six GEF beneficiary country members of the Organisation of Eastern Caribbean States (OECS) noted challenges in these countries in terms of limited capacity, resources, and personnel (GEF IEO 2012). Similarly, the 2015 evaluation of Vanuatu and SPREP noted that, while GEF projects have strengthened individual, institutional, and system-level capacities, sustaining this capacity has been a challenge, with an exception in the climate change focal area (GEF IEO 2015b). These factors may explain some of the challenges in SIDS.

MSPs have, on average, higher ratings than FSPs; this difference is statistically significant at a 95 percent confidence level when focal area, region, and country characteristics are controlled for. However, qualitative differences between MSPs and FSPs make comparisons of ratings between the two inappropriate. As noted in the 2001 GEF IEO MSP evaluation, MSPs appear to have a comparative advantage in activities such as partnership building, awareness raising, public participation, capacity building, and innovation; while FSPs are able to support national-level actions (GEF IEO 2001). Regional and global projects have slightly higher ratings than national projects, although these differences are

³ IEG Ratings and Data, <http://ieg.worldbankgroup.org/data>, as of March 23, 2016.

not statistically significant. Differences in outcome ratings by executing agency type are not significant.

3.3 Sustainability

Sustainability assessments are not actual measurements of a project's sustainability over time, but rather are based on the potential risks to the sustainability of project outcomes at the point of completion as assessed by the evaluator. They are important for two principal reasons.

- Sustainability assessments provide information on the degree to which GEF project interventions have been successful in bringing about lasting change to the systems, institutions, or networks on which the project is focused (GEF IEO 2014a).
- The sustainability of project outcomes is very often a prerequisite for achievement of desired impacts which can be expected to manifest over time periods longer than the project implementation period (GEF IEO 2009c).

Table 3.4 presents sustainability ratings for projects in the APR 2015 cohort ($n = 144$) for which ratings are available and for all other completed projects ($n = 877$). As shown, the percentage of

projects and the percentage of funding in projects with sustainability ratings of moderately likely or above is larger for the APR 2015 cohort than for all other projects—65 and 69 percent, respectively, versus 60 and 61 percent for all other cohorts. However, this difference is not statistically significant. Moreover, the number of projects in a single-year cohort is too small to be indicative of a trend.

Underlying trends in sustainability ratings become more obvious when grouping projects by GEF replenishment period, as shown in figure 3.5. As with the rise in overall outcome ratings, an increase in the percentage of projects with sustainability ratings in the likely range is seen between the pilot phase and GEF-4, although much of the increase is from the pilot Phase to GEF-1. There is a distinct rise in GEF-4, when 70 percent of projects received sustainability ratings in the likely range, compared to 59 percent of all other projects. This difference is statistically significant at a 95 percent confidence level, when controlling for country characteristics, region, project size, and focal area. As noted in section 3.1, coverage of GEF-4 is comparatively low at 29 percent, and it is thus too soon to draw conclusions on findings for this phase.

TABLE 3.4 Percentage distribution of GEF projects and GEF funding in projects by sustainability ratings, for the APR 2015 cohort and all other completed projects

Sustainability rating	% of projects		% of funding	
	APR 2015 cohort	All other projects	APR 2015 cohort	All other projects
Likely	20	15	17	16
Moderately likely	45	45	51	44
Moderately likely or above	65	60	69	61
Moderately unlikely	28	30	26	30
Unlikely	7	10	5	9
Number/funding of rated projects	144	877	\$706.4 million	\$3,898.9 million

NOTE: Details may not sum to 100 percent due to rounding.

FIGURE 3.5 Percentage of projects and GEF funding in projects with sustainability ratings of moderately likely or above, by GEF replenishment period

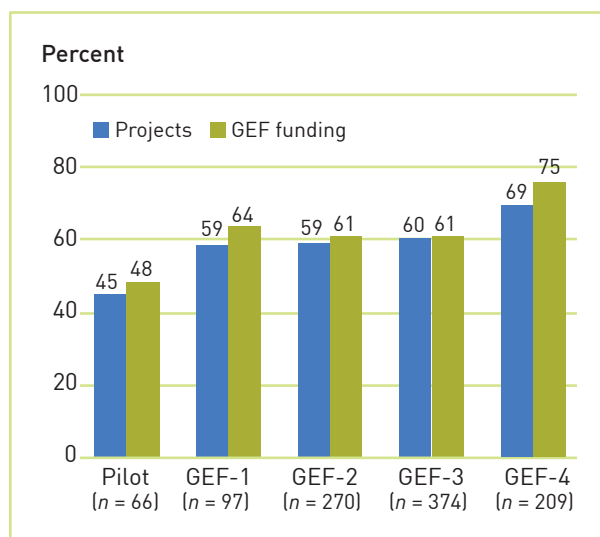


Table 3.5 presents sustainability ratings on completed GEF projects by focal area and replenishment period, and for APR 2015. When considering all projects rated on sustainability, trends found in APR 2014 are relatively

unchanged. Climate change projects tend to have the highest sustainability ratings when all phases are taken together, with 68 percent of projects on average attaining sustainability ratings in the likely range, compared to 58 percent for all other focal areas. This difference is statistically significant at a 95 percent confidence level when region, country characteristics, and project size are controlled for. Similarly, the difference in the percentages of projects in biodiversity and the other focal areas whose outcomes were rated as likely or moderately likely to be sustained is also significant at a 95 percent confidence level when controlling for region, country characteristics, and project size and considering all phases. When examining differences across GEF phases, biodiversity and climate change in GEF-3 also have statistically significant differences in the percentages of projects attaining sustainability ratings in the likely range as compared to all other focal areas. For all other phases, there are no statistically significant differences in ratings by focal area.

TABLE 3.5 Percentage of completed GEF projects with sustainability ratings of moderately likely or above, by focal area and GEF replenishment period

Focal area	Pilot	GEF-1	GEF-2	GEF-3	GEF-4	APR 2015 cohort	All phases
Biodiversity	46 [41]	53 [53]	56 [134]	55 [149]	72 [65]	62 [39]	57 [443]
Chemicals ^a	n.a.	80 [5]	64 [11]	38 [13]	77 [22]	56 [9]	63 [52]
Climate change	41 [17]	68 [28]	64 [77]	71 [93]	76 [55]	73 [56]	68 [271]
Int'l waters	50 [8]	60 [10]	65 [34]	64 [39]	64 [25]	50 [12]	63 [116]
Land degradation	n.a.	n.a.	n.a.	58 [40]	50 [16]	67 [12]	56 [57]
Multifocal	n.a.	100 [1]	50 [14]	60 [40]	58 [26]	63 [16]	57 [82]
All projects	45 [66]	59 [97]	59 [270]	60 [374]	69 [209]	65 [144]	61 [1,021]

NOTE: n.a. = not applicable. Numbers of rated projects are shown in parentheses. Details may not sum to 100 percent due to rounding. All phases includes five projects from GEF-5.

a. The chemicals focal area consists of projects in the persistent organic pollutants focal area and the ozone layer depletion focal area; beginning in GEF-4, these have been grouped together in a single GEF focal area.

3.4 Outcome and sustainability ratings of programs in APR 2015

This year, terminal evaluations for three parent programs were reviewed by the IEO, all of which were approved in GEF-3. These projects were not included in the APR 2015 cohort to avoid double counting of ratings, as some terminal evaluations for child projects of these programs have already been included in past APR cohorts.

The first of these programs, **LDC and SIDS Targeted Portfolio Approach for Capacity Development and Mainstreaming of Sustainable Land Management** (GEF ID 2441), was implemented by UNDP from 2004 to 2012. The program was effective in developing 46 out of 48 planned MSPs for capacity development and mainstreaming of sustainable land management at the national level. Specifically, these MSPs aimed to increase countries' institutional and individual capacity for sustainable land management, mainstream sustainable land management into national planning processes, and produce tools and guidelines for this mainstreaming. The terminal evaluation submitted for the program covers its activities at the portfolio level; specifically, it addresses the program's global coordination component and focuses on the harmonized support services provided by the Global Coordinating Unit in supporting development of MSPs at the national level. The program's terminal evaluation noted a lack of appreciation of the link between economic development and sustainable land management. Nevertheless, it found that all participating countries had begun mainstreaming sustainable land management into national planning processes, and that 58 percent of the participating countries had elaborated national action plans, 42 percent of which had been endorsed at the country level. The program received an outcome rating of moderately satisfactory and a sustainability rating of moderately likely in its IEO review. Five

of the program's child projects have been covered in past APRs.⁴ Of these five, one received both an outcome rating in the satisfactory range and a sustainability rating in the likely range; the ratings for the remaining four were not in the satisfactory/likely range. The terminal evaluation states that, as part of the portfolio-level intervention, the terminal evaluation reports of individual country-level MSPs were reviewed, however it does not provide information on how many were reviewed.

The second program, **Geothermal Energy Development Program, GeoFund** (GEF ID 1615), was implemented by the World Bank from 2006 to 2010 and was canceled midway. An evaluation of the work undertaken before cancellation found that the program had made substantial progress toward its objective, "to promote the use of geothermal energy in the Europe and Central Asia region by removing barriers to the development of renewable energy" (World Bank 2006, 5). Two child projects are listed in the GEF Project Management Information System (PMIS). The first, **GEOFUND 2: Armenia Geothermal Project** (GEF ID 3878) was included in APR 2013, and received an outcome rating of satisfactory and a sustainability rating of moderately likely. The second, **GEO: Turkey GEOFUND** (GEF ID 4224) was

⁴ Child projects covered in past APRs are LDC/SIDS Portfolio Project: Building Capacity and Mainstreaming Sustainable Land Management in Bhutan (GEF ID 3262), LDC/SIDS Portfolio Project: Capacity Building and Resource Mobilization for Sustainable Land Management in Bangladesh (GEF ID 3306), LDC/SIDS Portfolio Project: Capacity Building for Sustainable Land Management (GEF ID 3316), LDC/SIDS Portfolio Project: Capacity Development for Sustainable Land Management in Seychelles (GEF ID 3360), and LDC/SIDS Portfolio Project: Capacity Building in Mainstreaming of Sustainable Land Management in Cambodia (GEF ID 3427).

expected to be completed in June 2016 according to its most recent project implementation report.

The third program, **FC-1: Fuel Cells Financing Initiative for Distributed Generation Applications (Phase 1)** (GEF ID 1685), was implemented by IFC from 2005 to 2011. The program's completion report found that the single project awarded during phase 1 had "uneven performance" based on "slower than expected fuel cell technology market acceptance...required supporting infrastructure, lack of logistics, and the need for additional operations and management" among other issues (IFC 2011, 7). The completion report also noted that the project led to an estimated 96 metric tons of carbon dioxide emissions avoided—although this was far below target levels. This program's single child project is in South Africa, FC-1: Sub-project 1st Group/Plug Power (GEF ID 3022). A terminal evaluation for this project has not yet been received by the GEF IEO, even though implementation was completed in 2011 according to the PMIS.

3.5 Outcome and sustainability ratings of completed LDCF and SCCF projects

Since APR 2013, GEF APRs have covered completed projects funded from the LDCF and SCCF trust funds. The IEO provides more detailed coverage of the LDCF/SCCF portfolio in an annual evaluation report, the first of which was published in 2014 (GEF IEO 2014e).

For APR 2015, the IEO received terminal evaluations for five completed LDCF projects and six completed SCCF projects. Nine of the 11 projects

were approved during GEF-4; the remainder were approved in GEF-3. These projects account for \$14.6 million in LDCF funding and \$38.4 million in SCCF funding. To date, the portfolio of completed projects covered in APR 2015 includes 24 LDCF and SCCF projects. Although this year represents the largest LDCF/SCCF cohort to date, the total number of completed projects remains small. Thus, these projects are not representative of the full range of objectives and approaches of the two funds.

Table 3.6 provides summary information and outcome and sustainability ratings for the 11 recently completed LDCF/SCCF projects in the APR 2015 cohort. All but one had outcome ratings in the satisfactory range, with four projects rated satisfactory and six rated moderately satisfactory; the remaining project was rated moderately unsatisfactory. Eight of the 11 projects received sustainability ratings of moderately likely or higher. For two of the three projects whose outcomes were rated as moderately unlikely to be sustained, financial risks were perceived as the greatest threat to sustainability. In the remaining case, Implementing NAPA Priority Interventions to Build Resilience in the Agriculture and Water Sectors to the Adverse Impacts of Climate Change" (GEF ID 3430) conducted in Sudan, financial and environmental sustainability were rated likely, but overall sustainability was rated as moderately unlikely due to perceived threats from a lack of political support and uncertain capacity at the local level.

TABLE 3.6 Outcome and Sustainability ratings of recently completed SCCF and LDCF projects

GEF ID	Fund	GEF Agency	Project title	Country	GEF funding (mil. \$)	Rating	
						Outcome	Sustainability
2553	SCCF	UNDP	Piloting Climate Change Adaptation to Protect Human Health	Barbados, Bhutan, China, Fiji, Jordan, Kenya, Uzbekistan	4.5	MS	MU
2902	SCCF	World Bank	Design and Implementation of Pilot Climate Change Adaptation Measures in the Andean Region	Bolivia, Ecuador, Peru	7.5	MS	ML
2931	SCCF	UNDP	Adaptation to Climate Change through Effective Water Governance	Ecuador	3	MS	L
3101	SCCF	UNDP	Pacific Adaptation to Climate Change Project (PACC)	Cook Islands, Fiji, Micronesia, Marshall Islands, Nauru, Niue, Papua New Guinea, Palau, Solomon Islands, Tonga, Tuvalu, Vanuatu, Samoa	13.1	MS	ML
3227	SCCF	World Bank	Conservancy Adaptation Project	Guyana	3.8	MS	ML
3249	SCCF	World Bank–UNDP	Adaptation to Climate Change in Arid Lands (KACCAL)	Kenya	6.5	MS	ML
3430	LDCF	UNDP	Implementing NAPA Priority Interventions	Sudan	3.3	MU	MU
3689	LDCF	UNDP	Adaptation to the effects of drought and climate change	Zambia	3.8	S	MU
3718	LDCF	UNDP	Building the Capacity of the Agriculture Sector in DR Congo	Congo, Dem. Rep.	3.0	S	ML
3728	LDCF	UNEP	Strengthening of The Gambia's Climate Change Early Warning Systems	Gambia, The	1.0	S	ML
3838	LDCF	UNEP	Reducing Vulnerability to Climate Change by Establishing Early Warning and Disaster Preparedness Systems	Rwanda	3.49	S	L

NOTE: Outcomes are rated on a six-point scale: highly satisfactory (HS), satisfactory (S), moderately satisfactory (MS), moderately unsatisfactory (MU), unsatisfactory (U), or highly unsatisfactory (HU). Sustainability of outcomes is rated on a four point scale: likely (L), moderately likely (ML), moderately unlikely (MU), or unlikely (U).

4: Factors affecting achievement of project results

Achievement of project results is affected by a variety of factors, including project design, quality of project implementation and execution, and the operational context in which projects take place. Additionally, exogenous factors beyond the control of project management may also affect attainment of results. Ratings of implementation and execution quality and of project M&E quality shed light on these factors, as does information on promised and materialized cofinancing. This chapter reports on these four factors. Of these factors, regression analysis shows that project outcomes are most strongly correlated with quality of implementation ratings. While other factors can, and likely do, affect achievement of project results, such as a project's operational context or strategic approach, these are not addressed in the performance ratings presented in the APRs.

4.1 Quality of implementation

As noted in [chapter 2](#), quality of implementation covers the quality of project design, as well as the quality of supervision and assistance provided by GEF Agency the to executing agency throughout project implementation.

In APR 2015, 142 projects were rated on quality of implementation, while to date, 868 completed projects have been rated on their quality of implementation. Table 4.1 and [annex D](#) show quality of implementation ratings for projects by GEF replenishment period and Agency. Overall, there is an upward trend in the percentage of projects with satisfactory ratings from GEF-1 to GEF-4. The implementation ratings for UNDP show a dramatic improvement from the pilot phase to GEF-1, after which the Agency's ratings show steady improvement. As with its outcome

TABLE 4.1 Percentage of completed GEF projects with implementation rated in the satisfactory range, by GEF Agency and replenishment period

GEF Agency	Pilot phase	GEF-1	GEF-2	GEF-3	GEF-4	APR 2015 cohort	All phases
UNDP	26 [23]	75 [16]	76 [70]	83 [156]	87 [132]	83 [65]	79 [397]
UNEP	100 [2]	100 [2]	84 [19]	82 [55]	100 [25]	94 [16]	88 [106]
World Bank	69 [29]	74 [23]	77 [88]	66 [122]	86 [28]	58 [48]	72 [290]
Other	n.a.	n.a.	100 [2]	81 [16]	75 [20]	70 [10]	80 [40]
Joint	n.a.	57 [7]	20 [10]	79 [14]	100 [4]	67 [3]	60 [35]
All projects	52 [54]	73 [48]	75 [189]	77 [364]	88 [209]	75 [142]	77 [868]

NOTE: n.a. = not applicable. Numbers of rated projects are shown in parentheses. Details may not sum to 100 percent due to rounding. All phases includes five projects from GEF-5.

and sustainability ratings, World Bank quality of implementation dipped in GEF-3 but has shown improvement in GEF-4. For UNEP, ratings have remained high throughout all phases, with 88 percent of all projects receiving implementation ratings in the satisfactory range. Overall APR 2015 cohort ratings are in line with the long-term average.

4.2 Quality of project execution

As noted in [chapter 2](#), quality of execution covers the effectiveness of the executing agency in performing its roles and responsibilities, focusing on factors that are largely within its control. To date, 878 completed projects have been rated on their quality of execution, including 144 of the 159 projects in the APR 2015 cohort. Of this cohort, 72 percent of rated projects were assessed as

being in the satisfactory range for quality of execution. Quality of execution ratings in the APR 2015 cohort are lower than the average for all projects: 81 percent of 878 projects were rated as having satisfactory execution (table 4.2).

Quality of execution ratings are lower among projects implemented in the Africa region and in SIDS; overall outcome ratings for projects implemented in these settings have on average been lower as well. However, there has been some improvement in ratings for the Africa region, especially since GEF-1.

