STRATEGIC COUNTRY CLUSTER EVALUATION (SCCE)

OF THE SMALL ISLANDS DEVELOPING STATES (SIDS)

(Prepared by the Independent Evaluation Office of the GEF)

- APPROACH PAPER -

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Abbreviations

AIMS	Atlantic, Indian Ocean, Mediterranean and South China Sea
BPOA	Barbados Programme of Action
CBD	Convention on Biological Diversity
COP	Conference of Parties
CPE	Country portfolio evaluation
GEF	Global Environment Facility
IBRD	International Bank for Reconstruction and Development
IDA	International Development Association
IEG	Independent Evaluation Group of the World Bank
IEO	Independent Evaluation Office of the GEF
IMF	International Monetary Fund
LDC	Least developed country
LDCF	Least Developed Countries Fund
NPIF	Nagoya Protocol Implementation Fund
ODA	Official development assistance
OECD	Organization for Economic Cooperation and Development
OECS	Organisation of Eastern Caribbean States
PICs	Pacific island countries
SAMOA	SIDS Accelerated Modalities of Action
SCCE	Strategic country cluster evaluation
SCCF	Special Climate Change Fund
SIDS	Small island development state
SPREP	Secretariat of the Pacific Regional Environment Programme; previously the South Pacific Regional Environment Programme
STAP	Scientific and Technical Advisory Panel
STAR	System for Transparent Allocation of Resources
UNCCD	United Nations Convention to Combat Desertification
UNFCCC	United Nations Framework Convention on Climate Change
WBG	World Bank Group

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.

Introduction

1. The Global Environment Facility (GEF) is an international financial institution that provides grants to developing countries and countries with economies in transition for projects that address global environmental concerns related to biodiversity, climate change, international waters, land degradation, and chemicals and waste. The GEF acts as operating entity of the financial mechanism of the UNFCCC (United Nations Framework Convention on Climate Change) and other environmental Conventions, and was entrusted with the (financial) operation of the GEF Trust Fund, the Least Developed Countries Fund (LDCF), the Special Climate Change Fund (SCCF) and the Nagoya Protocol Implementation Fund (NPIF).[1] Its governance structure includes an Assembly, a Council, a Secretariat, a Scientific and Technical Advisory Panel (STAP) and an Independent Evaluation Office (IEO).

2. From its 4th replenishment period (2006-2010) onwards, the GEF has moved toward more integrated programming as a strategy to tackle the main drivers of environmental degradation and achieve impact at scale (IEO 2018c). This often involves programs dealing with issues that go beyond national boundaries. The IEO conducted its first cluster country portfolio evaluation (CPE) in 2011 (IEO 2012a), focusing on six member countries of the Organisation of Eastern Caribbean States (OECS). The fact that regional projects are a predominant support modality in the countries covered resulted in the use of a clustered evaluation approach. The Vanuatu and Secretariat of the Pacific Regional Environment Programme (SPREP) CPE (IEO 2015a) took place between 2012 and 2013 and examined GEF support in the Asia and Pacific region during GEF's fifth replenishment period. The evaluation covered the Vanuatu national portfolio and the 11 regional projects for which SPREP was the regional executing agency.

3. The concept of strategic country cluster evaluations (SCCEs) was introduced in the IEO work program for the GEF-6 replenishment period and subsequently approved by Council (IEO 2015b). SCCEs focus on common themes across clusters of countries and/or portfolios involving a critical mass of projects and experience with GEF programming. Starting from aggregate portfolio analysis to identify trends as well as cases of positive, absent or negative change, SCCEs intend to deep-dive in those themes and unpack them through purposive evaluative inquiry. SCCEs depart from a similar conceptual analysis framework to enable comparing findings across geographic regions and/or portfolios, while at the same time allowing for enquiry specific to each cluster of countries. In addition to the aggregate portfolio analysis, SCCEs aim to use geospatial analysis to support field case studies that focus on specific environmental challenges, by providing additional information on selected sites and additional data for triangulation and analysis. The purpose of field case studies is to identify and understand the determinants of the observed change, or lack thereof.

4. This approach paper relates to a SCCE covering 39 Small Island Developing States (SIDS) in the AIMS (Atlantic, Indian Ocean, Mediterranean and South China Sea), Caribbean, and Pacific regions. See annex 1 for a complete overview of countries. From here onwards, 'countries' refers to the 39 SIDS covered by this evaluation, unless stated otherwise.

5. The choice to evaluate the SIDS as a strategic cluster is based on their shared geophysical constraints, resulting in disproportionately large economic, social and environmental challenges, and is

[1] The Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization to the Convention on Biological Diversity, also known as the Nagoya Protocol on Access and Benefit Sharing (ABS), is a 2010 supplementary agreement to the 1992 Convention on Biological Diversity (CBD).

supported by Council members' requests for a more in-depth reviewing of the SIDS portfolio of projects. This evaluation will explore some of the key issues that emerged from the Sixth Overall Performance Study's (OPS6) main findings and conclusions (IEO 2018e), which deserve further exploration. A continuous stakeholder consultation process is utilized to gather feedback from GEF Agencies, evaluation offices and country stakeholders, for which a separate audit trail will be developed. Twenty-nine key stakeholders working on SIDS issues were interviewed for the development of this approach paper; answers from the structured interviews were coded in MaxQDA resulting in close to 1,500 data points. An overview of interviewees consulted is given in annex 2.

6. The SIDS SCCE will take place in parallel with two other SCCE's, namely

(1) the African biomes SCCE, focusing on 23 countries situated in the African Sahel and Sudan-Guinea Savanna biomes, and

(2) the least developed countries (LDC) SCCE, focusing on the 47 LDCs globally.

7. The three SCCE's will be harmonized, departing from the same conceptual framework and key evaluation questions, and following a similar evaluation methodology and process. Complementarities are sought in planning the evaluations' field work, given 19 LDCs are also part of the African biomes SCCE, and nine of the SIDS are LDCs

8. The SIDS context is discussed in the first chapter, touching upon the international environmental conventions and SIDS specific action plans, strategies and partnerships, as well as SIDS environmental and financial challenges. Chapter two focuses on GEF support to SIDS, touching upon the GEF programming direction, the SIDS project portfolio supported by GEF managed funds, and available evaluative evidences from the GEF and its partners. The evaluation's objectives, key questions, design and timeline can be found in the last chapter.

1. SIDS context

Highlights

9. International conventions have recognized SIDS as a special case for environment and development, and key priority areas have been identified over time.

10. Most countries have ratified the GEF relevant Conventions, except for the Minamata Convention on Mercury which has only been ratified by nine SIDS.

11. The 39 SIDS are rather heterogenous when it comes to their environmental challenges and socio-economic development picture. Environmental challenges relate to sea-level rise, deforestation, coastal and coral reef degradation, overfishing, threats to biodiversity, waste management and water quality, and the extraction of minerals.

12. Contrary to other middle- and high-income countries, SIDS often have creditworthiness issues and face difficulties mobilizing international and domestic financial resources.