4.3 Cofinancing

This section presents information on promised and realized cofinancing for completed GEF projects—excluding SGP and enabling activity

TABLE 4.2 Percentage of completed GEF projects with execution rated in the satisfactory range, by various project characteristics and GEF replenishment period

Characteristic		Pilot	GEF-1	GEF-2	GEF-3	GEF-4	APR 2015 cohort	All phases
Region	Africa	62 [21]	60 [15]	74 [43]	73 [101]	76 [51]	60 [55]	72 [232]
	Asia	60 [15]	87 [15]	73 [41]	92 [79]	87 [54]	87 [39]	84 [204]
	ECA	86 [7]	75 [8]	82 [39]	84 [75]	82 [49]	69 [16]	83 [178]
	LAC	91 [11]	67 [9]	88 [56]	82 [72]	84 [32]	77 [26]	84 [180]
	Global	100 [3]	100 [6]	86 [14]	85 [34]	87 [23]	63 [8]	88 [84]
Country type ^a	Fragile state	60 [10]	67 [12]	63 [16]	82 [44]	63 [19]	40 [10]	72 [102]
	SIDS	70 [10]	67 [6]	75 [8]	73 [30]	70 [20]	65 [17]	72 [74]
	LDC	60 [15]	64 [14]	69 [36]	73 [79]	74 [50]	55 [40]	71 [195]
	Landlocked	77 [13]	70 [10]	79 [39]	81 [90]	80 [54]	70 [27]	80 [206]
All projects		72 [57]	75 [53]	80 [193]	83 [361]	83 [209]	72 [144]	81 [878]

NOTE: ECA = Europe and Central Asia; LAC = Latin America and the Caribbean. Numbers of rated projects are shown in parentheses. Details may not sum to 100 percent due to rounding. All phases includes five projects from GEF-5.

a. Country types are not mutually exclusive. Note that if a regional or global project has at least one participating country that is included in one of these country type categories, the project has been tabulated here as being of that country type.

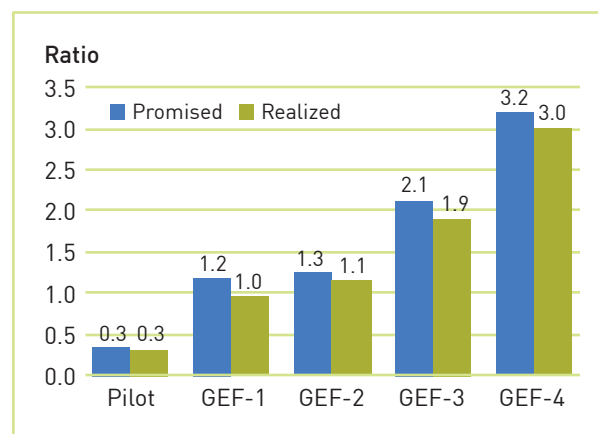
projects not covered in APRs—by GEF replenishment period and various project groupings. Both promised and realized cofinancing figures are important in assessing GEF partner performance. Promised cofinancing provides a measure of a GEF partner's ability to mobilize resources in support of GEF projects, while realized cofinancing provides a measure of its ability to meet these commitments.

For the APR 2015 cohort, information on promised cofinancing is available for all 159 projects, while data on realized cofinancing is available for 123 projects. The total ratio of realized cofinancing to GEF grant for the APR 2015 cohort—excluding those projects for which no cofinancing information is available—is \$6.40 of cofinancing realized for every GEF dollar granted; this exceeds the GEF-6 target portfolio ratio of 6:1 (GEF Secretariat 2014b). To date, information on promised cofinancing is available for all 1,077 projects covered in APR 2015; information on realized cofinancing is available for 905 projects.

Figure 4.1 presents the median promised and realized cofinancing ratios for completed projects by GEF replenishment period. The figure presents ratios of the median level of all cofinancing committed at appraisal, and materialized by project completion, to the median GEF grant. It demonstrates the increase over time in the median ratios of promised and realized cofinancing to GEF grant. It also shows that, where information on realized cofinancing is available, the ratios of median realized cofinancing to GEF grants are similar to the ratios of median promised cofinancing to GEF grants.

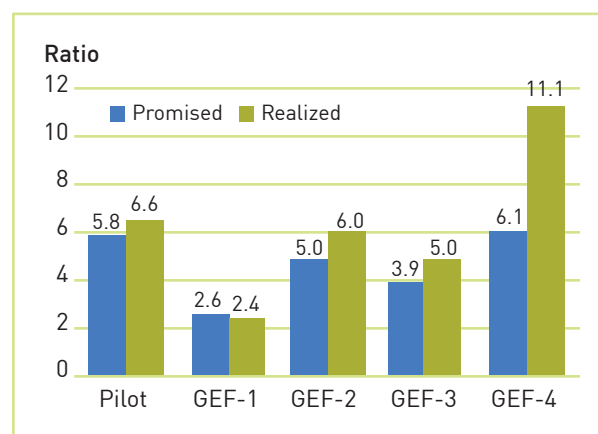
Figure 4.2 displays the total cofinancing ratios for the portfolio—i.e., the total amount of cofinancing to the total amount of GEF funding—by replenishment period, as well as for APR 2015. When

FIGURE 4.1 Median promised and realized cofinancing for completed GEF projects, by GEF replenishment period



NOTE: Pilot phase: $n = 72$ (promised), 55 (realized); GEF-1: $n = 102, 84$; GEF-2: $n = 292, 245$; GEF-3: $n = 383, 331$; GEF-4: $n = 223, 185$.

FIGURE 4.2 Total promised and realized cofinancing for completed GEF projects, by GEF replenishment period



NOTE: Pilot phase: $n = 72$ (promised), 55 (realized); GEF-1: $n = 102, 84$; GEF-2: $n = 292, 245$; GEF-3: $n = 383, 331$; GEF-4: $n = 223, 185$.

considering all completed projects to date for which data on realized cofinancing are available ($n = 905$), the GEF partners have realized \$5.60 of cofinancing for every GEF dollar granted. A single project introduced in the APR 2014 cohort with a reported \$1.8 billion in cofinancing continues to

drive the total ratio of realized cofinancing to GEF grant in GEF-4—\$11.10 of realized cofinancing per dollar of GEF grant.¹ When this project is omitted, the total GEF-4 ratio of realized cofinancing to GEF grant is 6.9 (\$6.90 in realized cofinancing for every GEF grant dollar).

Table 4.3 shows the distribution of average and median project-level cofinancing ratios (promised cofinancing to GEF grant), by GEF focal area and replenishment period. As shown, cofinancing ratios have increased across all focal areas, but there is considerable variability when comparing average ratios, which are more sensitive to

outliers, to median ratios, as well as between and within focal areas. At the project appraisal stage, the ratio of cofinancing to GEF grant for the APR 2015 cohort was high, at 5.3 ($n = 159$), compared to 3.2 for all projects ($n = 1,077$). The cohort's average ratio of realized cofinancing to GEF grant funding was also comparatively high, 5.6 for the APR 2015 cohort ($n = 123$) versus 4.5 for all projects ($n = 905$).

In general, the ratios of promised cofinancing to GEF grant at appraisal have risen steadily since GEF-1, with an average ratio of 2.6 ($n = 102$) increasing to an average of 6.1 in GEF-4 ($n = 223$). Both promised and realized median cofinancing ratios have continued to rise over the GEF replenishment periods as well. Although actual cofinancing information is not available for all

¹ This project is the UNDP-implemented Sustainable Public Transport and Sport: A 2010 Opportunity [GEF ID 2604].

TABLE 4.3 Average and median ratios of promised cofinancing to GEF grant, by focal area and GEF replenishment period

Focal area	Average/ median	Pilot phase	GEF-1	GEF-2	GEF-3	GEF-4	All phases
Biodiversity	Average	0.4 (45)	2.0 (57)	2.2 (145)	3.5 (154)	3.0 (69)	2.3 (471)
	Median	0.3 (45)	1.1 (57)	1.3 (145)	1.7 (154)	2.1 (69)	1.4 (471)
Chemicals ^a	Average	n.a.	0.6 (5)	1.4 (11)	0.9 (13)	2.6 (23)	1.3 (53)
	Median	n.a.	0.4 (5)	0.2 (11)	1.0 (13)	1.9 (23)	1.2 (53)
Climate change	Average	18.0 (19)	4.3 (29)	11.3 (83)	4.7 (94)	8.8 (58)	8.3 (284)
	Median	1.0 (19)	1.8 (29)	2.4 (83)	2.1 (94)	3.3 (58)	2.3 (284)
International waters	Average	0.7 (8)	1.4 (10)	1.5 (36)	4.9 (41)	6.4 (26)	3.2 (121)
	Median	0.1 (8)	1.0 (10)	1.1 (36)	1.5 (41)	3.0 (26)	1.6 (121)
Land degradation ^b	Average	n.a.	n.a.	n.a.	3.7 (40)	5.9 (20)	4.4 (61)
	Median	n.a.	n.a.	n.a.	1.6 (40)	2.2 (20)	1.8 (61)
Multifocal	Average	n.a.	1.1 (1)	4.3 (17)	3.3 (41)	5.9 (27)	3.9 (87)
	Median	n.a.	1.1 (1)	1.1 (17)	2.1 (41)	1.1 (27)	1.5 (87)
All projects	Average	5.8 (72)	2.6 (102)	5.0 (292)	3.9 (383)	6.1 (223)	4.4 (1,077)
	Median	0.3 (72)	1.1 (102)	1.4 (292)	1.8 (383)	2.3 (223)	1.6 (1,077)

NOTE: n.a. = not applicable. Numbers of rated projects are shown in parentheses. Details may not sum to 100 percent due to rounding. All phases includes five projects from GEF-5.

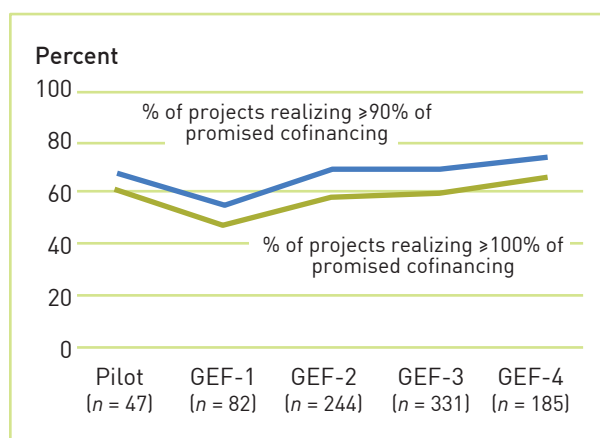
a. The chemicals focal area consists of projects in the persistent organic pollutants focal area and the ozone layer depletion focal area; beginning in GEF-4, these have been grouped together in a single GEF focal area.

b. Projects directly addressing land degradation concerns emerged as a separate GEF strategy in GEF-3.

projects, the median project ratio of promised cofinancing to GEF grant and the median ratio of realized cofinancing to GEF grant are both 1.6. The climate change focal area has both the highest median and average ratios in GEF-4, as well as overall.

Figure 4.3 shows the percentages of completed projects that have realized at least 90 percent and at least 100 percent of promised cofinancing, for those projects for which data on promised cofinancing are available. An increasing

FIGURE 4.3 Percentage of completed GEF projects realizing high levels of promised cofinancing, by GEF replenishment period



NOTE: Excludes projects with no cofinancing at appraisal.

percentage of projects have fulfilled or exceeded their original cofinancing commitments, rising from 62 percent of pilot phase projects realizing 100 percent or more of their promised cofinancing, to 65 percent of completed GEF-4 projects. For the FY APR 2015 cohort, promised cofinancing fully materialized for 54 percent of projects, compared to 59 percent for all projects ($n = 894$).

Table 4.4 shows the percentage of total promised cofinancing realized by GEF partner Agency and GEF phase, as well as for the APR 2015 cohort. As shown, at the portfolio level, partner Agencies have been very consistent in meeting or exceeding cofinancing commitments. For the APR 2015 cohort, total materialization of cofinancing at the portfolio level was 136 percent. Thus, while the percentage of projects for which at least 100 percent of cofinancing materialized is slightly lower in the APR 2015 cohort than for all projects (54 versus 59 percent), total materialization at the portfolio level is higher than the average for all projects (122 percent). As APR cohorts fluctuate, this does not necessarily indicate a trend. Similarly, trends should not be inferred by phase, as coverage of GEF phases varies and remains low for GEF-4 as it is the most recent.

TABLE 4.4 Percentage of total promised cofinancing realized, by GEF Agency and replenishment period

GEF Agency	Pilot phase	GEF-1	GEF-2	GEF-3	GEF-4	APR 2015 cohort	All phases
UNDP	122 [16]	80 [30]	203 [86]	140 [143]	293 [116]	154 [58]	204 [391]
UNEP	0 [0]	121 [3]	100 [30]	92 [56]	112 [24]	88 [16]	96 [116]
World Bank	95 [31]	88 [42]	98 [116]	126 [107]	96 [22]	136 [38]	104 [318]
Joint	n.a.	75 [7]	107 [10]	60 [13]	108 [3]	7 [2]	73 [33]
Other	n.a.	n.a.	104 [2]	69 [12]	117 [20]	126 [9]	99 [36]
All projects	96 [47]	86 [82]	110 [244]	122 [331]	229 [185]	136 [123]	122 [894]

NOTE: n.a. = not applicable. Numbers of projects are shown in parentheses. All phases includes five projects from GEF-5. Data are for all projects completed to date with data on realized cofinancing and exclude projects approved without any cofinancing ($n = 11$).

4.4 Quality of M&E design and implementation

Monitoring and evaluation systems are vital project components, as they provide real-time information to managers on project progress toward intended results, thus allowing for course correction through adaptive management. Effective M&E systems have benefits beyond the project cycle, as they provide a record of project impacts and an evaluation of project sustainability which can benefit future work. Through tracking tools, they also provide valuable information at the portfolio level. M&E systems are therefore among the key project performance indicators tracked and reported on by the GEF IEO in the APR.

This section presents ratings on the quality of the design and implementation of M&E systems in completed GEF projects. Of the 159 projects in the APR 2015 cohort, 157 have been rated on M&E design and 145 have been rated on M&E execution. To date, 1,004 completed projects have been rated on quality of M&E design, and 908 have been rated on quality of M&E implementation.

RATINGS SCALE

APR 2014 described changes in GEF policies regarding results-based monitoring systems since the GEF's establishment in 1991 (GEF IEO 2015a). To summarize this discussion, the GEF first introduced an M&E framework in 1997, which was subsequently replaced by the 2006 Monitoring and Evaluation Policy developed by the GEF Evaluation Office (GEF IEO 2006). This policy was updated in 2010, and remains in effect. Currently, the GEF Secretariat is developing revisions to the GEF RBM system.

These changes in the GEF's approach to M&E create a challenge in interpreting trends in ratings

on M&E design and implementation quality over time, as the yardstick for measurement has been adjusted to reflect the introduction of new policies.

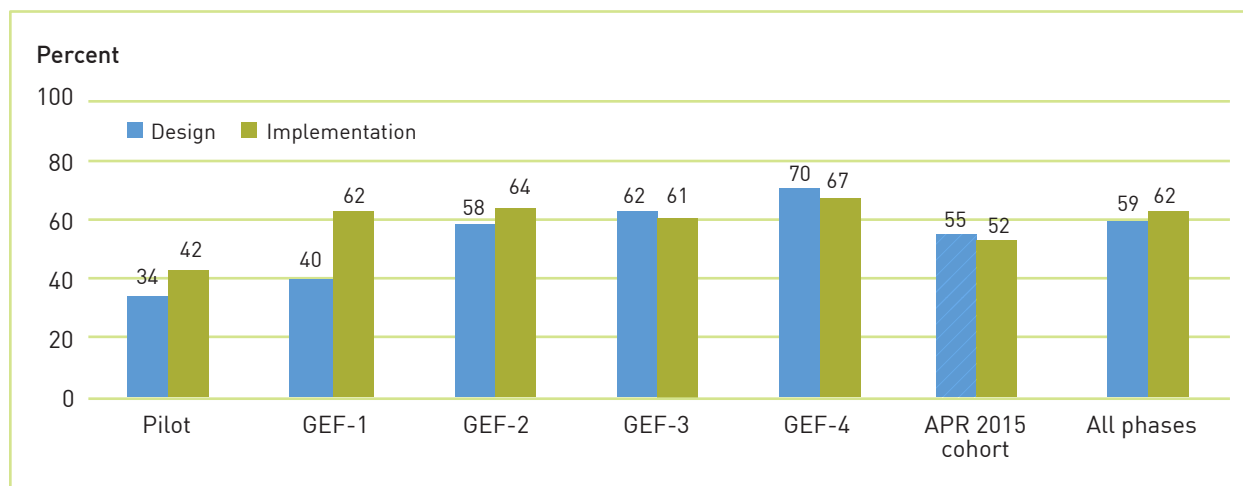
For reporting in APRs, a six-point rating scale is used to assess M&E design and M&E implementation.

- **Highly satisfactory.** The project had no shortcomings in M&E design/implementation.
- **Satisfactory.** The project had minor shortcomings in M&E design/implementation.
- **Moderately satisfactory.** The project had moderate shortcomings in M&E design/implementation.
- **Moderately unsatisfactory.** The project had significant shortcomings in M&E design/implementation.
- **Unsatisfactory.** The project had major shortcomings in M&E design/implementation.
- **Highly unsatisfactory.** There was no project M&E design/implementation.

FINDINGS

Figure 4.4 presents ratings on M&E design and implementation for completed projects by GEF replenishment period. A very pronounced rise in ratings on the quality of M&E design is seen over time, from 34 percent of pilot phase projects with satisfactory M&E design ratings ($n = 62$) to 70 percent of GEF-4 projects ($n = 220$). Ratings on M&E implementation also rise considerably from the pilot phase, although improvements in ratings from GEF-1 onwards are incremental. While improvements in M&E ratings are positive, the finding that some 30 percent of completed GEF-4 projects have unsatisfactory M&E design and implementation ratings indicates that a sizable

FIGURE 4.4 Percentage of completed GEF projects with M&E system design/implementation rated in the satisfactory range, by GEF replenishment period



NOTE: Pilot phase: $n = 62$ (design), 38 (implementation); GEF-1: $n = 83$, 69; GEF-2: $n = 256$, 225; GEF-3: $n = 378$, 363; GEF-4: $n = 220$, 208; APR 2015 cohort: $n = 157$, 145; all phases: $n = 1,004$, 908.

gap still exists between the stated M&E goals of the GEF partnership and actual practice. In the APR 2015 cohort, 55 percent of M&E design ratings were in the satisfactory range, as were 52 percent of M&E implementation ratings.

Table 4.5 presents M&E design ratings by GEF partner Agency and replenishment period, as well as for the APR 2015 cohort. Though GEF-4 coverage has increased to 29 percent, it is still insufficient to make conclusions about trends for this period. That said, emerging results from this period show a significant increase in ratings for both the World Bank and UNEP, and a slight decline in ratings for UNDP. Comparatively little information is available for projects from other Agencies and those under joint implementation; the ratings that do exist for their M&E design, however, are relatively strong for other Agencies, and are showing improvement for joint projects. Fifty-five percent of projects in the APR 2015 cohort, and 59 percent of all projects for which ratings are available, are rated in the satisfactory range for M&E design.

Table 4.6 presents M&E implementation ratings by GEF Agency and replenishment period. Fifty-two percent of projects in the APR 2015 cohort, and 62 percent of all projects for which ratings are available, are rated in the satisfactory range for M&E implementation. Here, trends are steadier from GEF-3 to GEF-4, with UNDP's rating remaining stable, and the ratings for UNEP- and World Bank-implemented projects improving slightly.

Table 4.7 presents trends in rating on M&E design by GEF focal area. It shows that there is a general increase in ratings across focal areas, although the extent of improvement and periods of dramatic improvement vary.

Table 4.8 presents trends in rating on M&E implementation by focal area and GEF phase. Somewhat different trends across focal areas are evident here. Higher percentages of completed GEF-4 projects from the chemicals, international waters, and biodiversity focal areas show M&E implementation performance in the satisfactory range compared to GEF-3. In contrast, during

TABLE 4.5 Percentage of completed GEF projects with M&E design rated in the satisfactory range, by GEF Agency and replenishment period

GEF Agency	Pilot phase	GEF-1	GEF-2	GEF-3	GEF-4	APR 2015 cohort	All phases
UNDP	33 (30)	35 (31)	66 (88)	72 (162)	67 (134)	68 (69)	64 (445)
UNEP	50 (2)	50 (6)	45 (31)	64 (58)	72 (25)	53 (15)	61 (125)
World Bank	33 (30)	47 (38)	60 (125)	46 (127)	67 (36)	35 (60)	52 (356)
Other	n.a.	n.a.	100 (2)	75 (16)	86 (21)	90 (10)	80 (41)
Joint	n.a.	13 (8)	0 (10)	80 (15)	100 (4)	67 (3)	46 (37)
All projects	34 (62)	40 (83)	58 (256)	62 (378)	70 (220)	55 (157)	59 (1,004)

NOTE: n.a. = not applicable. Numbers of rated projects are shown in parentheses. Details may not sum to 100 percent due to rounding. All phases includes four projects from GEF-5.

TABLE 4.6 Percentage of completed GEF projects with M&E implementation rated in the satisfactory range, by GEF Agency and replenishment period

GEF Agency	Pilot phase	GEF-1	GEF-2	GEF-3	GEF-4	APR 2015 cohort	All phases
UNDP	23 (22)	57 (23)	62 (79)	72 (161)	72 (132)	70 (66)	67 (417)
UNEP	100 (1)	100 (4)	67 (30)	65 (57)	69 (26)	56 (16)	69 (121)
World Bank	67 (15)	71 (34)	67 (106)	44 (117)	50 (26)	28 (50)	57 (298)
Other	n.a.	n.a.	100 (2)	46 (13)	45 (20)	40 (10)	51 (37)
Joint	n.a.	25 (8)	13 (8)	67 (15)	100 (4)	67 (3)	49 (35)
All projects	42 (38)	62 (69)	64 (225)	61 (363)	67 (208)	52 (145)	62 (908)

NOTE: n.a. = not applicable. Numbers of rated projects are shown in parentheses. Details may not sum to 100 percent due to rounding. All phases includes four projects from GEF-5.

the same period, land degradation projects showed a drop in ratings. When considering all phases, M&E implementation ratings of multi-focal area projects tend to be lower than single focal area projects—a finding that is significant at a 95 percent confidence level. The reason for this difference is not well understood, and would require further examination by the GEF IEO.

4.5 M&E plans for programmatic approaches

At its December 1999 meeting, the GEF Council endorsed provision of GEF support to countries through a programmatic approach. This modality, which continues to be used, presents particular challenges with regard to the way in

which projects are reported on in the APRs. The GEF M&E Policy stipulates that all FSPs and all programs are to be evaluated at the end of implementation (GEF IEO 2010). However, guidance is lacking on the evaluative requirements of child projects implemented under programmatic approaches. That is, the M&E Policy does not specify whether project evaluations are to be undertaken and submitted for these child projects in addition to an overall programmatic evaluation, or whether the requirements and expectations of child project evaluations are the same as for stand-alone projects of similar funding size. As was noted in APR 2014, GEF Agencies have to date been inconsistent in evaluating programmatic approaches (GEF IEO 2015a, Conclusion 7).

TABLE 4.7 Percentage of completed GEF projects with M&E design rated in the satisfactory range, by focal area and GEF replenishment period

Focal area	Pilot phase	GEF-1	GEF-2	GEF-3	GEF-4	APR 2015 cohort	All phases
Biodiversity	34 [41]	41 [44]	63 [129]	65 [153]	74 [68]	63 [43]	61 [436]
Chemicals ^a	n.a.	0 [4]	18 [11]	46 [13]	78 [23]	67 [9]	50 [52]
Climate change	31 [13]	46 [24]	62 [76]	68 [92]	63 [57]	52 [60]	62 [263]
International waters	38 [8]	40 [10]	43 [28]	49 [41]	85 [26]	36 [14]	54 [113]
Land degradation	n.a.	n.a.	n.a.	62 [39]	63 [19]	71 [14]	63 [59]
Multifocal	n.a.	0 [1]	58 [12]	55 [40]	59 [27]	47 [17]	57 [81]
All projects	34 [62]	40 [83]	58 [256]	62 [378]	70 [220]	55 [157]	59 [1,004]

NOTE: n.a. = not applicable. Numbers of rated projects are shown in parentheses. Details may not sum to 100 percent due to rounding. All phases includes four projects from GEF-5.

a. The chemicals focal area consists of projects in the persistent organic pollutants focal area and the ozone layer depletion focal area; beginning in GEF-4, these have been grouped together in a single GEF focal area.

TABLE 4.8 Percentage of completed GEF projects with M&E implementation rated in the satisfactory range, by focal area and GEF replenishment period

Focal area	Pilot phase	GEF-1	GEF-2	GEF-3	GEF-4	APR 2015 cohort	All phases
Biodiversity	35 [26]	65 [40]	65 [116]	65 [143]	77 [64]	55 [40]	65 [390]
Chemicals ^a	n.a.	33 [3]	67 [9]	31 [13]	77 [22]	78 [9]	60 [48]
Climate change	57 [7]	75 [16]	66 [67]	63 [90]	64 [53]	51 [55]	65 [234]
International waters	60 [5]	44 [9]	54 [24]	50 [38]	72 [25]	42 [12]	56 [101]
Land degradation	n.a.	n.a.	n.a.	77 [39]	53 [19]	50 [14]	69 [59]
Multifocal	n.a.	0 [1]	56 [9]	43 [40]	44 [25]	40 [15]	45 [76]
All projects	42 [38]	62 [69]	64 [225]	61 [363]	67 [208]	52 [145]	62 [908]

NOTE: n.a. = not applicable. Numbers of rated projects are shown in parentheses. Details may not sum to 100 percent due to rounding. All phases includes four projects from GEF-5.

a. The chemicals focal area consists of projects in the persistent organic pollutants focal area and the ozone layer depletion focal area; beginning in GEF-4, these have been grouped together in a single GEF focal area.

This year, in an effort to understand the issues entailed in reporting both on projects implemented under GEF programmatic approaches and on programs, the IEO conducted a survey of 38 programs and a sample of their 300 corresponding child projects. The objective was to assess the arrangements made at entry for M&E, and specifically for terminal evaluations both at the

project and program level.² For each program, at least one in five of its child projects was reviewed; for programs with multiple Agencies leading child

² The survey of M&E arrangements for programmatic approaches used the list of programs identified for the upcoming evaluation of programmatic approaches. Some projects listed as parent programs in the PMIS were omitted from the survey based on feedback from the GEF Secretariat or other relevant criteria.

projects, at least one project from each Agency was reviewed, bringing the sample to 92 projects. A few more recent programs have not yet had any child projects endorsed or approved; thus a sample for these programs could not be included. The 38 programs surveyed represent the portfolio of programs approved since publication of the 2008 Council document “From Projects to Programs: Clarifying the Programmatic Approach in the GEF Portfolio” (GEF 2008). This document approved the procedure for developing programs using the Program Framework Document template and introduced guidelines on how future programmatic approaches should be implemented.

Treatment of M&E at the program level varies widely between programs. Of the 38 programs, 92 percent (35 programs) provide at least some information on M&E at the program level; only 7 percent (3 programs) do not address M&E at the program level. Of those that do discuss M&E at the program level, relatively few provide key information, such as an overall program budget for M&E (31 percent, $n = 35$), or program-level indicators (26 percent, $n = 35$). Thirty-seven percent (13 out of 35) state that a midterm evaluation of the program would or may be conducted.

Twenty-eight percent of the programs that provided information for M&E at the program level—10 out of 35 programs—include information on conduct of the terminal evaluation in the program. Of these 10, only 2 provide information on when the terminal evaluation will be conducted.

Nine of the 38 programs include plans in their PFDs to cover M&E at the program level through child projects. These child projects either focus entirely on M&E, or serve the purpose of cross-cutting program coordination, and contain program-level M&E as one project component. Terminal evaluations for two examples of such M&E projects were received this year and are

included in the APR 2015 cohort: SLEM/CPP: Institutional Coordination, Policy Outreach and M&E Project (GEF ID 3468) under the Sustainable Land and Ecosystem Management Partnership Program (GEF ID 3268), and Cross Cutting M&E Functions and Knowledge Management for INRM within the MENARID Program Framework (GEF ID 3628) under the MENARID Integrated Nature Resources Management in the Middle East and North Africa Region Program (GEF ID 3423).

On the other hand, treatment of M&E at the project level appears more uniform in making provisions for reporting. All child project documents reviewed include information about project-level M&E, and all provide information on project-level indicators as well. Seventy-three percent (67 of 92) provide a dedicated budget for M&E in the project document, while another 16 percent (15 of 92) provide a partial M&E budget or include M&E in the project management budget without specifying the portion dedicated to M&E. Ninety-one percent (84 of 92) state their intent to conduct a midterm evaluation in the child project document plans, and 86 percent (79 of 92) state plans to conduct a terminal evaluation. Of the 20 completed projects that planned to conduct a midterm evaluation as per their project documents, 12 (60 percent) have been received by the IEO; documentation exists for another 4 projects that a midterm evaluation has been completed, but it has not yet been received by the IEO. A terminal evaluation has been completed and received by the IEO for all 8 projects in the sample that have been completed for at least two years, and for 16 of all 25 completed projects (64 percent).

5: Review of GEF tracking tools

Tracking tools have a key role within the GEF results-based management framework. The tools are aimed at rolling up indicators on results and performance from the project level to the overall portfolio at Agency, focal area, and corporate levels. Tracking tools were first implemented in GEF-3 in the biodiversity focal area. Similar tools were subsequently developed for other focal areas. GEF partner Agencies are expected to provide data through the tracking tools at CEO endorsement/approval, at midterm, and at project completion.

The Fifth Overall Performance Study conducted by the GEF IEO assessed the GEF's RBM system. The study found that the GEF was tracking too many indicators and was not tracking them well. It called for simplification of the GEF tracking tools so that they would be less onerous and more user friendly.

The IEO recently undertook a review of the GEF approach to tracking tools to determine progress made in implementation of the relevant OPS5 recommendations and to identify areas where further improvements are needed. The purpose of this review was to provide evidence on the system and its use that would be useful in developing the GEF's approach to tracking tools in GEF-7.

5.1 Key questions

Following are the key questions covered by this review:

- To what extent have the focal area tracking tools, including those for multifocal projects, been streamlined and the burden on results reporting reduced for GEF-6?
- What arrangements are in place to gather, manage, and report on information through tracking tools?
- To what extent are the data sets based on information gathered through tracking tools complete, accessible, and in readily usable form?
- How is the information gathered through tracking tools being utilized?

5.2 Methodological approach

The information analyzed for the review was gathered from several sources, including a survey of GEF publications including Council documents, GEF IEO evaluations, and related intermediary products and data sets; a desk review of the GEF-5 and GEF-6 focal area tracking tools and focal area results frameworks; and interviews with the GEF focal area coordinators and program managers, the GEF Secretariat's RBM team, and GEF Agency staff and consultants. A list of the people interviewed and their affiliations is provided in [annex E](#).

There are separate tracking tools for biodiversity, chemicals, climate change adaptation, climate

change mitigation, international waters, land degradation, and sustainable forest management. The assessment of the extent to which tracking tools have been streamlined the reporting burden changed is based on a comparison of the focal area tracking tools for GEF-6 with those for GEF-5. Information on the extent to which tracking tools have been streamlined is primarily based on desk review of the focal area tracking tools and the results frameworks.

Since very few GEF-6 project proposals have reached the CEO endorsement/approval stage, evidence on the actual burden on Agencies for preparing GEF-6 tracking tools is sparse. Therefore, much of the analysis presented on the reporting burden is based on the aggregate number of indicators specified in the focal area results frameworks, the data fields specified in the tracking tools, and an estimate of the level of effort required to furnish the data for a specified data field.

Within a tracking tool, each data field was classified as requiring either high or low effort. High-effort data fields were considered those for which the requested information is difficult to obtain and/or where field measurements need to be undertaken, and/or those that require complex computations. The remainder were considered low effort. In addition to the change in the aggregate number of indicators and data fields, the change in the mix of high- and low-effort data fields provided another means to assess the change in reporting burden. This assessment was supplemented by information gathered through interviews with consultants involved in the preparation of proposals for GEF-6. [Annex F](#) lists the types of data fields that were classified as high effort, along with comments indicating the reasons for doing so.

Classification as high or low effort was determined strictly in terms of the burden placed on the partner Agencies to provide information for the given data field. It does not suggest that one set of data fields should be preferred over another. The effort required to provide data for the high-effort fields may be justified by their utility, while a low-effort field may yield information that is not useful.

The analysis on compliance with tracking tool submission requirements and level of completeness of submitted tracking tools is based on the data set prepared by the GEF Secretariat RBM team to track submission of tracking tools, and the METT submission and completeness related data set prepared by the IEO for the Impact Evaluation of GEF Support to Protected Areas and Protected Area Systems (GEF IEO 2016). The UNDP data set on tracking tool submission was also accessed to validate the data available from the PMIS.

5.3 Findings

DESIGN

The corporate results framework of the GEF provides a list of key indicators and targets that form the basis for results reporting. The “GEF-6 Programming Directions” document specifies 10 corporate results indicators and targets for the GEF-6 period (GEF Secretariat 2014c). In comparison, the “GEF-5 Programming Document” lists, in an annex, 41 corporate results indicators and targets (GEF Secretariat 2010). Thus, the indicators and targets listed in the corporate results framework for GEF-6 have decreased substantially from GEF-5 requirements. A major measure adopted for GEF-6 to facilitate aggregation of project-level targets on corporate results indicators is inclusion of reporting on these indicators in table F of the project information form (PIF)

template and table E of the CEO endorsement/ approval request templates.

The corporate results indicators and targets for a replenishment period presented in programming documents are selected from the more detailed focal area results frameworks presented within the same document. The focal area strategy documents, which are finalized after the programming documents have been endorsed by the Council, provide further details on the activities supported through the resources allocated to the focal area and the expected outcomes and indicators to track the results of supported activities.

Table 5.1 presents a comparison of the number of focal area programs, objectives, and outcome indicators specified for the GEF-5 and GEF-6 periods. While the GEF-6 focal area strategies organize the supported activities in the form of programs, they were not organized as such in GEF-5. Organization of activities into programs has some implications for the results framework, as some of the focal areas have specified additional results indicators to track programs. Table 5.1 shows that, at the aggregate level, there has been a drop in the number of focal area objectives and indicators between GEF-5 and

GEF-6. Analysis found that indicators that were less relevant or useful were dropped.

The number of objectives have either been reduced or have remained the same for most focal areas. Despite an increase in the number of indicators and targets for the biodiversity, chemicals, and international waters focal areas, the aggregate number of indicators for the GEF overall have decreased. The decrease is mainly driven by a drop in indicators and targets for the climate change adaptation and mitigation focal areas. The sharp decline in climate change adaptation indicators from GEF-5 to GEF-6 was due to an elimination of output indicators. Other focal areas had not included such indicators in their GEF-5 results frameworks. Therefore, much of the decrease was a result of the adaptation focal area becoming consistent with already existing practice in the other focal areas.

A major reason for the increase in the number of indicators and targets for some focal areas, such as biodiversity, is that GEF-6 activities have been organized into programs. The focal areas had to specify additional results indicators to track achievements of each individual program.

TABLE 5.1 Number of objectives and indicators in GEF-5 and GEF-6 focal area results frameworks

Focal area	Programs		Objectives		Indicators and targets	
	GEF-5	GEF-6	GEF-5	GEF-6	GEF-5	GEF-6
Biodiversity	n.a.	10	5	4	8	14
Chemicals	n.a.	6	3	2	11	15
Climate change adaptation	n.a.	1	3	3	47	14
Climate change mitigation	n.a.	5	6	3	17	7
International waters	n.a.	7	4	3	15	20
Land degradation	n.a.	5	4	4	10	11
Sustainable forest management	n.a.	10	2	4	6	6
Total		44	27	23	114	84

NOTE: n.a. = not applicable.

Analysis of the linkages between the focal area tracking tools and the respective results framework indicators shows that not only are the tracking tools for GEF-6 leaner than those for GEF-5, they also tend to be better aligned with the focal area results framework indicators and underlying activities supported by the focal area ([annex G](#)).

Although all focal area tracking tools aim at rolling up indicators on results and performance from the project to portfolio level, the level of complexity involved in the tools may differ based on the nature of the underlying activities whose results are being measured, varied preference of the focal area teams for detail, and for the level of assurance that the information on key indicators is scientifically robust and reliable. The number of data fields, the basic unit of a tracking tool, included in a tracking tool provides a measure of its complexity. Agencies provide information on project results and other related indicators by entering this information in the corresponding data field.