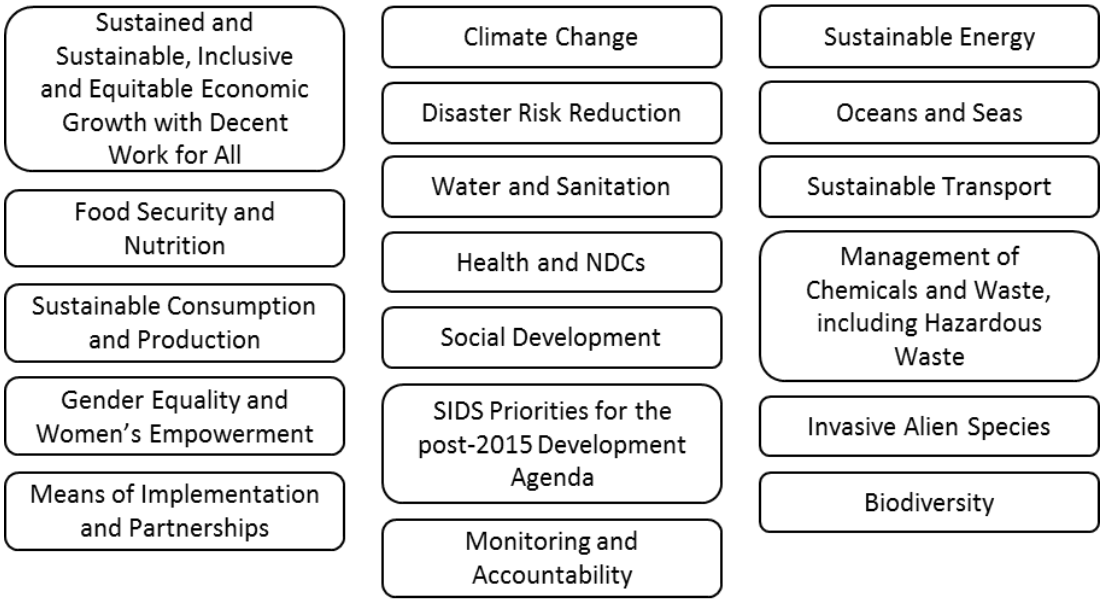
SIDS and international conventions

13. The 1992 United Nations Conference on Environment and Development held in Rio de Janeiro, Brazil, recognized the SIDS as "a special case both for environment and development" in the context of Agenda 21 (UN 1992 – Chapter 17 G). The Barbados Programme of Action (BPOA) was produced in Bridgetown, Barbados in 1994 at the first Global Conference on the Sustainable Development of Small Island States. The policy document identified specific SIDS vulnerabilities and prescribed actions linked to these vulnerabilities, and opportunities to support SIDS in achieving sustainable development (UN 1994 – Annex 2).

14. In 2005, the Mauritius Strategy for further Implementation of the BPOA was adopted, recognizing the impact of financial resource constraints on implementing the BPOA. "The ecological, economic and social vulnerabilities of SIDS and their lack of resilience to external shocks - whether caused by financial markets and globalization or by extreme weather events and natural disasters […] - magnified the lack of capacity of most SIDS to mobilize the necessary funding and technical expertise required to fully implement the BPOA," and has resulted in a clear implementation gap.

15. Nineteen new priority areas were identified in Mauritius, building on the original 14 thematic areas of the BPOA. In line with the. Millennium Development Goals, the Mauritius Strategy framework aimed to put in place measures to build resilience in SIDS. In 2014, the international community gathered in Samoa for the Third International Conference on Small Island Developing States to forge a new pathway for the sustainable development of this group of countries. The SAMOA (SIDS Accelerated Modalities of Action) Pathway, recognizes the adverse impacts of climate change on SIDS' efforts to achieve sustainable development as well as to their survival and viability. It addresses economic growth, climate change, sustainable energy, food security, biodiversity, disaster risk reduction and ocean management, among other issues. Gender equality and women's empowerment is also mentioned as one of the SAMOA Pathway priority areas (see figure 1). (UN 2014)

Figure 1: SAMOA pathway priority areas



16. As a follow up to the third conference, the 70th session of General Assembly decided to formally establish the SIDS Partnership Framework. The aim of the framework is to monitor and ensure the full implementation of pledges and commitments through SIDS partnerships, and to encourage new, genuine and durable partnerships for SIDS sustainable development (UN 2016). A first Global Multi-stakeholder SIDS Partnership Dialogue took place during the 71st Session of the UN General Assembly, on 22 September 2016. The SIDS Partnership Framework process, led by Italy and the Maldives, is working to review the commitments and pledges from partnerships launched in Samoa in 2014, and to encourage all partners to keep momentum for implementing the SAMOA Pathway and 2030 Agenda.

17. A second Global Multi-stakeholder SIDS Partnership Dialogue took place on 7 June 2017, in the sidelines of the Ocean Conference, and had a specific focus on ocean partnerships for SIDS. The critical role of partnerships in finding solutions to SIDS challenges was reiterated throughout the event, but key challenges remain. The need to build upon, and increase, voluntary commitments and partnerships from all stakeholder in SIDS was highlighted by many participants (UN OHRLLS 2017).

18. Key stakeholders interviewed for the development of this approach paper saw a clear value in SIDS international and regional collaborations and partnerships, and South-South learning, to discuss SIDS specific environmental and developmental challenges, and learn from experiences and best practices. Some point out that there is a need to also further develop North-South partnerships, to not isolate as a group and learn through research collaboration and technology transfer to support SIDS.

19. All 39 SIDS ratified the three main conventions, being the United Nations Framework Convention on Climate Change (UNFCC), the United Nations Convention to Combat Desertification (UNCCD), and the Convention on Biological Diversity (CBD). Almost all countries ratified the Stockholm Convention on Persistent Organic Pollutants, and most countries ratified the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, and the Ramsar Convention on Wetlands of International Importance especially as Waterfowl Habitat. Twenty-two

countries ratified the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade. Only nine countries ratified the Minamata Convention on Mercury. Thirty-three countries ratified one or more regional conventions focused on the marine environment, like – for example – the Cartagena Convention for the Protection and Development of the Marine Environment of the Wider Caribbean Region. A full overview of countries' ratification of international environmental agreements is provided in annex 3.

Environmental challenges

20. While sharing certain geophysical constraints, environmental challenges and vulnerabilities due to their small size, geographical remoteness and fragile environment, we should be cognizant of the fact that these countries are rather heterogenous when it comes to their environmental challenges and socio-economic development picture. An overview of environmental challenges by country is provided in annex 4 and the main environmental issues are further discussed below. (UN OHRLLS 2015; UNEP 1999, 2008, 2010, 2013; World Bank 2009, 2015)

21. Sea level rise: Climate change poses both economic and existential threats to SIDS, especially when considering these countries' low resilience to natural disasters such as cyclones and earthquakes. Particularly at risk from rising sea levels are the Bahamas, Bahrain, Kiribati, Maldives, Marshall Islands and Tuvalu where between 30 to 55 percent of the land is below five meters above sea level.[2]

22. Natural disasters: Caribbean SIDS are particularly prone to hydro-meteorological events, and the fact that most of the population is in urban areas near the coast makes them particularly vulnerable. Antigua and Barbuda, Belize, Dominica, Grenada, Haiti, St. Kitts and Nevis, St. Lucia, and St. Vincent and the Grenadines, are eight Caribbean SIDS that either classify as 'country most prone to be hit by a natural disaster', or 'country with highest impact as percentage of disaster-related damages to its gross domestic product'. Many Caribbean SIDS are vulnerable to a multitude of natural disaster, ranging from hurricanes, tropical storms, floods, and storm surges to earthquakes, landslides and volcanic eruptions.

23. Deforestation: The constant deterioration of forests is a prevalent challenge and one that is most difficult to solve in SIDS with deforestation challenges. SIDS face pressures on their forest resources for varying reasons. For instance, in the Dominican Republic there is a demand for tourism infrastructure and occurrences of natural forest fires, while in Jamaica the high demand for bauxite mineral puts pressure on their forest resources. In addition, the forest cover percentage differs across countries; Haiti has a forest cover of 3.52 percent of total land area and is at high risk for severe deforestation. Belize, Fiji, Guinea Bissau, Palau, and Sao Tome and Principe all have high forest cover percentages ranging between 50 to 80 percent. The Comoros, Dominican Republic, Jamaica, Tuvalu and Vanuatu all face risk from deforestation, with forest cover ranging from 19 to 42 percent of total land area. Note that given the small size of many of the SIDS, a relative small loss translates in an absolute loss of forest cover that can be quite devastating.

24. Coastal and coral reef degradation: Coastal tourism related development and the influx of tourists puts pressure on coastal areas and feeds into coral reef degradation. Tourism is often the main avenue to foreign capital, and the tourism sector is for many countries a very important source of jobs.

[2] Based on the latest World Development Indicators data on this indicator, dating from 2010.

However, as an example, more than 70 percent of Antigua and Barbuda's coral reef is under threat from coastal development, and in St. Vincent and the Grenadines the coral reefs around Tobago Cays are under threat of further deterioration due to the anchoring of cruise ships. The development of marinas, hotels and other tourism related facilities has also put pressure on mangroves and wetlands, and has reduced important fish breeding habitats.