In revising the tool for GEF-6, the language used to explain the tracking tool data fields has been made clearer and more concise. The instructions are easier to understand than those for the tools for the GEF-5 period.

Table 5.2 compares the total number of data fields in the focal area tracking tools for the GEF-5 and GEF-6 periods. It shows that at the aggregate number of data fields in the tracking tools is lower in GEF-6 by 33 percent. The number of data fields in tracking tools was slashed by more than half in the climate change mitigation, land degradation, and sustainable forest management focal areas.

Overall, much of the decrease in the total number of data fields was in fields that were assessed to require low effort. Although the overall aggregate number of data fields that require high effort has remained somewhat similar, individual focal areas show divergent trends. Numbers dropped drastically for climate change mitigation but increased substantially for biodiversity. As noted above, an increase in the number of high-effort data fields may not necessarily be an undesirable change. In the case of the biodiversity focal area, information gathered through interviews with focal area and partner Agency staff indicated that the added high-effort data fields made the GEF-6 tracking tools more robust and technically sound.

The preceding assessments of changes in the aggregate number of data fields and in the level of expected effort in providing information give some indication of the extent to which the focal

TABLE 5.2 Number of data fields in GEF-5 and GEF-6 tracking tools, by level of effort to provide

Focal area	Low effort		High effort		Total	
	GEF-5	GEF-6	GEF-5	GEF-6	GEF-5	GEF-6
Biodiversity	557	471	71	126	628	597
Chemicals	199	115	17	17	216	132
Climate change adaptation	170	96	2	0	172	96
Climate change mitigation	70	31	41	6	111	37
International waters	46	46	15	15	61	61
Land degradation	214	43	25	20	239	64
Sustainable forest management	73	20	4	2	77	22
Total	1,329	822	175	186	1,504	1,009

area tracking tools have been streamlined. However, the observed changes may be due to revisions in the underlying focal area programs and activities whose results the tracking tools are expected to capture. To obtain a more calibrated assessment of the extent of streamlining, the review compared the activities supported by the focal areas during GEF-5 and GEF-6. Specifically, the activities supported in both GEF-5 and GEF-6 were identified, along with the corresponding data fields tracking the results of these common activities.

Table 5.3 presents a comparison of the number of data fields in the GEF-5 and GEF-6 tracking tools that track only the results of activities common to the two replenishment periods. It shows that the number of such data fields dropped in GEF-6 by 44 percent, declining from 1,399 in GEF-5 to 785 in GEF-6. During GEF-6, the net number of programs and activities supported by the GEF increased. As a result, indicators and data fields were added to track results of these new activities. Therefore, the overall drop in data fields by 33 percent (i.e. from 1504 to 1009) was less pronounced than it would have been had the activities supported in GEF-6 remained the same.

The biodiversity focal area, which continues to account for the largest number of data fields, substantially streamlined its embedded Management Effectiveness Tracking Tool, as well as the data fields that track invasive alien species and national biosafety (table 5.3). However, it did not streamline the financial sustainability-related data fields, which account for about half of the total number of fields in the GEF-6 biodiversity tracking tool. Furthermore, Agencies are expected to prepare a METT assessment for each of the protected areas covered by a project focused on protected areas—this can constitute a substantial reporting burden. For example, UNDP protected area projects completed between 2011

and 2015 filed an average of eight METT assessments per project per reporting milestone. However, UNDP staff involved in the implementation of tracking tools noted that although the overall burden involved in the preparation of GEF-6 biodiversity tracking tools for protected areas has remained more or less the same, these tools are more useful than those for GEF-5 due to specification of better indicators and greater clarity on the information requested. Nonetheless, the reporting burden for biodiversity projects focused on protected areas remains a concern. Although the burden on other biodiversity focal area programs has been reduced substantially, the number of indicators being tracked for protected areas at the GEF portfolio level remains high.

Tracking tool layout

The clarity of the language used to request information, the availability and accessibility of guidance, and the layout of the tracking tool itself may also affect the level of effort required in providing tracking tool information. The review compared the tracking tools for the two periods and found improvements in several aspects.

Focal area tracking tool templates are available as Microsoft Excel files. The GEF-6 tracking tool for each focal area except biodiversity consists of a single Excel file. Biodiversity is split into two files: one for programs 1 and 2, the other covering programs 3–10. All tracking tools have one or more worksheets where data fields are listed; in general, the number of such worksheets has either been reduced or remained the same since GEF-5.

Although there is diversity in focal area approaches, most tracking tools now distinguish clearly between targets and achievements, and they also tend to make it easier for project managers to keep track of the information provided

TABLE 5.3 Number of data fields for common activities in GEF-5 and GEF-6 tracking tools

Focal area	Common activities	GEF-5	GEF-6
Biodiversity	Project identification	15	12
	METT	240	147
	Financial sustainability	257	257
	Production landscapes	66	74
	Invasive alien species	25	7
	National biosafety	25	9
	Total	628	506
Chemicals	Project identification	4	4
	Persistent organic pollutants	217	68
	Total	221	72
Climate change adaptation	Project identification	11	9
	Beneficiaries	24	14
	Policy	28	15
	Adaptive measures and technology	45	18
	Awareness, capacity, and monitoring	40	24
	Total	148	95
Climate change mitigation	Project identification	9	9
	Context	3	1
	Energy	21	3
	GHG	20	3
	Policy	26	9
	Beneficiaries	16	1
	Total	95	26
Land degradation	Project identification	6	6
	Context	140	33
	Global environmental benefits and development	16	8
	Agriculture and rangelands	12	3
	Forest management	18	4
	Integrated land management	10	3
	Knowledge management	37	4
	Total	239	61
Sustainable forest management	Project identification	13	9
	Context, global environmental benefits, and development	49	3
	Sustainable forest management land area	3	9
	Policies	3	4
	Total	68	25
Grand total for common activities		1399	785

in earlier submissions of the tracking tools. Also, the guidance provided to explain the tracking tools is readily accessible. [Annex H](#) provides further details on changes in the layout of the tracking tools.

Multifocal projects and integrated approach pilots

The GEF Agencies are required to prepare tracking tools for all focal areas that support a given multifocal area project. During GEF-5, multifocal area projects accounted for 29 percent of project funding and 22 percent of projects supported by the GEF Trust Fund. Given that the preparation of multiple focal area tracking tools for a project requires considerable effort from the Agencies, the IEO's *Annual Country Portfolio Evaluation Report 2012* recommended that the "monitoring requirements of multifocal area projects should be reduced to a level comparable to that of single-focal area projects" (GEF IEO 2013). The Council accepted the recommendation and asked the Secretariat to reduce the burden. OPS5 reiterated this need for a reduction of reporting burden for multifocal area projects (Recommendation 2.2; GEF IEO 2014f). As the analysis presented above shows, focal area tracking tools have been streamlined. As a result of this, the reporting burden for the multifocal area should be somewhat reduced—albeit indirectly. However, since the Agencies are still required to prepare tracking tools separately for all focal areas covered by a project, the reduction in their reporting burden is likely to be limited. The Secretariat acknowledges this as an area where only modest progress has been made.¹

¹ In its MAR 2015 reporting on this decision, the Secretariat notes that progress on streamlining reporting for multifocal area projects has been limited to the streamlining of individual focal area tools; for more, see [chapter 7](#).

The GEF 2020 Strategy is aimed at supporting transformational change at a larger scale (GEF 2014). Through three IAP programs on food security, sustainable cities, and commodity supply chains, the GEF is testing delivery mechanisms to support such changes. The GEF Secretariat allows the use of customized tracking tools to track results of these IAPs. Based on the environmental objectives of a given IAP, appropriate indicators have been picked from the relevant focal area tracking tools. The selected indicators were then included in a customized tracking tool incorporated in each IAP's M&E design. While this process does not necessarily reduce the number of tracking tool data fields the IAPs report on, it is likely to make it easier for the Agencies to use these tools and report on them. However, aggregation of data from these customized tools may present a challenge later on.

Implementation process

The Agencies are expected to submit tracking tools along with project documents at CEO endorsement/approval, at midterm, and at project completion. The tracking tools submitted at CEO endorsement/approval are reviewed by the respective program managers at the GEF Secretariat, who may request revisions based on the completeness and quality of information provided in the tool. Within the Agencies, these tools are generally completed by a consultant during the project preparation process. The baseline information provided through the tracking tools may be gathered through secondary sources or through surveys that gather primary information.

The tracking tools prepared at midterm provide an assessment of the results achieved to that point. Similarly, the tracking tools prepared at project completion provide information on the extent to which results were achieved by that point. The Agencies are expected to submit

tracking tools at midterm and project completion to the RBM team within the GEF Secretariat. The RBM team then makes these tools available to the focal area teams at the Secretariat. The focal area teams aggregate the information received through the tracking tools for analysis and consolidated reporting.

At project midterm and completion, the tracking tools are generally prepared by a project manager and/or a consultant. Practices vary greatly in terms of level of consultation with key stakeholders in preparing the tracking tools. Generally, the individuals who prepare the tools at project midterm/completion differ from those who prepared them for CEO endorsement/approval. This creates challenges related to the lack of continuity and deficiencies in institutional memory.

Compliance and information management

The compliance with the tracking tool submission requirement at the midterm and at project completion is important to ensure that the GEF Secretariat receives information on actual results achieved by those mile stones of project implementation. Similarly, retrieval of the tracking tools submitted by the partner Agencies, its proper storage, and easy availability for use are equally important.

The “Annual Monitoring Review (AMR) 2014” attributed the low availability of the tracking tools to poor compliance with submission requirements (GEF Secretariat 2015). The report notes gaps in tracking tool submission as a concern. The data show that preparation and submission of tracking tools at midterm and project completion receive less attention than does submission of tools at the CEO endorsement/approval stage. The report found relatively higher submission compliance rates for the international waters focal area. According to the focal area coordinator for international waters, this compliance level is a result

both of the focal area team following up with the respective Agencies on submission of the tracking tool; and the relatively smaller number of projects in the focal area as compared to biodiversity and climate change mitigation, which makes tracking manageable. Information available from the GEF Agencies indicates that part of the gap in availability of tracking tools may be due to poor retrieval and uploading of submitted tools.

More generally, low compliance with submission requirements at midterm and project completion is a function of the low level of attention given to ensuring submission to the Secretariat, entry into the PMIS, and retrieval from the PMIS. The RBM and focal area teams seem to have worked under the assumption that the Agencies would comply with submission requirements and devoted little resources to ensuring that this is indeed the case. Consequently, no process has been put in place to track actual submissions, identify submission gaps, and follow up with the respective Agency. Some project managers interviewed for this review readily recalled having prepared a tracking tool for CEO endorsement, but admitted to not having prepared one at midterm or project completion because no one had asked them to do so.

The analysis undertaken for this study confirms that gaps in the availability of tracking tools are due in part to weak retrieval and storage practices. For example, of the completed UNDP projects covered in the 2013 or 2014 AMRs, tracking tools were expected for 22 projects (GEF Secretariat 2014a, 2015). Of these 22 projects, the tracking tools at completion were available in the PMIS for 11 (50 percent). However, when the list was cross-tallied with the database maintained by UNDP, it was found that the tracking tools for at least five additional projects had been submitted to the GEF, increasing the submission compliance rate to at least 73 percent. This clearly indicates a

gap in the retrieval, storage, and management of the collected information.

The RBM team is now putting in place a system to track submission of tracking tools. A key feature of this system will be a PMIS-based dashboard that will enable easy comparison of actual and expected status of tracking tool submission, issue reminders and alerts, and request follow-up in cases of potential noncompliance.

Just as important as their submission is that the tracking tools be complete. No separate analysis was undertaken as part of this review to assess the extent to which submitted tracking tools were complete. However, an analysis of the METTs submitted for GEF-supported protected areas projects was conducted as part of the GEF IEO's Impact Evaluation of GEF Support to Protected Areas and Protected Area System and sheds some light on this dimension. For the 2,440 METT assessments covered by the analysis, 28 of the 30 questions were uniform across the tracking tools. The analysis showed that approximately 20 percent of the METT assessments had only answered half or less than half of the 30 questions (GEF IEO 2016). The analysis noted that the questions listed toward the end of the METT were less likely to be responded to than those toward the earlier sections, indicating that the assessors in some cases may not have finished the METT properly.

The quality of information provided through tracking tools is another important concern. Several of the GEF Secretariat and Agency staff interviewed for this review noted that tracking tools often include errors such as the use of incorrect units, data entry errors, inconsistent application of terms and underlying methodology used for providing information, and inconsistency with information provided in project documents. To ensure quality of information, efforts are required at both the GEF Secretariat and Agency levels.

UTILIZATION

Reporting

The information provided by the tracking tools is used at different levels and for various purposes. The information is used to provide the GEF Council updates on the results of GEF activities, notably through the biennial AMRs. The first AMR report, usually presented at the autumn Council meeting, aggregates the expected corporate results (targets) listed in the tracking tools submitted at the point of CEO endorsement and compares this with the results promised in the replenishment document, along with the level of utilization of funding. The AMR second report, generally submitted at the May Council meeting, presents progress in terms of reported actual results; this is based in part on aggregation of information from tracking tools received at mid-term or completion during the fiscal year covered by the report.

Tracking tool usage varies across focal areas. Focal areas such as biodiversity and international waters have tended to use the tools more. The climate change focal area relies more on information presented in terminal evaluations and midterm reviews for its reporting on actual results. For other focal areas, the submitted tracking tools have yet to provide sufficient information that would lend itself to aggregation and analysis.

Information from tracking tools is also used in reporting to the conventions and to respond to donor country requests. They were also a valuable source of information for reporting on progress on expected results for GEF-5 to the Replenishment Group for GEF-6. Across these various uses, however, only a relatively small proportion of the information gathered through the tracking tools appears to have been used in reporting.

By focal area, there are differing levels of usage of tracking tool data for analysis beyond the above-discussed uses. The international waters team prepares an annual portfolio review. The resulting report is shared with the International Waters Focal Area Task Force and the GEF Agencies for learning purposes, but is not publicly circulated. The chemicals focal area finds it useful to track changes in the cost of interventions over time so the design of future interventions may be improved, especially in green field areas where cost benchmarks are not readily available.

While the review did not study the use of tracking tool data across all the GEF Agencies, it did address the practice in UNDP, which accounts for the largest number of projects in the GEF portfolio. In UNDP, the process of tracking and utilizing information from tracking tools is centrally managed. The Agency uses information from the tracking tools in preparation of its annual performance reports and in knowledge sharing. Similarly, the GEF IEO relied on tracking tool (METT) information in its Impact Evaluation of GEF Support to Protected Areas and Protected Area Systems, as discussed [above](#).

Decision making

Although information from tracking tools is used extensively and increasingly in reporting to key GEF stakeholders, the extent to which it is being used in decision making is not clear. As noted earlier, the chemicals focal area does see the utility of tracking tool cost data in improving the design of future interventions. And the biodiversity focal area has noted the utility of tracking tool information in shaping future focal area strategies. However, at the GEF portfolio level, it is difficult to obtain an overview of timely program performance based on the information provided by the tracking tools. This difficulty is due in part to the long time lags before information on

project results becomes available. For example, it generally takes about two replenishment periods before information on actual results becomes available. By that time the GEF Secretariat's and Council's interest in the results of activities of the earlier period may have waned. In comparison, business processes and input indicators for which information is gathered from sources other than tracking tools—such as resource utilization, time taken from Council approval to CEO endorsement and from endorsement to project start/first disbursement, project cancellation, etc.—continue to stay relevant and command relatively greater attention on a day-to-day basis.

The replenishment process provides another avenue for decision making, aside from Council meetings, where important policy decisions are made. Although information from tracking tools is used by the Secretariat to develop its GEF-6 programming proposals for some of the focal areas, the extent to which it has been used is not clear.

At the project level, some project managers reported using tracking tools for further development of project M&E arrangements. Other than the METT and the Financial Sustainability Scorecard, which are specifically targeted at aiding project management, other tracking tools are not designed for this purpose. Consequently, they are in most cases seen as a reporting requirement and of little utility at the project level.

5.4 Discussion

Compared to the tracking tools for the GEF-5 period, the tools for the GEF-6 period have been streamlined substantially. Significant progress has been made in implementing the OPS5 recommendation that the tracking tools be simplified and the reporting burden on Agencies reduced. However, despite reduction in the number of indicators and data fields being tracked, the GEF

continues to track a large number of indicators for its core RBM function.

OPS5 and the protected areas impact evaluation acknowledge the importance of METTs in providing information for global databases on protected area management. The evaluations, especially OPS5, recommended that these be implemented and funded separately so they do not impose an unreasonable burden on the Agencies. Although the biodiversity focal area has streamlined its tracking tools, the level of effort required from Agencies is still considerable, given the large number of data fields remaining and because a METT is completed for each of a project's protected areas. Among the other tools used in the focal area, the Financial Sustainability Scorecard provides the most opportunity for further streamlining. However, even if the tool was streamlined, the number of indicators that would need to be tracked would remain high. An approach for GEF-7 needs to be developed considering trade-offs in the collection versus the use of information, as well as other alternatives—e.g., gathering data via remote sensing where appropriate—that may be feasible.

Streamlining the tracking tools for multifocal area projects is another area where more work remains to be done. During GEF-6, gains made in lowering the reporting burden on multifocal area projects were minor, due primarily to the

streamlining of the individual focal area tools. Given the increasing role and share of multifocal programs and projects in the GEF portfolio, reducing their reporting burden to a level comparable to that of a single focal area project is a challenge that needs to be addressed in GEF-7.

The review found a low level of compliance with the submission requirements at midterm and project completion. Concerns also exist related to the completeness of the submitted tracking tools. Part of the submission problem is linked to poor retrieval and storage of the submitted tracking tools, which is in turn largely due to a lack of adequate attention on the part of the GEF Secretariat in tracking submissions at midterm and project completion. The Secretariat does not have a system in place to track submission, identify potential delinquencies, and follow up with Agencies to ensure greater compliance with submission- and completeness-related requirements. Recent measures by the RBM team, such as taking stock of delinquencies and developing a dashboard to facilitate tracking of project implementation progress and submission of tracking tools, are important steps in addressing these issues.