25. Threats to marine resources (overfishing): While fishing is very important for families living in coastal areas, as a source of household income and a source of protein and nutrients, commercial fishing[3] puts pressure on marine resources. In Nauru, Palau and Tonga commercial fishery accounts for 50 to 70 percent of total fishery, and though the number of tons produced per year is rather small it does have an impact on fish stocks. The top three fish exporting SIDS - Fiji, Kiribati and Papua New Guinea - still have lower rates of commercial fishery, ranging from 10 to 28.6 percent. Other threats to marine resources in these three countries are natural disasters – mainly cyclones – damaging finishing grounds and fish breeding habitats, and in the case of Papua New Guinea seabed mining. Countries are developing fisheries protection strategies, outlining closed and open seasons for species of marine resources, with the intention of allowing fish stocks time to reproduce and mature.

26. Threats to biodiversity: Restrictive habitats and small populations – like we see in SIDS due to their isolation – make the biodiversity often unique, but also extremely fragile; species often lack the ability to adapt to rapid changes. Their rich biodiversity is seen by many countries as an economic, cultural and social resource. Countries that currently face immediate threats to their flora and fauna are Bahrain, Cabo Verde, Cook Islands, Guinea-Bissau, Kiribati, Palau, Sao Tome and Principe, Solomon Islands and Vanuatu. Countries' threats to their biological diversity are diverse, but drivers to biodiversity loss are, for example, the commercial valuation of biological resources; increased agricultural production for export; easier access to more advanced extractive technologies; increases in population size; poorly planned (tourism) development; a lack of understanding of the potential impact of biodiversity loss; and a lack of appreciation of the impact of invasive alien species (IAS). IAS constitute one of the most serious but underacknowledged threats with impacts that are difficult to reverse. The limited capacity of SIDS to address IAS issues and the high financial and management cost to tackle IAS further magnify the risk.

27. Waste management and water pollution: Solid waste is frequently burned or discarded into the sea or in nearby mangroves. Particularly for Pacific islands, their small size, rapid urbanization and remoteness have amplified the issue of proper waste management. Similarly, for the Maldives, waste disposal is virtually uncontrolled, and solid waste can be seen floating in the sea at tourist resorts. The substantial number of tourists and tourist facilities feeds into the amount of waste produced. In St. Vincent and the Grenadines, waste water from tourist yachts has severely polluted the Eastern coasts. Solid and liquid waste make their way to the coastal areas, contaminating beaches and marine ecosystems. In addition, the permeation of wastewater into aquifers reduces the water quality in SIDS.

28. Water supply; quality and quantity: Having access to a reliable, safe and affordable supply of drinking water remains a critical issue for the majority of SIDS, and many countries rely entirely on one sole source of water supply. Groundwater quality has been compromised by high salinity levels from

[3] Note that commercial fishing statistics only include commercial fishing under the national flag, and excludes international vessels that encroach the countries' fishing grounds.

overexploitation and pollution from septic tanks, cesspools and – in the case of Bahrain – oil fields. Water pollution poses a significant threat to Mauritius', Solomon Islands' and Timor Leste's coastal and marine environments and quality water supply. Many SIDS are rated as coping with extremely high water-stress, among others Antigua and Barbuda, Bahrain, Barbados, Comoros, Dominica, Jamaica, St. Lucia, St. Vincent and the Grenadines and Trinidad and Tobago.

29. Mining and other forms of non-renewable resource extraction: The methods used to extract minerals – mainly diamonds, bauxite, cobalt, copper, nickel, gold, oil and natural gas – from the earth's surface can have an extremely negative impact on the environment. For example, some of Guyana's extractive processes for gold uses cyanide and mercury which are both highly toxic, and in the case of mercury has a permanent impact. In addition, the impacts from mining includes soil contamination, deforestation, removal of soil surface, and biodiversity loss. Particularly at risk from the environmental impacts of mining are Cuba, Guyana and Jamaica. Cuba possesses significant nickel reserves and is a major exporter of cobalt – a byproduct of nickel processing. In 2014, 15 percent of Cuba's export value was from mining. (USGS 2014) Likewise, in 2009, 35 percent of Guyana's export value was from gold, and nine percent of total export value was from bauxite mining, used to produce aluminum. The extraction of minerals is an important source of foreign capital and government revenue, and a source for jobs. It should be noted that many SIDS have rich but currently untapped repositories of mineral resources, which might translate into future environmental challenges due to mining.

30. There is an equal balance between Interviewed key stakeholders who feel that environmental challenges are SIDS specific and those stating that SIDS and non-SIDS environmental challenges are similar. Those interviewees feeling that environmental challenges are SIDS specific point out that SIDS are not only small island states, but more so large ocean states where their low-lying nature and dispersed geography present specific marine- and coastal-related environmental issues. Others say that issues faced by SIDS are not necessarily SIDS-specific, but because of their isolation, small size of their economy with a reliance on a small number of economic activities that directly impact the natural environment, and a lack of economies of scale when it comes to solutions, SIDS perhaps have less options to tackle environmental issues, compared to larger non-SIDS countries facing similar issues.

Financial challenges

31. While seven of the SIDS are high income countries, most are middle income countries and 34 of the 39 SIDS were official development assistance (ODA) recipients in 2016.[4] Total net ODA has increased over the past decade, but the share of net ODA for SIDS recipients has steadily dropped and accounted for 1.6 percent of total ODA disbursements in 2016.[5] ODA flows to SIDS concentrate on a small number of countries with the top ten recipients – Cabo Verde, Cuba, Dominican Republic, Fiji, Guinea-Bissau, Haiti, Papua New Guinea, Solomon Islands, Timor Leste and Vanuatu – receiving almost 90 percent of the 4.6 billion USD that went to these 34 countries in 2016.[6] Five of these countries – Guinea-Bissau,

[4] An analysis of the OECD dataset on net ODA disbursements took place for the 34 SIDS recipient countries. The analysis replicated the analysis of the 2015 OECD publication "Small island developing states (SIDS) and the post-2015 development finance agenda" with newer data and for this evaluation's specific SIDS sub-set of countries.
[5] Excluding aid flows to Cuba and Haiti for hurricane and earthquake support; 3.3 percent including these flows.
[6] Excluding Cuba and Haiti, the total net ODA for the remaining 32 countries was 1.66 billion USD in 2016.

Haiti, Solomon Islands, Timor Leste and Vanuatu are LDCs. Net ODA as percentage of current GDP has steadily decreased for SIDS, accounting for 1 percent of current GDP in 2016 (see annex 5).

32. Countries' middle- and high-income status, of seven and 27 SIDS respectively, makes many of them ineligible for concessional finance from for example the International Development Association (IDA), and a low aid priority for donors (OECD 2015, 2017, 2018; UNDP 2015). Twenty-one countries are IDA eligible, through a 'small island economies exception', and seven of these countries have access to IDA and IBRD (International Bank for Reconstruction and Development) blended financing.[7] (IDA 2011; World Bank 2017b) The exception was created, because SIDS often lack creditworthiness needed to borrow from the IBRD. Eleven countries have access to IBRD financing only, and six SIDS - Bahamas, Bahrain, Barbados, Cook Islands, Cuban and Niue - have no access to either IDA or IBRD.

33. Equally the System for Transparent Allocation of Resources (STAR) – an allocation system that determines the amount of GEF resources that a given country can access in a replenishment period for the biodiversity, climate change and land degradation focal areas – in the GEF has provided financial flexibility to 25 countries in GEF-5 and 24 countries in GEF-6 of the 35 SIDS receiving STAR allocations during these replenishment periods (GEF 2010b, 2014b). STAR flexibility means that countries can shift allocations between focal areas. STAR replaced the Resource Allocation Framework (RAF) that was used during GEF-4, but the RAF did not have the flexibility that is part of STAR.

34. SIDS are more heavily indebted compared to, for example, the LDC aggregate (see annex 5).[8] There are wide variations between countries with SIDS in the Caribbean being most heavily indebted (over 70 percent of GDP on average in 2016), while the average for the Pacific was 37 percent. Three of the four countries with critical gross debt of more than 90 percent of GDP – Barbados, Belize, Cabo Verde and Jamaica - are in the Caribbean, and for two – Barbados and Jamaica – debt interest payments are above 25 percent of total government revenues, pointing to structural financial vulnerabilities.