6: Quality of terminal evaluation reports

This chapter summarizes findings on the quality of terminal evaluations of completed GEF projects received by the GEF Independent Evaluation Office from GEF Agencies. Terminal evaluation reports play a pivotal role in learning and adaptation. They provide project stakeholders with insight into the performance of completed projects and record lessons learned for future work. For these reasons, it is important to monitor the integrity and quality of terminal evaluations so as to assess the validity of analyses based on their findings. An explanation of the criteria for rating terminal evaluations can be found in [annex B](#).

As shown in table 6.1, the overall quality of terminal evaluations received by the IEO from the three original GEF Agencies as well as from other GEF partners remains high. Of the 1,067 terminal evaluations rated to date, 82 percent received satisfactory ratings for overall quality. There is a 5 percent difference between the percentages of terminal evaluations with satisfactory overall quality ratings by project size, with a smaller share of MSP evaluations rated as satisfactory compared to FSPs. Even so, well over two-thirds of all reviewed MSPs (79 percent) have received satisfactory overall quality ratings.

TABLE 6.1 Percentage of terminal evaluations with satisfactory quality ratings, by GEF Agency, APR cohort, and project size

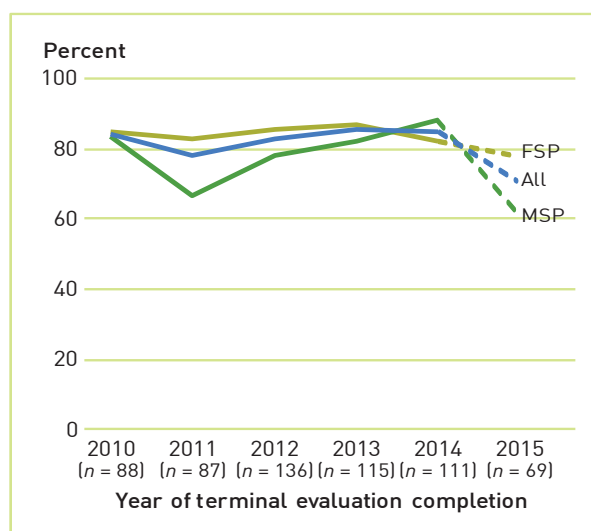
GEF Agency	APR 2015 cohort			APR 2004–14 cohorts			All rated projects		
	FSP	MSP	All	FSP	MSP	All	FSP	MSP	All
UNDP	69 (42)	85 (27)	75 (69)	83 (235)	79 (176)	81 (411)	81 (277)	80 (203)	80 (480)
UNEP	100 (5)	100 (10)	100 (15)	86 (50)	86 (63)	86 (113)	87 (55)	88 (73)	88 (128)
World Bank	80 (49)	8 (12)	66 (61)	89 (218)	79 (102)	86 (320)	88 (267)	72 (114)	83 (381)
Other	50 (6)	50 (4)	50 (10)	65 (17)	64 (14)	65 (31)	74 (23)	67 (18)	71 (41)
Joint	50 (2)	100 (1)	67 (3)	90 (30)	100 (4)	91 (34)	88 (32)	100 (5)	89 (37)
All Agencies	74 (104)	69 (54)	72 (158)	86 (550)	80 (359)	84 (909)	84 (654)	79 (413)	82 (1,067)

NOTE: Numbers of rated terminal evaluations are shown in parentheses.

Figure 6.1 displays the percentage of terminal evaluation reports receiving ratings of moderately satisfactory or above of those completed since 2010. A drop is discernible between 2014 and 2015, primarily due to a relatively large number of terminal evaluation reports for MSPs—most implemented by the World Bank—being rated in the unsatisfactory range. As of 2014, project terminal evaluation ratings had remained relatively stable at 85 percent.

Tables 6.2 and 6.3 focus on two areas where terminal evaluations have reported weaker ratings than for other performance dimensions: financial reporting and quality of project M&E systems. In these two areas, FSPs perform better than MSPs. For projects with terminal evaluations completed in 2010–15, the percentage of evaluations for which quality was rated in the satisfactory range on financial reporting is 74 percent for FSPs and 63 percent for MSPs. Similarly, the percentage

FIGURE 6.1 Percentage of terminal evaluation reports with overall quality ratings of moderately satisfactory or above, by project size



NOTE: Dotted lines indicate that trend lines are provisional and may change as additional ratings of terminal evaluations become available in subsequent APRs.

TABLE 6.2 Percentage of terminal evaluation reports with satisfactory financial reporting ratings, by year of report completion

Project size	2010	2011	2012	2013	2014	2015	2010–15
FSPs	75 [28]	64 [39]	76 [33]	83 [47]	73 [45]	68 [31]	74 [223]
MSPs	77 [35]	44 [18]	47 [36]	70 [40]	71 [41]	50 [22]	63 [192]
All projects	76 [63]	58 [57]	61 [69]	77 [87]	72 [86]	60 [53]	68 [415]

NOTE: Includes only those terminal evaluation reports with ratings on all quality metrics (indicated in parentheses).

TABLE 6.3 Percentage of terminal evaluation reports with satisfactory M&E reporting ratings, by year of report completion

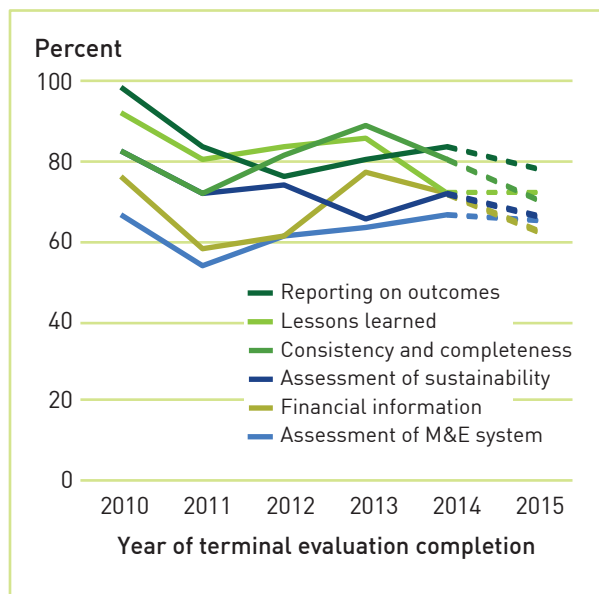
Project size	2010	2011	2012	2013	2014	2015	2010–15
FSPs	79 [28]	62 [39]	73 [33]	68 [47]	62 [45]	77 [31]	69 [223]
MSPs	57 [35]	39 [18]	50 [36]	58 [40]	68 [41]	45 [22]	55 [192]
All projects	67 [63]	54 [57]	61 [69]	63 [87]	65 [86]	64 [53]	63 [415]

NOTE: Includes only those terminal evaluation reports with ratings on all quality metrics (indicated in parentheses).

of projects with satisfactory ratings for M&E reporting in these cohorts is 69 percent for FSPs compared to 55 percent for MSPs.

Trends in quality of terminal evaluation reports are not dependent on replenishment period, but are more closely related to conditions at the time of terminal evaluation report completion. For this reason, figure 6.2 displays the percentages of terminal evaluation reports with ratings of moderately satisfactory or above on each quality dimension by year of report completion. Once again, a slight drop is visible for 2015; however, as coverage of 2015 projects increases, this trend might change.

FIGURE 6.2 Percentage of terminal evaluation reports with ratings of moderately satisfactory or above on each quality dimension



NOTE: Includes only those terminal evaluation reports with ratings on all quality metrics (see tables 6.2 and 6.3 for total numbers). Dotted lines indicate that trend lines are provisional and may change as additional ratings of terminal evaluations become available in subsequent APRs.

7: Management Action Record 2015

The GEF management action record tracks the level of adoption by the GEF Secretariat and/or the GEF partner Agencies (collectively referred to here as GEF management) of GEF Council decisions that have been made on the basis of GEF Independent Evaluation Office recommendations. The MAR serves two purposes:

(a) To provide Council with a record of its decisions on the follow-up of evaluation reports, the proposed management actions, and the actual status of these actions, and (b) to increase the accountability of GEF management regarding Council decisions on monitoring and evaluation issues. (GEF IEO 2005, 1)

The MAR was first presented in APR 2005 and has since been a regular feature of the APR. Based on its experience in implementing the MAR and feedback from key stakeholders, the GEF IEO streamlined the MAR process beginning with MAR 2014 (covering FY 2014–15 and reported on in APR 2014). There were two key changes in the approach.

- Instead of reporting on all tracked Council decisions annually, reporting is now based on whether sufficient time has elapsed for GEF management to adopt a given decision and for the IEO to assess progress. The revised approach accommodates instances where it is difficult to gauge compliance without a thorough assessment and/or where compliance may be ascertained only at a certain point in the replenishment cycle.

- Where appropriate, decisions may be graduated from the MAR if a rating of substantial adoption or higher has been achieved.

These changes mean that at the start of the MAR process for a given year, the IEO determines whether a decision needs to be reported on in that year's MAR. Decisions for which reporting has been deferred are listed in the APR, along with information on when and how adoption of the decision will be assessed in the future.

MAR 2015 tracks 11 GEF Council decisions, the adoption of 7 of which are reported on here. Three decisions—two from the June 2015 GEF Council meeting and one from the October 2015 GEF Council meeting—are new in this year's MAR. Since MAR 2012, the IEO has also been tracking adoption of decisions of the Least Developed Countries Fund/Special Climate Change Fund Council. Because last year's tracked decision was graduated and no new decisions are eligible for inclusion, no decisions from the LDCF/SCCF Council are tracked or reported on in this year's MAR. Tracking and reporting will resume when a decision of the LDCF/SCCF Council meets the criteria for tracking and reporting through the MAR.

7.1 Rating approach

For each tracked Council decision that is reported on, self-ratings are provided by GEF management on the level of adoption, along with commentary

as necessary. Ratings and commentary on tracked decisions are also provided by the GEF IEO for verification. The rating categories for the progress of adoption of Council decisions were agreed upon through a consultative process of the IEO, the GEF Secretariat, and the GEF Agencies. Categories are as follows:

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

Council decisions may be dropped from the MAR for the following reasons:

- **Graduation** due to a high—or, where appropriate, a substantial—level of adoption of the Council decision
- **Retirement**, as the Council decision has become less relevant, or subsequent Council decisions have made a high level of adoption of the decision difficult, or because further progress on adoption of the decision is likely to be slow and drawn out; decisions are automatically retired if they have been reported on in the MAR for five years

The GEF IEO keeps track of the reasons for removing a decision from the MAR.

7.2 Decisions tracked for MAR 2015

MAR 2015 tracks management actions on GEF Council decisions based on six GEF IEO documents:

- “Annual Country Portfolio Evaluation Report 2012” (GEF/ME/C.42/03)
- “GEF Annual Impact Report 2012” (GEF/ME/C.43/04)
- “GEF Annual Impact Report 2013” (GEF/ME/C.45/1)
- “GEF IEO Annual Country Portfolio Evaluation Report 2014” (GEF/ME/C.46/04)
- “Semi-Annual Evaluation Report June 2015” (GEF/ME/C.48/02), section on the Joint GEF-UNDP Small Grants Programme Evaluation
- “Semi-Annual Evaluation Report October 2015” (GEF/ME/C.49/01), section on Joint Impact Evaluation of GEF Support to Protected Areas and Surrounding Landscapes

Four decisions from MAR 2014 were deferred, as they require detailed assessment to ascertain progress on their adoption; the IEO will report on this progress when the required assessments are undertaken in future. The decisions for which reporting has been deferred are listed in table 7.1.

7.3 Findings

Of the 11 Council decisions tracked in MAR 2015, 7 were rated for their level of adoption. Table 7.2 shows a comparison of the ratings provided by GEF management and the IEO for these seven decisions. For six, the ratings provided by

TABLE 7.1 Council decisions on which reporting on adoption has been deferred in APR 2015

Council decision	GEF IEO evaluation	Future assessment
“To enable South-South cooperation activities as components of national, regional and/or global projects”	Annual Country Portfolio Evaluation Report 2012	Decision is directional in orientation; adoption will be assessed as part of the work undertaken for OPS6
“Take into account the findings and recommendations of this evaluation when screening future proposals submitted for GEF funding in the South China Sea and adjacent areas”	Annual Impact Report 2012	Adoption will be assessed as part of the planned evaluation on programmatic approaches, which will assess the extent to which the recommendations remained relevant and the progress made toward those recommendations
“The Council requests the Secretariat to include this emphasis [on broader adoption] and where necessary further strengthen it in the proposals for GEF-6”	Annual Impact Report 2013	Adoption will be assessed as part of the work undertaken for OPS6
“The Council requests the Secretariat and the Agencies to pay greater attention to national knowledge exchange and promote dissemination of data and information in the relevant national languages”	Annual Country Portfolio Evaluation Report 2014	Decision is directional in orientation; adoption will be assessed with knowledge management activities in OPS6

TABLE 7.2 GEF management and IEO ratings of adoption of Council decisions assessed for MAR 2015

Management rating	IEO rating				Sum of management ratings
	High	Substantial	Medium	Negligible	
High	1	0	0	0	1
Substantial	0	4 ^a	1	0	5
Medium	0	0	1	0	1
Negligible	0	0	0	0	0
Sum of GEF IEO ratings	1	4	2	0	7

NOTE: Highlighted cells show agreement between GEF management and GEF IEO ratings; cells to the right of the highlighted diagonal represent higher ratings by management than by the IEO (except in the case of not rated/not possible to verify yet).

a. This includes the Council decision from the “Semi-Annual Evaluation Report October 2015” on the Joint Impact Evaluation of GEF Support to Protected Areas and Surrounding Landscapes, which endorses the evaluation’s five recommendations. Progress made on each of these recommendations has been tracked, and a median rating generated to indicate overall progress.

management and the IEO matched, which indicates an overall convergence in the ratings.

GEF COUNCIL DECISIONS WITH ADOPTION RATED AT A HIGH OR SUBSTANTIAL LEVEL

For five of the seven decisions tracked, the level of adoption was rated to be substantial or higher. These five decisions pertain to five different evaluations submitted to the GEF Council.¹ One was rated as having a high level of adoption by both GEF management and the IEO: the decision on “Semi-Annual Evaluation Report June 2015,” which dealt with the the Joint GEF-UNDP SGP Evaluation. The decision had asked management to revitalize the global SGP Steering Committee. GEF management reported that the committee is now fully active, meets on a semiannual basis, and is providing overall strategic guidance to the SGP. In its assessment, the IEO confirmed that the committee has been completely revitalized and is indeed providing strategic guidance to the SGP on a regular basis.

There were four other decisions whose level of adoption was rated as substantial.

- The decision on “Annual Impact Report 2012” asked the GEF Secretariat to adopt a more robust tracking and reporting approach to ensure Agency accountability for collaboration and cooperation in the South China Sea and the East Asian Seas. The IEO noted implementation of a GEF-supported MSP on Applying Knowledge Management to Scale up Partnership Investments for Sustainable Development of the Large Marine Ecosystems (LMEs) (GEF ID 5110), which seeks to enhance the capacity

of projects in the region for effective capture and dissemination of lessons learned. Even though the IEO noted that such projects are not adequate substitutes for a mechanism to track Agency accountability for collaboration and cooperation in the region, it maintained that the recent restructuring of the Secretariat for region-based program development is likely to facilitate robust tracking and Agency accountability.

- The Council decision stemming from “Annual Impact Report 2013” requested the Secretariat to continue its work on improving the methodology for GHG emissions accounting in GEF projects, in collaboration with the GEF Scientific and Technical Advisory Panel (STAP) and other relevant entities. Management rated the level of adoption on this decision to be substantial. The IEO finds that management’s assessment is consistent with the actual progress made. The Secretariat coordinated a consultative process involving the STAP, the GEF Agencies, the IEO, and consultants to devise an approach to improve GHG emissions accounting in GEF projects within a context of evolving methodologies and a lack of uniformity in evaluation methodologies used by the GEF Agencies. The working groups established for this effort were able to come up with a consistent approach in identifying the appropriate methodologies for GHG emissions accounting for a given GEF project.
- The Council decision on “Annual Country Portfolio Evaluation Report 2014” requested the Secretariat to explore and pursue opportunities for using SGP country programs as service providers to implement community-level activities for FSPs and MSPs. In its self-assessment, management reported that proposals for the SGP to serve as a delivery mechanism were under development in

¹ “Annual Impact Report 2012,” “Annual Impact Report 2013,” “Annual Country Portfolio Evaluation 2014,” “Semi-Annual Report June 2015,” and “Semi-Annual Report October 2015.”

Mauritius, Ukraine, and the Caribbean. The IEO assessed this to be a substantial level of adoption of the Council decision.

- The Council decision on the “Semi-Annual Evaluation Report October 2015” endorsed the report’s five recommendations on the Joint Impact Evaluation of GEF Support to Protected Areas and Surrounding Landscapes, and asked the Secretariat to implement these recommendations. The IEO provided an overall adoption rating of substantial, taking into account progress made on the five recommendations. On the individual recommendations, the IEO found adoption progress to be substantial for Recommendation 1, ensuring that GEF support targets areas rich in global biodiversity; Recommendation 2, addressing the socio-economic conditions that will ensure local community commitment to biodiversity protection; Recommendation 3, investing in broader governance issues to address large-scale drivers; and Recommendation 5, investing in understanding what works and why. Adoption of Recommendation 4, developing a more reliable and practical monitoring system to track and assess results at the project and portfolio levels, was rated as medium.²

DECISIONS WITH A MEDIUM LEVEL OF ADOPTION

The level of adoption for two of the seven decisions was rated as medium. The first, stemming from “Annual Country Portfolio Evaluation Report 2012,” requested the Secretariat to reduce the

burden of reporting requirements of multifocal area projects to a level comparable to that of single focal area projects. The IEO notes that compared to GEF-5, there has been a reduction in the indicators used in the GEF-6 tracking tools for most focal areas. By extension, this reduction is likely to reduce the reporting burden for multifocal area projects. However, because the reporting burden is still significantly more than for single focal area projects, the IEO assessed that only a medium level of adoption has taken place for this decision.