35. Current account deficits are common, but these are larger than average in SIDS (see annex 5). The picture varies by country but fiscal deficits average almost five percent of GDP with the IAMS region having the highest deficits, averaging eight and a half percent. Reserves in SIDS are also low when compared to LDCs, and countries have difficulties mobilizing domestic financial resources (UNDP 2015).

36. Key stakeholders interviewed point out that while you don't want to stay ODA eligible or a LDC forever, graduating to a higher status, like 'higher middle income', 'high-income' or 'non-LDC' is a significant change, given it limits access to funding. This can have a considerable impact on environmental programming, given that environmental issues are often financed with international funding. While this is generally seen as a challenge, interviewees also point out that this provides an opportunity for more innovative financing, for efficiency improvements in how money is spent, and to further explore synergies between environmental and developmental programming.

[7] IDA complements the World Bank's original lending arm - the International Bank for Reconstruction and Development (IBRD). IBRD was established to function as a self-sustaining business and provides loans and advice to middle-income and credit-worthy poor countries, while IDA lends money to countries at risk of debt distress on concessional terms.

[8] An analysis of the IMF economic outlook database took place for the SIDS countries for which data was available. The analysis replicated the analysis of the 2015 UNDP publication "Financing for Development and Small Island Developing States: A Snapshot and Ways Forward" with newer data and for this evaluation's specific SIDS sub-set of countries.

2. GEF support to SIDS

Highlights

37. GEF programming directions explore synergies among objectives of the global environmental conventions, and provide SIDS specific attention – albeit limited – per GEF replenishment period.

38. Since the GEF-4 replenishment period the GEF has invested $1,365.55 million in SIDS through 337 interventions, 219 of which were country-level interventions. Eighty-two percent of funding came from the GEF Trust Fund, with the LDCF/SCCF contributing 16 percent of the total grant value.

39. Multifocal area projects form the largest share of the GEF-4 to GEF-6 project portfolio. Adaptation and biodiversity are the second and third largest focal areas in financial terms. The biodiversity, climate change, land degradation and international waters focal areas receive most funding as part of multifocal area projects.

40. The full-size projects modality is most common, with programmatic approaches receiving limited attention in SIDS; there was no country-level child project funding in GEF-6.

41. The top five GEF Agencies covering over 90 percent of GEF programming in SIDS are UNDP, UNEP, the World Bank, FAO and the IADB. Twelve of the 18 GEF Agencies are actively engaged in SIDS.

42. Evidence from previous IEO country-level evaluations confirms that long-term sustainability of achievements in SIDS remains a challenge, mainly due to financial and human capacity constraints. While sustainability is challenging, the Sixth Overall Performance Study of the GEF (OPS6) finds that sustainability of outcomes in SIDS is comparable to the average for the entire GEF portfolio.

GEF programming directions

43. The GEF develops programming directions for each replenishment period, exploring synergies among objectives of the global environmental conventions and strengthening the link between environmental and developmental objectives. The GEF-4 programming directions (GEF 2006) had a SIDS focus for capacity building and the international waters focal area, aiming for a holistic approach to the management of global environmental issues, and for water reforms and actions to improve integrated water resource management in 20 SIDS. As part of GEF-4 strategic programs (GEF 2007) there is a focus on SIDS to protect reefs and lagoons. There is no mention of the BPOA or the Mauritius Strategy for further Implementation of the BPOA. In GEF-5 (GEF 2010a) there is again a strong focus on the international waters focal area, with an emphasis on water supply protection and aquifer and catchment protection in SIDS. The aim is for multi-state and SIDS cooperation to balance competing uses of transboundary surface and groundwater basins while considering climate change and variability. In GEF-6 there still is SIDS specific mention under the international waters focal area, but there is also increased attention for 1) Technology needs assessments that will also be available for small island developing states (SIDs) for the focal area set-aside funds, 2) Incentive programs for expedited and flexible programming to promote clean energy access for SIDS, and 3) Support for regional approaches to

eliminate and reduce harmful chemicals and waste in SIDS. Regional projects and programmatic approaches for SIDS are mentioned under land degradation and sustainable land management.

44. For GEF-7 the GEF has been requested by the UNFCCC COP to provide enhanced support and to continue to assist LDCs and SIDS in efficiently accessing resources, but this has not resulted in any specific mention of SIDS as part of the climate change focal area (GEF 2018). There is a specific LDC and SIDS program area in the GEF-7 programming directions as part of the chemicals and waste focal area. There is no specific mention of SIDS in any of the other focal areas or impact programs. The SAMOA Pathway (UN 2014) or any of the other SIDS-specific international strategies or partnerships are not mentioned in the GEF-7 programming directions.

The GEF project portfolio

45. The evaluation's portfolio composition is discussed below, with supporting tables and figures in annex 6. The evaluation will focus on the active project portfolio of the three most recent replenishment periods, GEF-4 to GEF-6, and for the sustainability analysis the focus will be on completed projects throughout all GEF replenishment periods that have been completed between 2007 and 2014. The reason for the selection of these specific timeframes is further discussed in the following chapter.

46. The amount of funding for SIDS programming has increased over time (figure 16, annex 6). Although there is a shortfall in absolute terms in GEF-6, there is a clear growth trend in SIDS funding share as percentage of total funding through replenishment periods (figure 17, annex 6).

47. Since GEF-4 (2006) to the end of January 2018, the GEF has invested $1,365.55 million (with $6,398.08 million in co-financing) in SIDS through 337 country-level, regional and global interventions (figure 18, annex 6). Most funding came from the GEF trust fund ($1,121.16 million), followed by the adaptation funding mechanisms of the LDCF/SCCF contributing $223.61 million jointly. Multitrust fund and NPIF funding was only part of the GEF-5 replenishment period, while the GEF-6 replenishment period was the least diverse in funding of the three periods being analyzed for this evaluation; with only GEF trust fund and LDCF funding being the sources for SIDS programming. Over 40 percent of the funding is going to country-level interventions (table 5, annex 6).

48. The full-size projects modality is most common, in financial terms and number of projects, with the average project size being $6.53 million, followed by medium-size projects and enabling activities (table 6, annex 6). The balance between modalities is about the same for the three replenishment periods, GEF-4 to GEF-6. What does change is the average project size, which increases with increasing scale; for example, global full-size projects are on average larger than country-level ones.

49. Geographically, most of the country-level projects are in the Caribbean and Pacific regions; in financial terms most of the projects are to be found in the Pacific, while in number of country-level projects most are in the Caribbean. See table 7 in annex 6. The AIMS region has the lowest number of projects, but is also the region with only 8 countries and the average number of inhabitants between GEF-4 to GEF-6 was 5.95 million inhabitants. The AIMS region has the highest 'projects to population' ratio with 1 GEF project per 100,000 inhabitants.[9] Calculating a 'funding to population' ratio it shows

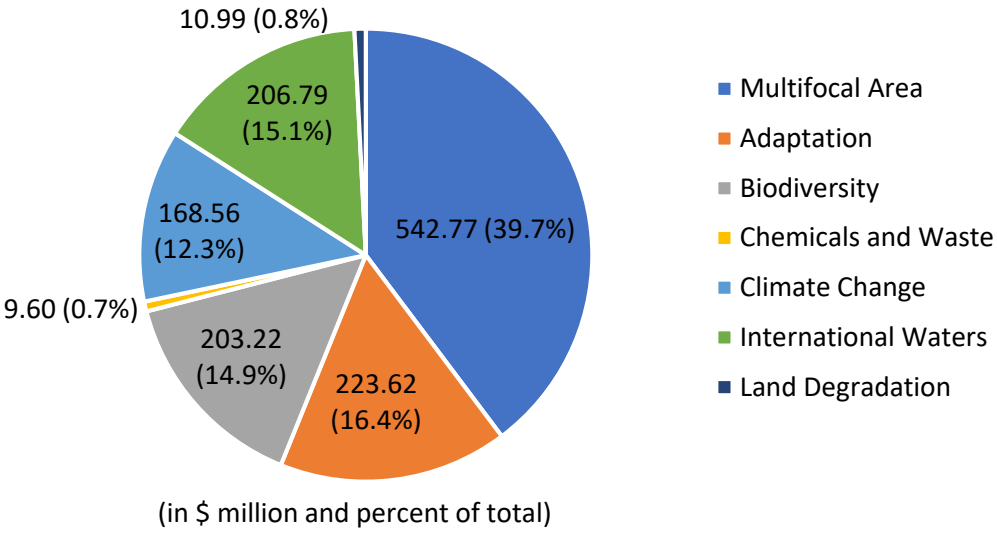
[9] Note that this does not mean that each project covers 100,000 inhabitants. The ratios were developed to compare between SIDS geographic regions, not to analyze the reach of projects.

that the AIMS region has received the most GEF funding per inhabitant, resulting in a ratio of $24 per inhabitant. The Caribbean receives the lowest amount of funding per inhabitant; only $5 per inhabitant.