The second decision the IEO rated as having a medium level of adoption is based on the recommendations of “Semi-Annual Evaluation Report June 2015” for the Joint GEF-UNDP SGP Evaluation. The decision asked the Secretariat and UNDP to continue upgrading SGP country programs, building on strengths and addressing weaknesses, and to revisit the criteria for selecting countries for upgrade. Management reported that it has identified six new countries for upgrading in GEF-6, in which the SGP would be funded through FSPs. The IEO acknowledged this progress, but assessed that further progress needs to be made in building on the strengths and addressing the weaknesses identified in the evaluation.

GRADUATED DECISIONS

Three of the five decisions that received a rating of substantial or high adoption will be graduated from the MAR. This includes one decision that received a high rating and two others that received substantial ratings for adoption. The graduated decisions addressed revitalization of the SGP Steering Committee, improvement in GHG emissions accounting methodologies used in GEF projects, and adoption of a robust tracking and reporting approach to ensure Agency accountability for collaboration and cooperation

² Management did not provide an overall rating, but its ratings on the individual recommendations generally mirrored those of the GEF IEO, except in rating adoption of Recommendations 1 and 5 as high rather than substantial.

in the South China Sea and the East Asian Seas area. Table 7.3 provides summary statistics on all decisions that have been graduated or retired from the MAR and their rating at exit.

The IEO determined that further tracking of progress is needed for the remaining two decisions that received a substantial rating on their adoption. Specifically, the Office intends to continue to track progress on the use of SGP country programs as service providers for FSPs and MSPs

to ensure that the gains made so far are not lost. Progress of adoption also needs to be tracked regarding implementation of the recommendations on the Joint Impact Evaluation of GEF Support to Protected Areas and Surrounding Landscapes.

A complete version of MAR 2015 is available on the GEF IEO website at <http://www.gefio.org/documents/management-action-record-mar-2015>.

TABLE 7.3 Number of graduated/retired Council decisions by MAR year and final IEO rating of adoption

MAR	High	Substantial	Medium	Negligible	Not rated or not possible to verify yet	Not applicable	Total
2005	5	15	7	3	0	0	30
2006	5	1	0	0	0	0	6
2007	7	8	0	0	2	0	17
2008	5	0	0	0	0	0	5
2009	5	0	0	0	0	0	5
2010	9	3	4	3	0	2	21
2011	2	0	0	0	0	0	2
2012	0	0	0	0	0	0	0
2013	5	1	1	1	2	0	10
2014	4	2	6	1	1	0	14
2015	1	2	0	0	0	0	3
Total	48	32	18	8	5	2	113

8: Performance matrix

The performance matrix (table 8.1) presents a summary of the performance of GEF Agencies and the GEF as a whole across a range of parameters including results, processes affecting results, and M&E. Some of the parameters included in the performance matrix, such as outcome ratings and cofinancing, are also covered in the preceding chapters; others are only reported on here. Values presented are in terms of moving averages for the last four APR cohorts for all parameters except Parameter 6, quality of terminal evaluations, for which values are a four-year average for terminal evaluations completed in years 2012–15.

8.1 Performance indicators

The six performance indicators and associated methodology used to arrive at the reported values are as follows.

Overall outcome ratings, cofinancing, figures on project extensions, and quality of M&E implementation (Parameters 1, 2, 3a, 3b, 3c, 4, and 5) are four-year averages for cohorts reported for the first time in APR 2012 to APR 2015; **quality of terminal evaluations** (Parameter 6) is based on terminal evaluation completion years 2012–2015. For averages on outcome ratings, project extensions, quality of implementation, and quality of M&E implementation, each project is given equal weight. Cofinancing figures are reported in two ways: Parameters 3a and 3c show the total

materialized cofinancing to the total GEF grant for the APR 2012–15 cohorts and the percentage of total promised project cofinancing from the same cohorts that materialized, respectively. Parameter 3b is the median amount of cofinancing to GEF grant for projects in the APR 2012–15 cohorts. Percentages and values on individual GEF partner Agencies exclude projects under joint implementation.

Parameter 4 shows the percentage of completed projects in the APR 2012–2015 cohorts that received project extensions of greater than two years. The figures include all projects with and without project extensions for which data on project extensions are available. Values for individual GEF partner Agencies exclude projects under joint implementation.

8.2 Findings

Seventy-nine percent of completed projects covered in the last four years (APR cohorts 2012–15) have outcomes in the satisfactory range, with most GEF Agencies in line with that figure—although the figure for the World Bank is lower. In comparison, 85 percent of projects were so rated in the previous four-year set of APR cohorts (2008–11). Similarly, 78 percent of the projects in the APR 2012–15 cohorts years received quality of implementation ratings in the satisfactory range, compared to 81 percent of the projects in the APR 2008–11 cohorts.

TABLE 8.1 Performance matrix

Parameter	UNDP	UNEP	World Bank	IFAD	UNIDO	Other ^a	Overall GEF
Results							
1. % of projects with overall outcome ratings of moderately satisfactory or higher	83 (258)	87 (63)	68 (70)	80 (10)	85 (13)	80 (35)	79 (549)
Factors affecting results							
2. Quality of implementation: % of projects rated moderately satisfactory or higher	83 (244)	90 (63)	65 (159)	80 (10)	75 (12)	74 (34)	78 (522)
Reported cofinancing ^b							
3a. Reported materialization of total cofinancing to total GEF funding	8.4 (215)	2.5 (61)	9.0 (134)	3.0 (8)	7.9 (12)	2.3 (30)	7.6 (460)
3b. Reported materialization of cofinancing to GEF funding—median project value	2.2 (215)	1.2 (61)	2.7 (134)	2.8 (8)	2.1 (12)	1.4 (30)	2.1 (460)
3c. Reported materialization of cofinancing as % of total promised cofinancing	215 (215)	84 (61)	110 (134)	107 (8)	113 (12)	71 (30)	128 (460)
Efficiency							
4. % of completed projects that require extensions of < 2 years ^c	13 (258)	13 (63)	14 (169)	0 (10)	0 (11)	26 (31)	13 (542)
Quality of M&E							
5. % of projects with M&E implementation ratings of moderately satisfactory or above	70 (251)	70 (64)	43 (151)	40 (10)	62 (13)	60 (30)	61 (519)
6. % of terminal evaluations rated moderately satisfactory or above	79 (219)	100 (49)	81 (122)	70 (10)	67 (12)	84 (19)	82 (431)

NOTE: All data are for APR years 2012–15, except for Parameter 6, which covers terminal evaluation report completion years 2012–15. Numbers of rated projects are shown in parentheses.

a. Other includes Asian Development Bank, Food and Agriculture Organization of the United Nations, Inter-American Development Bank, and joint projects.

b. Ratios include only projects for which data on realized cofinancing are available.

c. Only includes projects for which actual and expected project completion dates are available.

In the four-year average of projects introduced in APR 2012–15, overall total realized cofinancing to total GEF funding is high: \$7.60 of cofinancing was realized for every GEF dollar. Median project levels—which are more representative of typical projects—are quite different from total levels. The median project ratio for the four-year cohort was \$2.10 in cofinancing realized for every dollar of GEF funding. Overall, 128 percent of promised cofinancing was realized.

It is interesting to note the differences among and within Agencies on cofinancing indicators. For all Agencies, reported materialization of total cofinancing to GEF funding is higher than the median project value of cofinancing to GEF funding; however, the difference between the two indicators varies by Agency. UNDP, the World Bank, and UNIDO show a substantial difference between total realized cofinancing to total GEF funding and median project value of cofinancing to GEF funding; the difference is relatively small for UNEP, IFAD, and other Agencies.

Thirteen percent of the projects in this year's four-year moving average required extensions of more than two years. UNDP, UNEP, and the

World Bank are fairly in line on this metric. IFAD and UNIDO—both of which have relatively small numbers of observations—have not had any projects requiring extensions of more than two years in the four-year average. Other Agencies, which are also represented with a fairly small number of observations (31 projects), required extensions of more than two years for 26 percent of their projects.

Sixty-one percent of the projects in this year's four-year average were rated in the satisfactory range on M&E implementation, compared to 67 percent of the projects in the four-year average for the APR 2008–11 cohorts. There is a fair amount of variation between Agencies on this indicator.

Lastly, 82 percent of project terminal evaluations were rated in the satisfactory range for terminal evaluations completed between the years 2012 and 2015, compared to 84 percent of the project terminal evaluations completed between the years 2008 and 2011.

Annex A: Projects included in APR 2015 cohort

GEF ID	Name	Agency	Country	GEF funding (mil \$)	Focal area	Fund	Phase	Rating		
								Out-come	Sustain-ability	Source
8	Rural Energy	WB	Guinea	2.0	CC	GET	GEF-2	MS	MU	IAEO
31	Introduction of Viable Electric and Hybrid-Electric Bus Technology	UNDP	Egypt, Arab Rep.	0.7	CC	GET	GEF-2	MU	MU	GEFIEO
1924	Renewable Energy in Rural Markets Project	WB	Argentina	10.0	CC	GET	GEF-1	MU	ML	IAEO
21061	Capacity Building for the Rapid Commercialization of Renewable Energy	UNDP	China	8.8	CC	GET	GEF-1	S	L	GEFIEO
71165	West Java/Jakarta Environmental Management Project	WB	Indonesia	3.1	CC	GET	GEF-2	MS	U	IAEO
71287	Rural Energy for Development	WB	Uganda	8.9	CC	GET	GEF-2	MU	MU	IAEO
795	Biodiversity Conservation and Sustainable Natural Resource Management	UNDP	Algeria	0.7	BD	GET	GEF-2	MS	UA	GEFIEO
965	Systems Efficiency Improvement, Equitization and Renewables (SEER) Project—Renewables Components	WB	Vietnam	4.5	CC	GET	GEF-2	MU	MU	IAEO
967	Private Sector Led Development of On-Grid Wind Power in Tunisia	UNDP	Tunisia	2.0	CC	GET	GEF-3	MS	L	GEFIEO
1053	Sustainable Management of Globally Significant Endemic Ruminant Livestock of West Africa	UNDP	Regional	10.0	BD	GET	GEF-3	MS	ML	GEFIEO
1064	Strengthening Capacity for Managing National Parks and Biodiversity	WB	Gabon	10.0	BD	GET	GEF-3	MU	MU	IAEO
1074	DBSB: Anatolia Watershed Rehabilitation Project—under WB-GEF Strategic Partnership for Nutrient Reduction in the Danube River and Black Sea	WB	Turkey	7.0	IW	GET	GEF-2	MU	ML	IAEO

GEF ID	Name	Agency	Country	GEF funding (mil \$)	Focal area	Fund	Phase	Rating		
								Out-come	Sustain-ability	Source
1082	Southwest Indian Ocean Fisheries Project	WB	Regional	12.0	MF	GET	GEF-3	MS	MU	IAEO
1089	Asian Conservation Company	WB	Philippines	4.5	BD	GET	GEF-2	S	NR	GEFIEO
1095	Conservation of Trans-boundary Biodiversity in the Minkebe-Odzala-Dja Interzone in Gabon, Congo, and Cameroon	UNDP	Regional	10.1	BD	GET	GEF-3	MS	ML	GEFIEO
1135	Renewable Energy for Electricity Generation—Renewable Electrification of the Galapagos Islands	UNDP	Ecuador	3.2	CC	GET	GEF-2	MS	L	GEFIEO
1144	Komodo National Park Collaborative Management Initiative	WB	Indonesia	5.0	BD	GET	GEF-2	MS	NR	GEFIEO
1169	Biodiversity Conservation and Protected Area Management	UNDP	Syrian Arab Republic	3.3	BD	GET	GEF-3	MS	ML	GEFIEO
1189	Integrated Marine and Coastal Resource Management	WB	Senegal	5.0	BD	GET	GEF-3	U	U	IAEO
1234	Community-based Coastal and Marine Biodiversity Management Project	WB	Benin	4.3	BD	GET	GEF-3	U	MU	IAEO
1245	Renewable Energy-based Rural Electrification	UNDP	Lesotho	2.5	CC	GET	GEF-3	MU	MU	GEFIEO
1257	Protection and Management of Pakistan Wetlands	UNDP	Pakistan	3.0	BD	GET	GEF-3	MS	U	GEFIEO
1270	Marine Electronic Highway Demonstration	WB	Regional	8.3	IW	GET	GEF-3	MU	MU	IAEO
1273	Coastal Marine and Biodiversity Management	WB	Guinea	5.0	BD	GET	GEF-3	U	MU	IAEO
1300	Ecosystem Management of the Salar del Huasco for Biodiversity Conservation and Sustainable Use Outside Protected Areas	UNDP	Chile	0.8	BD	GET	GEF-2	S	ML	GEFIEO
1358	Renewable Energy-based Electricity Generation for Isolated Mini-grids	UNEP	Zambia	3.0	CC	GET	GEF-3	MU	ML	IAEO
1361	Generation and Delivery of Renewable Energy Based Modern Energy Services in Cuba; the Case of Isla de la Juventud	UNEP	Cuba	5.3	CC	GET	GEF-3	MU	ML	GEFIEO
1400	Capacity Building for the Implementation of the Cartagena Protocol on Biosafety	UNDP	Mexico	1.5	BD	GET	GEF-2	S	ML	GEFIEO

GEF ID	Name	Agency	Country	GEF funding (mil \$)	Focal area	Fund	Phase	Rating		
								Out-come	Sustain-ability	Source
1476	Caatinga Conservation and Sustainable Management Project	WB	Brazil	10.0	MF	GET	GEF-3	U	MU	IAEO
1490	Mekong River Basin Wetland Biodiversity Conservation and Sustainable Use Program	UNDP	Regional	4.1	BD	GET	GEF-2	MU	MU	GEFIEO
1532	Electric Cooperative System Loss Reduction Project	WB	Philippines	12.0	CC	GET	GEF-3	MU	ML	IAEO
1614	Demonstrating the Development and Implementation of a Sustainable Island Resource Management Mechanism in a Small Island Developing State	UNDP	Anti-gua and Barbuda	3.0	MF	GET	GEF-3	S	L	GEFIEO
1686	Renewable Energy Project	WB	Ethiopia	4.9	CC	GET	GEF-3	U	MU	IAEO
1732	In-Situ Conservation of Andean Crops and their Wild Relatives in the Humahuaca Valley, the Southernmost Extension of the Central Andes	UNDP	Argentina	0.9	BD	GET	GEF-3	S	L	GEFIEO
1889	Hazard Risk Mitigation and Emergency Preparedness Project	WB	Romania	7.0	IW	GET	GEF-3	MS	MU	IAEO
1892	Heat Reform and Building Energy Efficiency Project	WB	China	18.0	CC	GET	GEF-3	MS	ML	IAEO
2003	Transfrontier Conservation Areas and Sustainable Tourism Development Project	WB	Mozambique	10.0	BD	GET	GEF-3	S	MU	IAEO
2014	Incorporating Non-Motorized (NMT) Transport Facilities in the City of Gaborone	UNDP	Botswana	0.9	CC	GET	GEF-3	MU	ML	GEFIEO
2035	SFM Strengthening Protected Area System of the Komi Republic to Conserve Virgin Forest Biodiversity in the Pechora River Headwaters Region	UNDP	Russian Federation	4.5	BD	GET	GEF-4	S	L	GEFIEO
2098	Western Indian Ocean Marine Highway Development and Coastal and Marine Contamination Prevention Project	WB	Regional	11.0	IW	GET	GEF-3	MU	U	IAEO
2101	Marine and Coastal Environment Management Project	WB	Tanzania	10.0	MF	GET	GEF-3	MU	MU	IAEO

GEF ID	Name	Agency	Country	GEF funding (mil \$)	Focal area	Fund	Phase	Rating		
								Out-come	Sustain-ability	Source
2111	Russian Sustainable Energy Finance Program	WB	Russian Federation	7.0	CC	GET	GEF-3	S	ML	GEFIEO
2129	Demonstrating and Capturing Best Practices and Technologies for the Reduction of Land-sourced Impacts Resulting from Coastal Tourism	UNEP	Regional	5.4	IW	GET	GEF-3	NR	ML	IAEO
2174	Commercializing Energy Efficiency Finance—Tranche II	WB	Regional	6.8	CC	GET	GEF-2	S	L	GEFIEO
2241	Removal of Barriers to Energy Efficiency and Energy Conservation in Buildings	UNDP	Mauritius	0.9	CC	GET	GEF-4	S	L	GEFIEO
2251	Mainstreaming Marine Biodiversity Conservation into Coastal Management in the Aqaba Special Economic Zone	UNDP	Jordan	1.0	BD	GET	GEF-4	MS	ML	GEFIEO
2360	PCB Management and Disposal Demonstration	WB	China	18.3	Chem	GET	GEF-3	MS	MU	IAEO
2366	Southern Provinces Rural Electrification II Program	WB	Lao PDR	3.8	CC	GET	GEF-3	MS	ML	IAEO
2374	Rural Energy II	WB	Vietnam	5.3	CC	GET	GEF-3	S	ML	IAEO
2387	National Communications Programme for Climate Change	UNDP-UNEP	Global	58.6	CC	GET	GEF-3	S	ML	GEFIEO
2391	Facilitation of Financing for Biodiversity-based Businesses and Support of Market Development Activities in the Andean Region	UNEP	Regional	6.4	BD	GET	GEF-4	S	L	IAEO
2551	Colombian National Protected Areas Conservation Trust Fund	WB	Colombia	15.0	BD	GET	GEF-3	MS	ML	IAEO
2553	Piloting Climate Change Adaptation to Protect Human Health	UNDP	Global	4.5	CC	SCCF	GEF-4	MS	MU	GEFIEO
2554	Energy Efficiency Codes in Residential Buildings and Energy Efficiency Improvement in Commercial and Hospital Buildings in Morocco	UNDP	Morocco	3.0	CC	GET	GEF-3	MS	L	GEFIEO
2567	Sustainable Economic Development through Renewable Energy Applications	UNDP	Palau	1.0	CC	GET	GEF-4	MU	MU	GEFIEO
2605	Transitional Agriculture Reform	WB	Serbia	4.5	BD	GET	GEF-3	MU	ML	IAEO