50. Looking at project status, GEF-4 projects are – as to be expected – most developed, with the majority of projects having been completed. Most of the projects under implementation are part of the GEF-5 replenishment period, while GEF-6 accounts for most projects that have been approved but have not yet started implementation. It should be noted that at the time of the 53rd Council meeting, November 2017, still 15 percent of GEF-6 resources needed to be utilized; the total number of resources allocated to SIDS relevant interventions in GEF-6 is expected to increase. See table 8 in annex 6.

51. By focal area, multifocal area projects are the largest share of the GEF-4 to GEF-6 portfolio in financial terms and number of projects. Adaptation and biodiversity are the second and third largest focal areas in financial terms. In number of projects the biodiversity and climate change focal areas are largest. Land degradation has the smallest share, both in financial terms and projects. See figure 2.

Figure 2: Grant values by focal area



(in $ million and percent of total)

52. Figure 19, annex 6, shows focal area coverage across GEF replenishment periods. The biggest funding share goes to multifocal area projects. The adaptation focal area's share increased in GEF-5, but due to a lack of LDCF/SCCF funding its share decreased in GEF-6. Chemicals and Waste started as focal area in GEF-5, but most projects started as part of GEF-6. Land degradation projects started in GEF-3 with the establishment of the land degradation focal area, but there was little attention in later replenishment periods. Climate change is the only focal area whose share has consistently increased over time.

53. When further dissecting the funding components of multifocal area projects (figure 20, annex 6), it shows that the biodiversity focal area receives most attention (and $210.95 million in funding), followed by the climate change, land degradation and international waters focal areas, that receive $109.68, $86.28 and $77.06 million respectively from GEF-4 to GEF-6. The limited focal area funding for international waters projects in GEF-6, as visible in figure 5, seems related to the growing international

waters share as part of multifocal area grants. The share of international water grew from $9.28 million (10.2 percent) in GEF-4 to $60.57 million (27.6 percent of MFA funding) in GEF-6. Equally, land degradation focal area funding is mostly found within multifocal area grants and not as single focal area activity. There is very limited adaptation funding in any of the multifocal area project grants, which comes down to the different replenishment of the adaptation focused funds, the LDCF and SCCF, making it complicated to combine adaptation funding with GEF trust fund funding covering other focal areas.

54. GEF programming through programmatic approaches – in which child projects are part of a parent program and are designed to contribute to the overall program objective – has diminished over time in SIDS, from 19.5 percent of country-level project funding in GEF-4 to the absence of country-level child project funding in GEF-6 (table 9, annex 6). At the country-level, the average child project is bigger than the average standalone project – $3.56 million versus $2.37 million, including all three project modalities. Focusing specifically on full-size projects at the country-level, full-size child projects are also bigger in financial terms ($4.84 million on average) compared to full-size standalone projects ($4.17 million on average).

55. The top five GEF Agencies in terms of both project value and number of projects in SIDS are UNDP, UNEP, the World Bank, FAO and the IADB. See table 1. UNDP is the agency engaged in most SIDS programming, representing roughly 50 percent of total grant value and number of projects. UNEP is the second agency, covering 24.4 percent of grant value and almost 30 percent of projects. The top five agencies represent 94.6 percent of grant value and 92.6 percent of projects in SIDS, while 12 of the 18 GEF Agencies are actively engaged in SIDS.

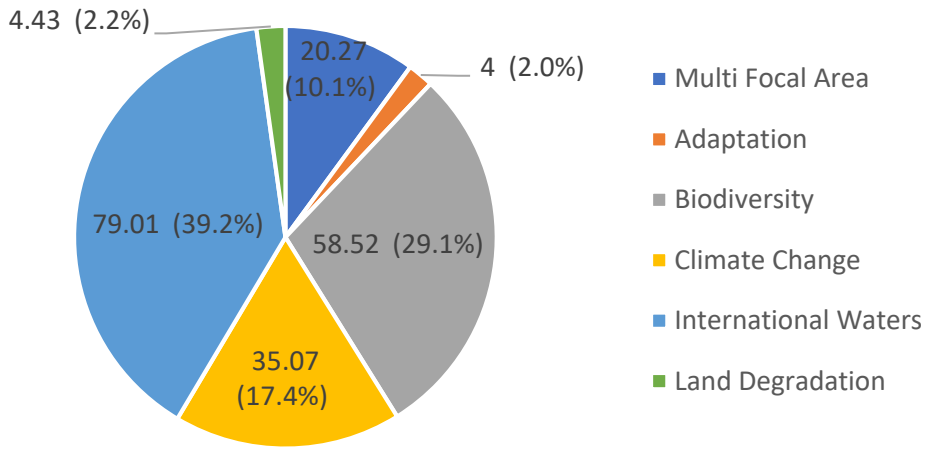
Table 1: Grant value and number of projects by Agency

GEF Agency	Grant value		Number of projects	
	($ million)	(%)	(#)	(%)
UNDP	695.19	50.9%	164	48.7%
UNEP	333.05	24.4%	99	29.4%
World Bank	143.67	10.5%	23	6.8%
FAO	76.12	5.6%	17	5.0%
IADB	43.59	3.2%	9	2.7%

56. Looking at the project portfolio for the sustainability analysis, 89 country-level and relevant regional interventions have been completed between 2007 and 2014. These are representing a total GEF investment of $201.3 million and $566.52 million in co-financing. Almost all the financing is GEF Trust Fund financing; the LDCF and SCCF were established in 2002 and the first projects only started implementation in August 2007. NPIF only started operations in 2011.

57. By focal area, international waters projects are the largest share of sustainability analysis project portfolio, in financial terms. Biodiversity and climate change are the second and third largest focal areas in financial terms. See figure 3. In number of projects the biodiversity and multi focal area are largest. Adaptation has the smallest share, both in financial terms and projects.

Figure 3: Grant values by focal area for the sustainability portfolio



(in $ million and percent of total)

58. Interviewed key stakeholders feel that GEF support has been very relevant to tackling the environmental issues countries are coping with. Interviewees mention a decreased adaptation focus, while climate change adaptation is very relevant to SIDS, and hope that the GCF [Green Climate Fund] will fill this widening funding gap. The GEF Small Grants Program (SGP) is seen as very relevant, with a feeling that it is more country driven and departs more from countries' specific needs, which is linked to the extensive civil society project consultations. Multiple stakeholders mention the need to reduce the reporting burden, seeing a need to further simplifying the tracking tools, and to focus more on supporting the actual implementation of interventions.