GEF ID	Name	Agency	Country	GEF funding (mil \$)	Focal area	Fund	Phase	Rating		
								Out-come	Sustain-ability	Source
2609	GEF–World Bank–China Urban Transport Partnership Program	WB	China	21.0	CC	GET	GEF-4	MS	ML	IAEO
2614	Adaptation to Climate Change—Responding to Shoreline Change and Its Human Dimensions in West Africa through Integrated Coastal Area Management	UNDP	Regional	3.3	CC	GET	GEF-3	MS	MU	GEFIEO
2618	Biodiversity and Agricultural Commodities Program, Phase 1	WB	Global	7.0	BD	GET	GEF-3	S	L	GEFIEO
2624	China Utility-Based Energy Efficiency Finance Program	WB	China	16.5	CC	GET	GEF-3	MS	L	GEFIEO
2648	Capacity Building for the Implementation of the National Biosafety Framework	UNEP	Tunisia	0.9	BD	GET	GEF-3	MS	MU	IAEO
2720	Regional Project to Develop Appropriate Strategies for Identifying Sites Contaminated by Chemicals listed in Annexes A, B and/or C of the Stockholm Convention	UNIDO	Regional	2.0	Chem	GET	GEF-3	U	MU	GEFIEO
2751	SFM Rehabilitation and Sustainable Use of Peatland Forests in South-East Asia	IFAD	Regional	4.3	MF	GET	GEF-4	HS	ML	GEFIEO
2758	WB/GEF POL: Coastal Cities Environment and Sanitation Project—under WB/GEF Partnership Investment Fund for Pollution Reduction in the LME of East Asia	WB	Vietnam	5.0	IW	GET	GEF-3	MS	ML	IAEO
2761	National Program Support for Environment and Natural Resources Management Project	WB	Philippines	7.0	MF	GET	GEF-3	MU	ML	IAEO
2775	Development and Implementation of a Standards and Labeling Programme in Kenya with Replication in East Africa	UNDP	Kenya	2.0	CC	GET	GEF-3	MU	UA	GEFIEO
2777	Barrier Removal to the Cost-Effective Development and Implementation of Energy Standards and Labeling Project	UNDP	Regional	7.8	CC	GET	GEF-4	S	L	GEFIEO
2785	Capacity Building for PCB Elimination	UNDP	Ghana	2.9	Chem	GET	GEF-4	S	ML	GEFIEO

GEF ID	Name	Agency	Country	GEF funding (mil \$)	Focal area	Fund	Phase	Rating		
								Out-come	Sustain-ability	Source
2794	SIP: Country Program for Sustainable Land Management	WB	Ethiopia	9.0	LD	GET	GEF-4	MS	ML	IAEO
2806	Promoting Payments for Environmental Services (PES) and Related Sustainable Financing Schemes in the Danube Basin	UNEP	Regional	1.0	BD	GET	GEF-4	HS	L	IAEO
2816	Design and Execution of a Comprehensive PCB Management Plan for Kazakhstan	UNDP	Kazakhstan	3.3	Chem	GET	GEF-4	MS	MU	GEFIEO
2822	Support the Implementation of the National Biosafety Framework	UNEP	Mauritius	0.4	BD	GET	GEF-3	MS	MU	IAEO
2828	Rural Electrification and Renewable Energy Development	WB	Nigeria	1.0	CC	GET	GEF-3	MS	MU	IAEO
2876	SPWA-CC: Ouagadougou Transport Modal Shift	WB	Burkina Faso	0.9	CC	GET	GEF-4	MS	UA	GEFIEO
2884	Mainstreaming Market-based Instruments for Environmental Management Project	WB	Costa Rica	10.0	BD	GET	GEF-3	MS	MU	IAEO
2889	Zambezi Valley Market Led Smallholder Development	WB	Mozambique	6.2	MF	GET	GEF-3	MS	MU	IAEO
2902	Design and Implementation of Pilot Climate Change Adaptation Measures in the Andean Region	WB	Regional	7.5	CC	SCCF	GEF-4	MS	ML	IAEO
2911	West African Regional Biosafety Program	WB	Regional	5.4	BD	GET	GEF-3	MU	MU	IAEO
2931	Adaptation to Climate Change through Effective Water Governance	UNDP	Ecuador	3.0	CC	SCCF	GEF-4	MS	L	GEFIEO
2935	Micro-turbine Cogeneration Technology Application Project	UNDP	Indonesia	2.6	CC	GET	GEF-4	MU	U	GEFIEO
2947	Renewable Energy and Rural Electricity Access	WB	Mongolia	3.5	CC	GET	GEF-3	MS	ML	IAEO
2952	Thermal Power Efficiency	WB	China	19.7	CC	GET	GEF-4	S	ML	IAEO
2979	WB/GEF POL: Second Shandong Environment—under WB/GEF Partnership Investment Fund for Pollution Reduction in the LME of East Asia	WB	China	5.0	IW	GET	GEF-3	MS	L	IAEO

GEF ID	Name	Agency	Country	GEF funding (mil \$)	Focal area	Fund	Phase	Rating		
								Out-come	Sustain-ability	Source
2996	Portfolio Approach to Distributed Generation Opportunity (PADGO) (Phase 1)	WB	Sri Lanka	3.6	CC	GET	GEF-3	MU	ML	GEFIEO
3028	SFM Safeguarding and Restoring Lebanon's Woodland Resources	UNDP	Lebanon	1.0	LD	GET	GEF-4	MS	MU	GEFIEO
3032	Environmental Remediation of Dioxin Contaminated Hotspots in Vietnam	UNDP	Vietnam	5.0	Chem	GET	GEF-4	S	ML	GEFIEO
3101	Pacific Adaptation to Climate Change Project	UNDP	Regional	13.1	CC	SCCF	GEF-4	MS	ML	GEFIEO
3129	Sustaining Agricultural Biodiversity in the Face of Climate Change	UNDP	Tajikistan	1.9	MF	GET	GEF-4	S	ML	GEFIEO
3134	Implementing Pilot Climate Change Adaptation Measures in Coastal Areas of Uruguay	UNDP	Uruguay	1.0	CC	GET	GEF-4	S	L	GEFIEO
3144	PROBIO—Electricity Production from Biomass in Uruguay	UNDP	Uruguay	1.0	CC	GET	GEF-4	MS	ML	GEFIEO
3166	Mainstreaming Global Environmental Aspects in the planning and monitoring processes of the National Human Development Initiative in Morocco	UNDP	Morocco	0.5	MF	GET	GEF-4	S	ML	GEFIEO
3205	Sustainable Management of POPs in Mauritius	UNDP	Mauritius	0.9	Chem	GET	GEF-4	S	ML	GEFIEO
3215	Energy Efficiency Standards and Labeling of Building Appliances	UNDP	Jordan	1.0	CC	GET	GEF-4	MS	ML	GEFIEO
3227	Conservancy Adaptation Project	WB	Guyana	3.8	CC	SCCF	GEF-3	MS	ML	IAEO
3249	Adaptation to Climate Change in Arid Lands	WB-UNDP	Kenya	6.5	CC	SCCF	GEF-3	MS	L	GEFIEO
3254	Mainstreaming Prevention and Control Measures for Invasive Alien Species into Trade, Transport and Travel Across the Production Landscape	UNDP	Seychelles	2.0	BD	GET	GEF-4	MS	ML	GEFIEO
3257	Biomass Energy for Employment and Energy Security Project	UNDP	Bosnia and Herzegovina	1.0	CC	GET	GEF-4	MS	ML	GEFIEO
3271	SP-SFIF Regional Activities of the Strategic Partnership for a Sustainable Fisheries Investment Fund in the Large Marine Ecosystems of Sub Saharan Africa—Tranche 1	WB	Regional	1.0	IW	GET	GEF-3	MS	UA	GEFIEO

GEF ID	Name	Agency	Country	GEF funding (mil \$)	Focal area	Fund	Phase	Rating		
								Out-come	Sustain-ability	Source
3314	SP-SFIF: Sustainable Management of Fish Resources—under the Strategic Partnership for a Sustainable Fisheries Investment Fund in the Large Marine Ecosystems of Sub-Saharan Africa	WB	Senegal	6.0	IW	GET	GEF-3	HU	U	IAEO
3343	Enhancing the Use of Science in International Waters Projects to Improve Project Results	UNEP	Global	1.0	IW	GET	GEF-4	MS	U	IAEO
3363	SIP: Integrated Ecological Planning and Sustainable Land Management in Coastal Ecosystems in the Comoros in the Three Island of (Grand Comore, Anjouan, and Moheli)	IFAD	Comoros	1.0	MF	GET	GEF-4	U	U	GEFIEO
3372	SIP: Capacity Building and Knowledge Management for Sustainable Land Management	UNDP	Lesotho	1.7	LD	GET	GEF-4	MU	ML	GEFIEO
3374	SIP: Stabilizing Rural Populations through Improved Systems for SLM and Local Governance of Lands in Southern Madagascar	UNDP	Madagascar	0.9	LD	GET	GEF-4	MU	UA	GEFIEO
3379	SIP: Participatory Environmental Protection and Poverty Reduction in the Oases of Mauritania	IFAD	Mauritania	4.2	LD	GET	GEF-4	MS	ML	GEFIEO
3384	SIP: Scaling up SLM Practice, Knowledge, and Coordination in Key Nigerian States	WB	Nigeria	6.8	LD	GET	GEF-4	U	MU	IAEO
3386	SIP: Innovations in Micro Irrigation for Dryland Farmers	UNDP	Senegal	0.9	LD	GET	GEF-4	S		GEFIEO
3390	SIP: Lower Usuthu Smallholder Irrigation Project	IFAD	Swaziland	2.0	MF	GET	GEF-4	MS	L	GEFIEO
3391	SIP: Reducing Land Degradation on the Highlands of Kilimanjaro	UNDP	Tanzania	2.6	LD	GET	GEF-4	S	L	GEFIEO
3430	Implementing NAPA Priority Interventions to Build Resilience in the Agriculture and Water Sectors to the Adverse Impacts of Climate Change	UNDP	Sudan	3.3	CC	LDCF	GEF-4	MU	MU	GEFIEO
3443	SFM Strengthening Community Based Forest and Watershed Management	UNDP	Indonesia	7.0	MF	GET	GEF-4	MS	ML	GEFIEO

GEF ID	Name	Agency	Country	GEF funding (mil \$)	Focal area	Fund	Phase	Rating		
								Out-come	Sustain-ability	Source
3468	SLEM/CPP: Institutional Coordination, Policy Outreach and M & E Project under Sustainable Land and Ecosystem Management Partnership Program	WB	India	1.0	LD	GET	GEF-4	S	UA	GEFIEO
3470	SLEM/CPP: Sustainable Rural Livelihood Security through Innovations in Land and Ecosystem Management	WB	India	7.3	MF	GET	GEF-4	S	L	IAEO
3471	SLEM/CPP: Sustainable Land Water and Biodiversity Conservation and Management for Improved Livelihoods in Uttarakhand Watershed Sector	WB	India	7.5	MF	GET	GEF-4	S	ML	IAEO
3479	CO-EFFICIENCY: Improving Energy Efficiency in Buildings in Colombia through Synergies between Environmental Conventions	UNDP	Colombia	1.0	CC	GET	GEF-4	MS	MU	GEFIEO
3484	PRC-GEF Partnership: Capacity and Management Support for Combating Land Degradation in Dryland Ecosystems	ADB	China	2.7	LD	GET	GEF-4	S	ML	GEFIEO
3518	Strengthening the Marine and Coastal Protected Areas of Russia	UNDP	Russian Federation	4.0	BD	GET	GEF-4	MS	L	GEFIEO
3519	Reducing and Preventing Land-based Pollution in the Rio de la Plata/ Maritime Front through Implementation of the FrePlata Strategic Action Programme	UNDP	Regional	2.9	IW	GET	GEF-4	MU	MU	GEFIEO
3524	CTI Sulu-Celebes Sea Sustainable Fisheries Management Project	UNDP	Regional	2.9	IW	GET	GEF-4	MS	ML	GEFIEO
3528	Management and Disposal of PCBs in Kyrgyzstan	UNDP	Kyrgyz Republic	1.0	Chem	GET	GEF-4	U	U	GEFIEO
3529	SIP: Harmonizing Support: A National Program Integrating Water Harvesting Schemes and Sustainable Land Management	UNDP	Djibouti	1.0	LD	GET	GEF-4	MS	MU	GEFIEO

GEF ID	Name	Agency	Country	GEF funding (mil \$)	Focal area	Fund	Phase	Rating		
								Out-come	Sustain-ability	Source
3550	Strengthening Protected Area Network of Turkey—Catalyzing Sustainability of Marine and Coastal Protected Areas	UNDP	Turkey	2.2	BD	GET	GEF-4	MS	ML	GEFIEO
3562	Latin America: Communication and Public Awareness Capacity-Building for Compliance with the Cartagena Protocol on Biosafety	WB	Regional	0.9	BD	GET	GEF-4	S	UA	GEFIEO
3567	CPP: Burkina Faso—Sub-programme of the Northern Region-under Partnership Programme for Sustainable Land Management	IFAD	Burkina Faso	2.0	LD	GET	GEF-3	S	ML	GEFIEO
3578	CPP Cuba: Capacity Building for Planning, Decision Making and Regulatory Systems & Awareness Building/ Sustainable Land Management in Severely Degraded Ecosystems	UNDP	Cuba	3.5	LD	GET	GEF-3	S	L	GEFIEO
3590	Mainstreaming Biodiversity in the Coffee Sector in Colombia	UNDP	Colombia	2.0	BD	GET	GEF-4	S	ML	GEFIEO
3609	Strengthening the Financial Sustainability and Operational Effectiveness of the Venezuelan National Parks System	UNDP	Venezuela, RB	7.2	BD	GET	GEF-4	MU	ML	GEFIEO
3624	Promoting Energy Efficiency in Public Buildings	UNDP	Uzbekistan	2.9	CC	GET	GEF-4	S	ML	GEFIEO
3628	MENARID: Cross Cutting M & E Functions and Knowledge Management for INRM within the MENARID Programme Framework	IFAD	Regional	0.7	LD	GET	GEF-4	MU	U	GEFIEO
3630	BS Development of Biosafety Mechanisms to Strengthen the Implementation of the Cartagena Protocol in Guatemala	UNEP	Guatemala	0.6	BD	GET	GEF-4	MS	ML	IAEO
3642	BS Support the Implementation of the National Biosafety Framework of LAO PDR	UNEP	Lao PDR	1.0	BD	GET	GEF-4	MS	ML	IAEO

GEF ID	Name	Agency	Country	GEF funding (mil \$)	Focal area	Fund	Phase	Rating		
								Out-come	Sustain-ability	Source
3645	MENARID: Reducing Risks to the Sustainable Management of the North West Sahara Aquifer System	UNEP	Regional	1.0	IW	GET	GEF-4	HS	L	IAEO
3668	Extension of Kasanka Management System to Lavushi Manda National Park	WB	Zambia	0.8	BD	GET	GEF-4	S	MU	GEFIEO
3672	Phasing-out Incandescent Lamps & Energy Saving Lamps Promotion	UNDP	China	14.0	CC	GET	GEF-4	S	L	GEFIEO
3688	Strengthening the Sustainability of the Protected Areas System of the Republic of Montenegro	UNDP	Montenegro	1.0	BD	GET	GEF-4	MS	MU	GEFIEO
3689	Adaptation to the effects of drought and climate change in Agro-ecological Zone 1 and 2 in Zambia	UNDP	Zambia	3.8	CC	LDCF	GEF-4	S	MU	GEFIEO
3692	Effective Management of Nkhotakota Wildlife Reserve	WB	Malawi	0.9	BD	GET	GEF-4	MS	UA	GEFIEO
3718	Building the Capacity of the Agriculture Sector in DR Congo to Plan for and Respond to the Additional Threats Posed by Climate Change on Food Production and Security	UNDP	Congo, Dem. Rep.	3.0	CC	LDCF	GEF-4	S	ML	GEFIEO
3728	Strengthening of The Gambia's Climate Change Early Warning Systems	UNEP	Gambia, The	1.0	CC	LDCF	GEF-4	S	ML	GEFIEO
3759	Support to Sustainable Transportation System in the City of Belgrade	UNDP	Serbia	1.0	CC	GET	GEF-4	MU	ML	GEFIEO
3818	SFM Capacity Development for Climate Change Mitigation through Sustainable Forest Management in non-Annex I Countries	WB	Global	1.0	MF	GET	GEF-4	S	UA	GEFIEO
3820	Strengthening of the Protected Area Networking System in Mongolia	UNDP	Mongolia	1.4	BD	GET	GEF-4	S	ML	GEFIEO
3838	Reducing Vulnerability to Climate Change by Establishing Early Warning and Disaster Preparedness Systems and Support for Integrated Watershed Management in Flood Prone Areas	UNEP	Rwanda	3.5	CC	LDCF	GEF-4	S	L	GEFIEO

GEF ID	Name	Agency	Country	GEF funding (mil \$)	Focal area	Fund	Phase	Rating		
								Out-come	Sustain-ability	Source
3882	SLEM/CPP: Reversing Environmental Degradation and Rural Poverty through Adaptation to Climate Change in Drought Stricken Areas in Southern India: A Hydrological Unit Pilot Project Approach (under India: SLEM)	FAO	Global	0.9	CC	GET	GEF-4	HS	L	GEFIEO
3886	Colombian National Protected Areas Conservation Trust Fund—Additional Financing for the Sustainability of the Macizo Regional Protected Area System	WB	Colombia	4.0	BD	GET	GEF-4	MS	ML	IAEO
3901	LGGE: Energy Efficiency in Public Buildings	UNDP	El Salvador	1.0	CC	GET	GEF-4	S	L	GEFIEO
3910	Inter-jurisdictional System of Coastal-Marine Protected Areas	UNDP	Argentina	2.2	BD	GET	GEF-4	MU	MU	GEFIEO
3947	Catalyzing Financial Sustainability of the PA System	UNDP	Montenegro	1.0	BD	GET	GEF-4	MS	MU	GEFIEO
3960	CBSP-Capacity Building for Regional Coordination of Sustainable Forest Management in the Congo Basin under the GEF Program for the Congo Basin	WB	Regional	0.9	MF	GET	GEF-4	S	ML	GEFIEO
4010	BS: Capacity Building for Biosafety Implementation	UNEP	Mongolia	0.4	BD	GET	GEF-4	S	ML	IAEO
4012	Disposal of POPs Pesticides and Initial Steps for Containment of Dumped POPs Pesticides	UNDP	Georgia	1.0	Chem	GET	GEF-4	S	L	GEFIEO
4027	Global Partnership with Fisheries Industry for the Sustainability of Living Aquatic Resources	WB	Global	1.0	IW	GET	GEF-4	NR	UA	GEFIEO
4124	Implementation of Phase I of a Comprehensive PCB Management System	UNDP	Jordan	1.0	Chem	GET	GEF-4	S	ML	GEFIEO
4169	SPWA-BD: Scaling up the impacts of goods practices in linking poverty alleviation and biodiversity conservation	WB	Regional	1.0	BD	GET	GEF-4	S	L	GEFIEO
4210	Sustainable Urban Transport in Chiang Mai	WB	Thailand	0.7	CC	GET	GEF-4	MS	UA	GEFIEO

GEF ID	Name	Agency	Country	GEF funding (mil \$)	Focal area	Fund	Phase	Rating		
								Out-come	Sustain-ability	Source
4219	Emergency program for solar power generation and lighting for Haiti, as a consequence of the Earthquake in Port au Prince.	WB-IDB	Haiti	1.0	CC	GET	GEF-4	HS	ML	GEFIEO
4229	Fifth National Communication to the UNFCCC	UNDP	Mexico	2.7	CC	GET	GEF-4	MS	ML	GEFIEO
4256	Making Ocean Life Count	UNEP	Global	0.7	MF	GET	GEF-4	MS	MU	IAEO
4285	Promoting Energy Efficiency Technologies in Beer Brewing Sector in Burkina Faso	UNIDO	Burkina Faso	0.4	CC	GET	GEF-4	MS	UA	GEFIEO
4806	A Global Initiative on Landscapes for People, Food and Nature	UNEP	Global	1.0	LD	GET	GEF-5	MS	ML	IAEO

NOTE: *Agencies:* ADB = Asian Development Bank; FAO = Food and Agriculture Organization of the United Nations; IDB = Inter-American Development Bank; WB = World Bank. *Focal areas:* BD = biodiversity, Chem = chemicals, CC = climate change, IW = international waters, LD = land degradation, MF = multifocal. *Fund:* GET = GEF Trust Fund. *Outcome ratings:* HS = highly satisfactory, S = satisfactory, MS = moderately satisfactory, MU = moderately unsatisfactory, U = unsatisfactory, HU = highly unsatisfactory, NR = not rated. *Sustainability ratings:* L = likely, ML = moderately likely, MU = moderately unlikely, U = unlikely, UA = unable to assess. *Rating sources:* GEFIEO = GEF Independent Evaluation Office; IAEO = Implementing Agency evaluation office. *n* = 159.