Available evaluative evidence

59. A summary of relevant evaluative evidence is presented in the paragraphs below, with a full overview available in annex 7. The summary and overview are based on findings from the office's country-level evaluations for Samoa, Jamaica, Timor-Leste and Cuba (IEO 2008, 2012b, 2012c, and 2013 respectively), findings from the 2008 evaluation on UNDP's role and contribution in environment and energy (UNDP 2008), UNDP's performance assessments for the Eastern Caribbean and Pacific regions respectively (UNDP 2009 and 2012), and the office's regional and cluster evaluations of the Eastern Caribbean States (IEO 2012a), and Vanuatu and the Pacific regional project portfolio executed by the SPREP (IEO 2015a). Evidence was added from the Joint GEF/UNDP IEO Evaluation of the SGP (IEO 2015c), IEO's LDCF program evaluation (2016b), the evaluation of GEF engagement with the private sector (IEO 2017), the evaluation of gender mainstreaming in the GEF (IEO 2018b), the formative review of the integrated approach pilot (IAP) programs under GEF-6 (IEO 2018d), two World Bank Group's (WBG) Independent Evaluation Group's (IEG) program evaluations, the first covering six independent Eastern Caribbean states (2016b) and the second covering a selection of Pacific island countries – PICs (2018c), and the office's Sixth Overall Performance Study of the GEF (IEO 2018e).

60. **Relevance.** GEF support has been relevant to countries' development strategies, national environmental policies, GEF mandate and focal area strategies. The design of the project portfolio was often mainly led by a limited number of GEF Agencies engaged in SIDS, and regional approaches can dilute relevance on efforts that are not a direct output of country-driven initiatives.

61. **Sustainability.** Evidence from previous IEO country-level evaluations confirms that long-term sustainability of achievements in SIDS remains a challenge, mainly due to financial and human capacity constraints. While sustainability is challenging, the Sixth Overall Performance Study of the GEF (OPS6) finds that sustainability of outcomes in SIDS is comparable to the average for the entire GEF portfolio. Furthermore, sustainability ratings of the SGP are comparable to those of other GEF projects. UNDP's PICs evaluation finds that strong national ownership, commitments backed by national strategies and budgetary allocations, and close engagement with CSOs in managing resources and processes all have a positive effect on project sustainability.

62. **Capacity development.** A small number of GEF Agencies have been involved in programming in SIDS due to high transaction costs, often fully responsible for project design because of low institutional and individual capacities for environmental management. UNDP's PICs evaluation concludes that micro states, like Niue and Nauru, demand specific implementation approaches due to their thin government structures and lack of critical mass of trained people due to brain drain. IEO's cluster country portfolio evaluation of six OECS member countries found that enabling activities facilitated the development of national capacities, strategies and plans. The office's Timor Leste country portfolio study identified that a longer-term GEF engagement or programmatic approach could provide an avenue for capacity building and reduce the administrative burden of stand-alone interventions. The IEG evaluation focusing on Eastern Caribbean States concludes that selectivity in objectives also contributes to capacity building.

63. Gender, resilience or private sector engagement are cross-cutting issues. IEO country-level and cluster country portfolio evaluations reviewed did not consistently address issues related to gender, resilience or private sector engagement, which comes down to the timeframes covered by these evaluations and project portfolios of the countries not systematically addressing these issues.

64. **Gender.** UNDP's PICs evaluation found little gender analysis at project level. The evaluation recommends a coherent strategy for mainstreaming gender equality, including shared gender analyses at regional and national levels, with sufficient support and resources for program staff. IEG's PICs evaluation found uneven progress on closing gender equality gaps, with limited progress regarding economic opportunity for women, who – in many countries – have no rights to land ownership and less access to finance than men. UNDP and IEG's evaluations focusing on the Eastern Caribbean region do not meaningfully address gender issues. IEO's SGP evaluation concludes that SGP results on the ground in terms of promoting gender equality and contributing to gender empowerment are evident, with no evidence or perception of a trade-off between the SGP's gender and global environmental objectives. LDCF and SCCF funded adaptation focused interventions receive higher overall gender performance ratings compared to the gender performance of GEF trust fund funded interventions.

65. **Resilience.** The office's Pacific cluster evaluation is the first one mentioning resilience; the impact of climate change is regularly felt and is reflected in projects mostly focusing on adaptation measures and improving resilience. Climate change is not only seen as an environmental issue but perceived as the biggest source of economic vulnerability confronting Pacific economies. The IAP

programs under GEF-6 describe resilience as an integrating concept, and almost all child projects incorporate resilience considerations - in terms of risk management, as a co-benefit, or integrated into a multiple benefits framework. The GEF does not have its own standardized framework or guidelines for addressing resilience resulting in Agencies relying on their own definition of resilience, which could either be formulated more broadly or focus specifically on climate resilience.

66. **Private sector engagement.** One of the recommendations of the Samoa country-level evaluation is to more include private sector stakeholders to further develop national capacity. The office's cluster evaluation of six OECS countries also mentions a lack of meaningful participation of and engagement with the private sector, and UNDP's regional assessments of development results also state the need for further strengthening private sector engagement and partnerships. The evaluation of GEF engagement with the private sector concludes that the GEF is constrained in its engagement with the private sector because of operational restrictions, and finds that private sector innovation, country ownership and national strategies and priorities are at times at odds with one another.

3. Evaluation objectives, key questions, design and timeline

Purpose, objectives and audience

67. The main purpose of this evaluation is to explore key issues that emerged from the Sixth Overall Performance Study's (OPS6) main findings and conclusions (IEO 2018e), which deserve further exploration. Council members also expressed concerns regarding the weak sustainability of GEF support as an issue to be addressed in the context of GEF-7 and beyond. This will be done through three key questions (KQ1 to KQ3) discussed further below.

68. The overarching objectives are twofold:

(i) To provide a deeper understanding of the determinants of sustainability of the outcomes of GEF support in SIDS, and

(ii) To assess the relevance and performance of GEF support towards SIDS' main environmental challenges from the countries' perspective.

69. Gender, resilience and private sector engagement will be assessed as cross cutting issues through three cross cutting questions (CC1 to CC3). Any other important issues emerging from country visits will also be considered.

70. The GEF Council is the primary audience for this evaluation. The evaluation findings can also inform GEF Agencies' proposal development and GEF Secretariat's appraisal of project proposals coming from SIDS. GEF member countries and non-governmental partners engaged in project and program design and implementation form the secondary audience.

Key questions

71. The three key evaluation questions the evaluation will aim to answer are as follows:

72. **KQ1) What are the key factors influencing and/or driving sustainability of outcomes in SIDS?**

73. OPS6 has confirmed once more the limited sustainability of outcomes from completed projects, with likelihood of sustainability rated at 64 percent. This average is not unique to the GEF, and two percent higher than the sustainability rating for the entire GEF project portfolio. However, members of the GEF-7 Replenishment Group expressed an interest in better understanding the factors influencing and/or driving sustainability of outcomes. While OPS6 points at weak institutional and financial sustainability, it does not discuss other possible factors. Sustainability of outcomes will be unpacked further to understand what are the most important factors hindering as well as the main contributing factors at play in small island developing states.

74. **KQ2) In what way, if any, does the environment and socio-economic developmental context and the water-energy-food nexus help explain the observed sustainability in SIDS?**

75. Environmental and socio-economic development, and the water-energy-food nexus – a systems-based perspective to describe and address the complex and interrelated nature of our resource systems, on which we depend to achieve different social, economic and environmental goals – is too often

neglected in the development of interventions by both donors and developing countries alike. Efforts to integrate socio-economic development with environmental programming and sustainable resource use at national and local levels depend in part on the interest of country governments. Major trade-offs exist between environmental, socio-economic and natural resource objectives, and country differences exist on: (i) reliance on natural resources, (ii) susceptibility to natural disasters, (iii) the poor's dependence on the environment, and (iv) the governments' economic development and other priorities. The analysis of the nexus links to the identified factors of weak sustainability (KQ1) and will be contextualized in the environmental and socio-economic development context of the SIDS.

76. **KQ3) To what extent has GEF support been relevant to the main environmental challenges the SIDS face, and are there any gaps??**

77. **3.1 in light of expansion of the GEF partnership;** OPS6 confirmed that the range of expertise and targeted financial support the GEF offers to countries has greatly increased recently with the expansion of the GEF partnership to the current 18 GEF Agencies. It remains to be seen whether and how this opportunity is being captured by the SIDS. The expansion is relatively recent and needs time to produce the expected increased relevance of GEF support to developing and small economies. This analysis will build on the findings of the evaluation of the expansion of the GEF partnership (IEO 2016a) and apply a more formative approach, because the expansion is relatively recent.

78. **3.2 in light of changes in the modalities of support offered;** OPS6 found that the evolution of multifocal area projects has helped countries to meet the requirements of multiple conventions, and other national and international commitments. Multifocal area projects also provide flexibility in the set of interventions to be implemented, which allows the priorities of multiple stakeholders to be achieved alongside those of the GEF and the national government. There is a growing focus on programmatic approaches, but this modality does not seem to get traction in SIDS. Have these changes resulted in an increased relevance of GEF support?

79. **3.3 considering other changes to the environmental finance landscape;** OPS6 found that GEF focal area objectives are strongly aligned with country priorities, and the general trend throughout GEF replenishment periods has been one of an increasing share supporting SIDS. But are there any gaps in GEF's relevance towards SIDS, despite the relative increase in SIDS support? The analysis will further focus on other factors influencing the relevance of GEF support to SIDS from a country perspective, departing from their environmental challenges and broader access to finance to tackle these issues.

80. Interviewed key stakeholders are generally in support of the sustainability and relevance focus of the key questions. Other factors mentioned by interviewees as impacting sustainability are a need to increase stakeholder participation, being more selective and focus on a smaller number of key project objectives, and keep in mind that factors impacting project sustainability are often external to the project and funding source. Factors to improve relevance include the development of project roadmaps for countries, country-level prioritization of environmental issues, and making sure projects fit the developed roadmap and country priorities.

Cross cutting issues

81. The cross cutting issues of gender, resilience, and private sector engagement have their own questions, to be woven throughout the analysis and three key questions. Interviews with key stakeholders (see annex 2 for a list of interviewees) for the development of this approach paper revealed that resilience was seen as the most important cross cutting topic, followed by private sector engagement and gender. Other issues identified by interviewees related to capacity development, wider stakeholder engagement and sensitization, and financial graduation issues.

82. **CCI1) To what extent have gender and gender issues been taken into consideration in GEF programming in SIDS?**

83. Gender will be a key component in this evaluation. It will be too early to see the effects of the new GEF policy on gender equality (GEF 2017) but the evaluation will critically assess the SIDS portfolio's performance on gender, gender equality and women's empowerment, and compare it to the findings of the evaluation of gender mainstreaming in the GEF (IEO 2018b). Gender will be analyzed through desk review, portfolio analysis and case studies. Case studies will review whether projects' gender performance on paper also translates into actual women's empowerment on the ground.

84. **CCI2) To what extent has resilience been taken into consideration in GEF programming in SIDS?**

85. In the absence of a GEF definition of resilience, two resilience considerations will inform the resilience analysis. First, the analysis will look at whether and how resilience is considered, being either as 1) risk management, 2) as a co-benefit, or 3) as integrated into a multiple benefits framework (STAP 2014). Secondly, the analysis will look at the core component of the resilience concept in resilience-focused projects, analyzing whether resilience is viewed 1) in a static system / engineering sense, 2) resilience as incremental change, or 3) resilience as transformational change (Béné et al. 2012, 2017). Desk analysis will also look at whether and how resilience is considered differently for different focal areas, and whether countries are – or were in the past – marked as 'fragile' (World Bank 2017a).

86. **CCI3) To what extent has private sector engagement been taken into consideration in GEF programming in SIDS?**

SIDS have difficulties mobilizing domestic and international financial resources from financial institutions and private sector. Has the GEF through its SIDS programming actively engaged with the private sector to address the hurdles for mobilizing private sector resources and to support drivers for engagement? And, if so, has that resulted in improved access to funding? An analysis of a select group of private sector engagements will look at these questions.

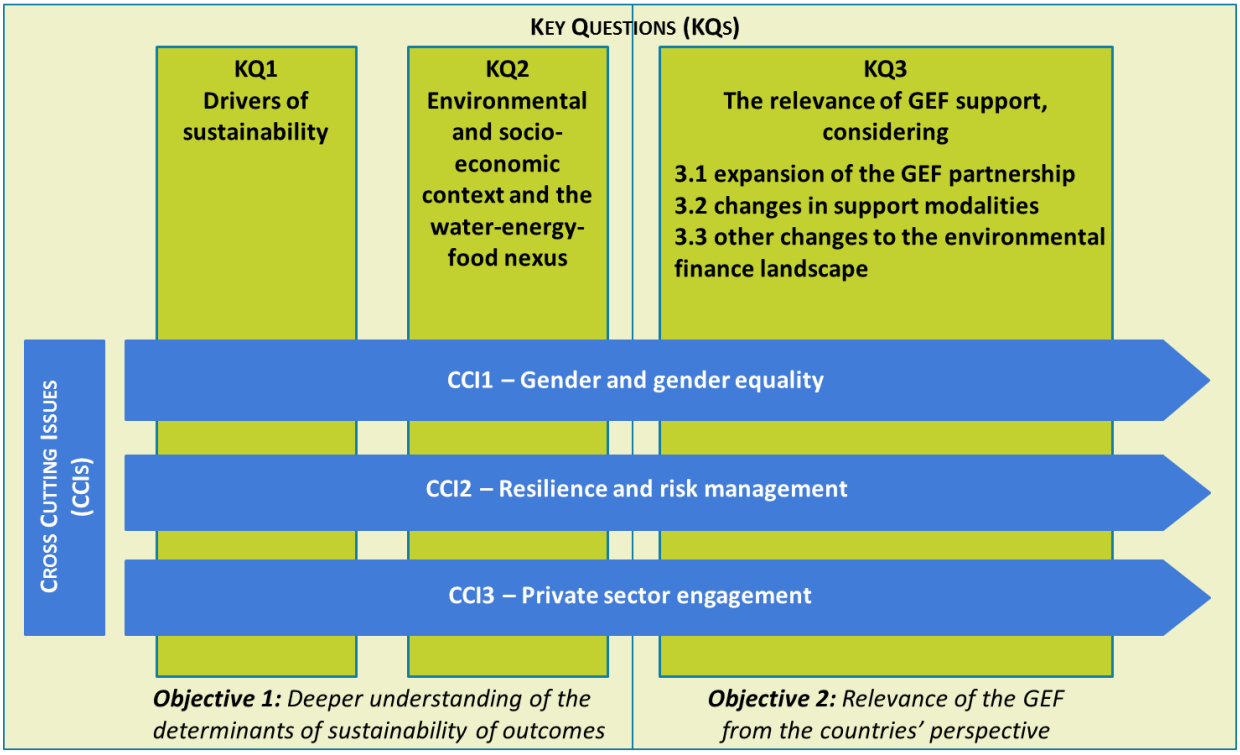
87. The three key questions and three cross cutting issues are captured in figure 4.

Scope and evaluation design

88. The SIDS grouping, their shared geophysical constraints, resulting in disproportionately large economic, social and environmental challenges, delineates the geographic scope of the evaluation. Portfolio-wise this SCCE includes enabling activities, medium-size projects, full-size projects and programs in the 39 countries part of the SIDS grouping. Global and regional interventions that are set up

as umbrella arrangements for administrative convenience are included if relevant to SIDS. SGP interventions in SIDS will be covered, as the SGP constitutes for many of those countries an important modality of GEF support.

Figure 4: Objectives, key questions and cross cutting issues



89. The analysis will focus on Biodiversity, Climate Change Adaptation and Mitigation, the latter specifically focusing on carbon sequestration from forestry and other land management practices. It will also cover Land Degradation, International Waters, POPs/Chemicals, and multifocal interventions composed of any of these focal areas.

90. The evaluation questions will be answered through a mixed methods approach encompassing both quantitative and qualitative analytical tools. An evaluation matrix composed of the three key questions and three cross cutting issues, relevant indicators, sources of information and methods is presented in annex 8. Synergies with the other two SCCEs will be sought by coordinated data gathering, analysis, and cross-fertilization. As part of the evaluation design, a scoping mission has been conducted to the Seychelles and 29 key stakeholders have been interviewed to – among other things – probe the main questions.