Annex B: 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 M&E 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 the 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.

B.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,¹

¹ *Objectives* are the intended physical, financial, institutional, social, environmental, or other development results to which a project or program is expected to contribute (OECD DAC 2002).

relevance of the project results, and the project’s cost-effectiveness. The ratings on the outcomes of the project will be based on performance on the following criteria:²

- **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 (that is, 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?

² *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.

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

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

- **Highly satisfactory.** The project had no shortcomings.
- **Satisfactory.** The project had minor shortcomings.
- **Moderately satisfactory.** The project had moderate shortcomings.
- **Moderately unsatisfactory.** The project had noticeable 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.

B.2 Impacts

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

B.3 Criteria for sustainability ratings

Sustainability will be understood as the likelihood of continuation of project benefits after completion of project implementation (GEF 2000). To assess sustainability, the terminal evaluation reviewer will identify and assess the key risks that could undermine continuation of benefits at

the time of the evaluation. Some of these risks might include the absence of or inadequate financial resources, 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:

- a. 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)?
- b. 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?
- c. 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.

- d. Environmental.** Are there any environmental risks that can undermine the future flow of project environmental benefits? The terminal evaluation should assess whether certain activities in the project area will pose a threat to the sustainability of project outcomes. For example, construction of a dam in a protected area could inundate a sizable area and thereby neutralize the biodiversity-related gains made by the project.

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

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

B.4 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.

a. M&E design. Projects should have a sound M&E plan to monitor results and track progress in achieving project objectives. An M&E plan should include a baseline (including data, methodology, and so on), SMART (specific, measurable, achievable, realistic, and timely) indicators and data analysis systems, and evaluation studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified. 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)?

b. M&E plan implementation. The M&E system was in place and allowed the timely tracking of results and progress toward project objectives throughout the project. Annual project reports were complete, accurate, and with well-justified ratings. The information provided by the M&E system was used to improve and adapt project performance. An M&E system should be in place with proper training for parties responsible for M&E activities to ensure that data will continue to be collected and used after project closure. 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?

c. Other questions. These include questions on funding and whether the M&E system was a good practice.

- Was sufficient funding provided for M&E in the budget included in the project document?
- Was sufficient and timely funding provided for M&E during project implementation?
- Can the project M&E system be considered a good practice?

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

B.5 Criteria for assessment of quality of terminal evaluation reports

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

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

A number rating of 1–6 will be provided for each criterion according to the achievement and shortcomings, with highly satisfactory = 6, satisfactory = 5, moderately satisfactory = 4, moderately unsatisfactory = 3, unsatisfactory = 2, highly unsatisfactory = 1, and unable to assess = no rating. Each criterion to assess the quality of the terminal evaluation 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:

**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.

B.6 Assessment of processes affecting attainment of project outcomes and sustainability

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

- a. 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?
- b. 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?
- c. 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 C: GEF regions defined

The analysis presented in chapters 2 and 3 includes ratings on the basis of the region in which GEF project activities take place. Four regions are defined; following are the countries included in each region.

■ **Africa.** Algeria, Angola, Benin, Botswana, Burkina Faso, Burundi, Cameroon, Cape Verde, Central African Republic, Chad, Comoros, Democratic Republic of Congo, Republic of Congo, Côte d'Ivoire, Djibouti, Arab Republic of Egypt, Eritrea, Ethiopia, Gabon, The Gambia, Ghana, Guinea, Guinea-Bissau, Kenya, Lesotho, Liberia, Libya, Madagascar, Malawi, Mali, Mauritania, Mauritius, Mayotte, Morocco, Mozambique, Namibia, Niger, Nigeria, Rwanda, São Tomé and Príncipe, Senegal, Seychelles, Sierra Leone, Somalia, South Africa, Sudan, Swaziland, Tanzania, Togo, Tunisia, Uganda, Zambia, Zimbabwe

■ **Asia.** Afghanistan, American Samoa, Bangladesh, Bhutan, Cambodia, China, Fiji, India, Indonesia, Kiribati, Democratic People's Republic of Korea, Republic of Korea, Lao People's Democratic Republic, Malaysia, Maldives, Marshall Islands, Federated States of Micronesia, Mongolia, Myanmar, Nepal, Palau,

Pakistan, Papua New Guinea, the Philippines, Samoa, Solomon Islands, Sri Lanka, Thailand, Timor-Leste, Tuvalu, Tonga, Vanuatu, Vietnam, Republic of Yemen

■ **Europe and Central Asia.** Albania, Armenia, Azerbaijan, Belarus, Bosnia and Herzegovina, Bulgaria, Georgia, Hungary, Iran, Iraq, Jordan, Kazakhstan, Kosovo, Kyrgyz Republic, Latvia, Lebanon, Lithuania, former Yugoslav Republic of Macedonia, Moldova, Montenegro, Romania, Russian Federation, Serbia, Syrian Arab Republic, Tajikistan, Turkey, Turkmenistan, Ukraine, Uzbekistan, West Bank and Gaza

■ **Latin America and the Caribbean.** Antigua and Barbuda, Argentina, Belize, Bolivia, Brazil, Chile, Colombia, Costa Rica, Cuba, Dominica, Dominican Republic, Ecuador, El Salvador, Grenada, Guatemala, Guyana, Haiti, Honduras, Jamaica, Mexico, Nicaragua, Panama, Paraguay, Peru, St. Lucia, St. Vincent and the Grenadines, Suriname, Uruguay, República Bolivariana de Venezuela

Annex D: Projects with satisfactory quality of implementation ratings, by Agency and phase

GEF Agency	Pilot phase	GEF-1	GEF-2	GEF-3	GEF-4	All phases
UNDP	26 (23)	75 (16)	76 (70)	83 (157)	87 (132)	79 (398)
UNEP	100 (2)	100 (2)	84 (19)	82 (55)	100 (25)	88 (106)
World Bank	69 (29)	74 (23)	77 (88)	66 (122)	86 (28)	72 (290)
ADB	0 (0)	0 (0)	100 (2)	83 (6)	100 (1)	89 (9)
FAO	0 (0)	0 (0)	0 (0)	75 (4)	0 (0)	75 (4)
IDB	0 (0)	0 (0)	0 (0)	75 (4)	0 (0)	75 (4)
IFAD	0 (0)	0 (0)	0 (0)	100 (4)	67 (6)	80 (10)
UNIDO	0 (0)	0 (0)	0 (0)	50 (2)	78 (9)	77 (13)
Joint	0 (0)	57 (7)	20 (10)	79 (14)	100 (4)	60 (35)
All projects	52 (54)	73 (48)	75 (189)	77 (364)	88 (209)	77 (869)

NOTE: ADB = Asian Development Bank; FAO = Food and Agriculture Organization of the United Nations; IDB = Inter-American Development Bank; WB = World Bank. Numbers of rated projects are shown in parentheses. Details may not sum to 100 percent due to rounding. All phases includes five projects from GEF-5.

Annex E: People interviewed in tracking tool review

Debla Bersisa	Project Manager UNDP	Interview	September 22, 2015
Jessie Mee	Results, Knowledge Management Specialist, UNDP	Interview	September 22, 2015
Ludwig Siege	Project Manager, GEF UNDP project (GIZ)	Interview	September 22, 2015
Girma Workie	M&E Specialist GEF in a GEF-UNDP Project		
Julius Ningu	GEF Operational Focal Point for Tanzania	Interview	September 28, 2015
Fortunate Muyambi	M&E Specialist GEF in a GEF-UNDP Project	Phone interview	September 28, 2015
Jossy Thomas	Project Manager, UNIDO	Phone interview	October 5, 2015
Joana Talafre	Consultant, UNEP, UNIDO, IFAD	Phone interview	October 6, 2015
Mark Zimsky	Biodiversity Coordinator, GEF Secretariat	Interview	February 1, 2016
Ulrich Apel	Land Degradation Coordinator, GEF Secretariat	Interview	February 4, 2016
David Rodgers	CCM Coordinator	Interview	February 5, 2016
Milena Vasquez	Junior Professional Associate, GEF Secretariat		
Christian Severin	IW Coordinator	Interview	February 10, 2016
Steffen Hansen	Environmental Specialist, GEF Secretariat		
Christine Roehrer	RBM Lead, GEF Secretariat	Interview	March 2, 2016
Omid Parzikar	Operations Officer, RBM, GEF Secretariat		
Caroline Peterson (with Jessie Mee)	M&E Biodiversity, UNDP	Phone interview	March 8, 2016
Mohamed Bakkar	IAP Lead, GEF Secretariat	Interview	March 15, 2016
Anil Sookdev	Coordinator Chemicals and Waste, GEF Secretariat	Interview	March 24, 2016
Knut Roland Sundstrom	Program Manager Adaptation, GEF Secretariat	Interview	March 24, 2016
Sonja Teelucksingh (with Omid Parhizkar)	Environmental Specialist, RBM, GEF Secretariat	Interview	March 24, 2016
Nancy Bennett	RBM Lead, UNDP	Interview	April 9, 2016

Annex F: Tracking tool data field types classified as high effort

Phase	Field	Comment
Biodiversity		
GEF-5	Financial sustainability analysis for management or protected area systems (68)	Hard to obtain financing data
	Landscapes and seascapes certified by environmental standards (3)	Complex market estimates
GEF-6	Financial sustainability analysis for management or protected area systems (68)	Hard to obtain financing data
	Protected area management effectiveness score (16)	Field measurements included
	Biodiversity values and ecosystem service values in planning and decision (18)	Complex subject, little guidance
	Rates of poaching incidents and arrests and convictions (6)	Field measurements
	Sustainable populations of critically threatened species (12)	Field measurements
	Diversity status of target species (agricultural plant and animal resources) (6)	Field measurements
Chemicals		
GEF-5	Persistent organic pollutants (POPs) not produced or used as result of alternatives; in tonnes per year (4)	Complex estimates
	Unintentionally produced POPs releases avoided or reduced in toxic-equivalent grams (6)	Complex estimates
	PCBs and PCB-related wastes disposed of or decontaminated; in tonnes (5)	Complex estimates
	Obsolete pesticides, including POPs disposed of in tonnes (2)	Complex estimates
GEF-6	Quantifiable and verifiable tonnes of POPs eliminated or reduced (10)	Complex estimates
	Tonnes of ozone-depleting substances phased out (1)	Complex estimates
	Tonnes of carbon dioxide-equivalent phased out (1)	Complex estimates
	Amount of mercury reduced (5)	Complex estimates
Climate change adaptation		
GEF-5	% increase per capita income of farm household (1)	Complex estimates
	% increase per capita income of household outside of climate change-vulnerable sectors	Complex estimates
GEF-6	No high-effort items identified	

Phase	Field	Comment
Climate change mitigation		
GEF-5	Tonnes of carbon dioxide–equivalent avoided (16)	Complex estimates
	Lifetime energy saved (1)	Complex estimates
	Installed capacity per technology product (10)	Complex estimates
	Lifetime energy product per technology (10)	Complex estimates
GEF-6	Tonnes of GHGs reduced or avoided (2)	Complex estimates
	Lifetime energy saved (1)	Complex estimates
	Installation capacity per renewable energy technology resulting from project (1)	Complex estimates
	Lifetime energy renewable energy production per technology (1)	Complex estimates
	Time saved in adoption of low-GHG technology (%) (1)	Complex estimates
International waters		
GEF-5	Stress reduction amount/value (15)	Complex estimates
GEF-6	Stress reduction amount/value (15)	Complex estimates
Land degradation		
GEF-5	Project context (10)	Complex estimates on extent and nature of degradation
	Global environmental benefit and development (targeted) (14)	Field measurements and estimates on vegetation productivity, carbon, biodiversity, water, livestock, and income
	Land area in production systems with improved vegetative cover (1)	Field measurements on increased vegetation cover
GEF-6	Project context (12)	Complex estimates on income; extent and nature of degradation
	Global environmental benefit and development (actual) (7)	Field measurements on vegetation and estimates on carbon and income
	Land area in production systems with improved vegetative cover (1)	Poor guidance on how to measure improved vegetative cover
Sustainable forest management		
GEF-5	Enhanced carbon sinks from reduced forest degradation	Complex estimates
GEF-6	Lifetime GHGs avoided (direct and indirect)	Complex estimates

NOTE: Figures in parentheses are the number of data fields in a tracking tool that ask for this type of information.

Annex G: Results framework indicators not addressed by tracking tools

Focal area	GEF-5	GEF-6
Biodiversity	National Access and Benefit Sharing (ABS) Framework operational score Percentage of development and sectoral frameworks that integrate measurable biodiversity conservation and sustainable use	Number of threatened species protected
Chemicals	All ozone-depleting substance-related indicators All mercury-related indicators	All tracked
Climate change adaptation	All tracked	All tracked
Climate change mitigation	Volume of investment mobilized by objectives	All tracked
International waters	All tracked	All tracked
Land degradation	All tracked	All tracked
Sustainable forest management	Maintained frontiers between agricultural and forest land (GIS map)	All tracked

Annex H: Comparison of tracking tool layouts

Item	GEF-5	GEF-6
Biodiversity		
Excel file layout	1 Excel file with 5 worksheets: 3 covering Objective 1, 1 each for Objectives 2 and 3; reference to Word guidance document	Two Excel files: first includes 3 sheets that gather information relevant for objective 1, which addresses biodiversity program 1 and 2; the second Excel file includes 8 sheets that cover objectives 2, 3, and 4, and which together address the remaining 8 biodiversity programs
Targets and achievements	No clear distinction	Yes
Reporting continuity	Room for only one reporting milestone	Three reporting milestones aligned in worksheet
Guidance	30-page Word document	Self-explanatory
Chemicals		
Excel file layout	One Excel file with 9 worksheets: 1 is introduction, 8 worksheets each relate to a certain type of persistent organic pollutant (POP); Objective 1 of 3 is addressed	One Excel file with 5 worksheets: 1 is introduction, 4 are for individual clusters of chemicals (POPs, ozone-depleting substances, mercury, other); 2 objectives are covered
Targets and achievements	Yes	Yes
Reporting continuity	Room for single reporting time	Room for single reporting time
Guidance	Self-explanatory	Self-explanatory
Climate change adaptation		
Excel file layout	One Excel file with 4 worksheets: 1 general project information, 3 reporting milestones	One Excel file with 2 worksheets; first worksheet covers 3 objectives, the other one covers guidelines
Targets and achievements	Yes	Yes
Reporting continuity	3 worksheets for reporting times	3 worksheets for reporting times
Guidance	Self-explanatory	Tracking Tool contains guideline worksheet
Climate change mitigation		
Excel file layout	One Excel file with 3 worksheets, each covering 6 objectives and 3 reporting milestones	One Excel file with 3 worksheets, each covering the program and 3 reporting milestones
Targets and achievements	Yes	Yes
Reporting continuity	Each worksheet covers one reporting time	Each worksheet covers one reporting time
Guidance	Self-explanatory	Self-explanatory

Item	GEF-5	GEF-6
International waters		
Excel file layout	1 Excel file with 2 worksheets: 1 covering the program, 1 annex	No change for international waters
Targets and achievements	Yes, targets missing	
Reporting continuity	Room for single reporting time	
Guidance	PDF document	
Land degradation		
Excel file layout	One Excel file with 4 worksheets: project identification, context and targeted impact, outcome & learning (covering the 4 objectives), and a score guide	One Excel file, 4 worksheets: Project Identification, Context, Global Environment Benefits, and Development and Outcomes (covering 4 objectives)
Targets and achievements	Yes, baselines missing	Yes, targets missing
Reporting continuity	Room for single reporting time	Room for single time reporting
Guidance	10-page Word document	8-page Word document
Sustainable forest management		
Excel file layout	One Excel file with 3 worksheets, each covering 2 objectives, 3 reporting milestones	One Excel file, 1 worksheet, covering the 4 objectives
Targets and achievements	Yes	Yes
Reporting continuity	Each worksheet covers one reporting milestone	Room for one reporting milestone
Guidance	6-page PDF document	Tracking tool is self-explanatory with embedded guidance

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