91. Portfolio review cohorts: Given that projects that make up the evaluation portfolio are at different stages of development; the status of respective projects determines the way and extent in which they will be included in the SCCE. Two portfolio review cohorts will be distinguished; a quality at entry cohort and a sustainability cohort focusing on completed projects. For the quality at entry analysis, the SCCE will cover the period from GEF-4 (2006) to GEF-6 (2018) and will focus on national and relevant regional and global projects that are CEO approved, CEO endorsed or under implementation. For the

sustainability analysis, the focus will be on national and regional interventions that have been completed between 2007 and 2014, to provide sufficient time after completion allowing to observe the sustainability of outcomes for these completed projects in the long term.

92. The latest annual performance review (IEO 2018a) of the office includes a reviewing on the sustainability of GEF project benefits. The study analyzes IEO datasets on TEs and Progress to Impact ratings to assess correlations among sustainability, outcomes, implementation, broader adoption, project design features, country characteristics and other variables. The analysis takes stock of projects for which field verifications were conducted by IEO at least two years after project completion. This study provides the aggregate findings that will, in combination with SIDS environmental challenges of the first chapter, inform the design of the case studies for this evaluation. The results of the IEO sustainability study on factors driving sustainability will be explored in depth in a limited yet as representative as possible set of case studies.

93. Case studies: The focus for the case studies is on GEF's performance towards tackling SIDS main environmental challenges and addressing the cross cutting issues as part of the interventions. In short, the nine main environmental issues as described in the first chapter are linked to countries, and further verified country by country. A second step is to review whether projects in these countries also tackle the identified main environmental challenges. For each environmental issue, three cases are being explored; one of positive change, one of neutral change and one of negative change by the GEF supported intervention, resulting in a total of 27 challenge-change combinations. A matrix will be designed to review which countries capture most of these challenge-change combinations, based on the project portfolio analysis and supported by geospatial analysis of relevant projects. The aim is to conduct five case studies at the country level with on average five to six challenge-change combinations in each of the case study countries, identified based on the above-mentioned analysis, with a focus on identifying hot spots of sustained (or absent) environmental change to which the GEF contributed.

94. The IEO is also planning an evaluation of GEF support to sustainable forest management (SFM). The SFM evaluation will make use of forest-specific geospatial analysis, and parts of this analysis will link to this evaluation's KQs 1 and 2 for those SIDS projects where outcomes are observable geospatially. These potentially include projects in biodiversity, climate change adaptation, forests and land degradation focal areas. Change of local environmental conditions will be measured using indicators such as: (i) forest area as a proportion of the total land area; and (ii) Normalized Difference Vegetation Index (NDVI) as a proxy indicator to examine the long-term spatial and temporal patterns of land productivity measured as vegetation density, among others. Socio-economic indicators will be part of this analysis, and other indicators may be identified in coordination with the SFM evaluation.

95. Quality at entry portfolio analysis and desk review techniques (through document review protocols) will be used for answering relevant key questions and cross cutting questions on gender, resilience and private sector engagement. The case study phase will field-test and verify sustainability-focused portfolio analyses and desk review findings, aiming to deep dive into factors that emerged more frequently.

Quality assurance and limitations

96. Method triangulation of qualitative as well as quantitative methods of data collection will be used as part of the data analysis and gathering phase to determine trends and identify the main findings, lessons and conclusions. This form of triangulation also aims to increase the evaluation's reliability and validity by confirming data generated by one method through the results of another method. Data triangulation is used by collecting data from different sources, being existing evaluative evidence, desk reviews, portfolio analyses, GIS analysis, interviews, questionnaires and case studies, to increase data validity and reliability by collecting data from multiple independent sources that either agree, or at least do not contradict one another.

97. In line with IEO's quality assurance practice, quality assurance measures will be set up for this evaluation. A reference group, composed of representatives from the GEF Secretariat, GEF Agencies, and STAP, serving the SIDS SCCE, will: 1) provide feedback and comments on the approach paper, the preliminary findings and the evaluation report; 2) help ensuring evaluation relevance to ongoing as well as future operations; 3) help in identifying and establishing contact with the appropriate individuals for interviews/focus groups; and 4) facilitate access to information. The principles of transparency and participation will guide this process. An external peer reviewer, with experience in country-level and/or environmental evaluation, will advise on: 1) the soundness of evaluation design, scope, questions, methods and process described in the approach paper; and 2) implementation of the methodology and implications of methodological limitations in the formulation of the conclusions and recommendations in the draft and final reports.

98. Broader stakeholder interaction – for example the 29 structured interviews that informed this approach paper – will be sought to enhance the evaluation process. Regular stakeholder interaction. This will include consultation and outreach while the evaluation is under way, and dissemination and outreach once the study is complete. An added benefit is stimulating interest in the evaluation results. Such stakeholder interaction will contribute valuable information and qualitative data to supplement data, interviews, case studies, and other research. An audit trail will be developed and published online to track comments and changes made.

99. These consultation and feedback processes link to criticality validation, which includes 'self-criticality' by collecting criticism, being open to different viewpoints and the peer reviewing of findings. Credibility validation refers to the process of providing evidence that allows for having confidence in the evaluation's measuring instruments, analysis and conclusions through referential adequacy, data triangulation and also the peer reviewing of findings. Referential adequacy refers to iterative steps of data analysis in which earlier results are added to the data analysis to test the validity of the findings. (Creswell and Poth, 2017)

100. The portfolio analysis and desk review will focus on the entire SIDS project population from GEF-4 to GEF-6, and not a sample of projects. For the case studies the focus will be on contextual transferability, (Saunders, Lewis and Thornhill, 2015) where findings can be transferred in cases where there are similarities between the case study's environment and other real-world contexts. The burden of proof of such contextual transferability lies with the person in the receiving context wanting to make use of this evaluation's data and conclusions.

101. A couple of limitations can be identified at this stage. These include: (i) the unreliability of PMIS data on programs as it is not regularly updated, especially on status; and (ii) limited number of field visits that will be possible to conduct in the timeframe and budget allowed for this evaluation. The first limitation will be addressed by cross-checking PMIS portfolio information with the management information systems of GEF Agencies as a priority before undertaking any analysis. The second limitation will be mitigated by conducting field missions to countries jointly with those that will be conducted in the Biomes and LDC SCCE as well as other evaluations either conducted by IEO or by the evaluation units of GEF Agencies, to increase field coverage. The team will report on how these as well as other emerging limitations will be dealt with during the evaluation data gathering and analysis phase.

Timeline, deliverables and dissemination

102. This evaluation is being conducted between March 2018 and December 2019, and in two phases: i) aggregate analysis (portfolio, geospatial, quality at entry, scoping mission); and ii) field verifications (case studies). Geospatial analysis will be conducted in October 2018. Field verifications by means of the five case studies will start in December 2018. An initial work plan is presented below, and will be revised and detailed as part of further preparations (table 2).

Table 2: Timetable

Year	2018										2019											
Task **Month**	*Mar*	*Apr*	*May*	*Jun*	*Jul*	*Aug*	*Sep*	*Oct*	*Nov*	*Dec*	*Jan*	*Feb*	*Mar*	*Apr*	*May*	*Jun*	*Jul*	*Aug*	*Sep*	*Oct*	*Nov*	*Dec*
Approach Paper																						
Background information & portfolio data gathering	x	x	x	x	x																	
Approach Paper discussed with the reference group		x	x																			
Mission to a country to probe the evaluation design				x																		
Finalizing the approach paper				x	x	x																
Data gathering and analysis																						
Desk review/Portfolio analysis (PRT design and filling)					x	x	x	x	x	x												
Geospatial analysis				x			x	x														
Quality at entry									x	x			x			x						
Country case studies										x	x			x	x		x	x				
Triangulation brainstorming									x	x		x	x			x			x			
Gap filling															x	x		x	x	x		
Report writing																						
Draft report											x	x	x	x	x	x	x	x				
Due diligence (gathering feedback and comments)												x				x		x	x	x		
Final report																			x	x	x	
Presentation to Council in the SAER																						x
Dissemination and outreach																						->

103. The main findings, conclusions and recommendations will be included in the IEO Semi Annual Evaluation Report (SAER) that will be presented to Council at the fall meeting in December 2019. The full report will be uploaded as a Council information document. It will be distributed to the Council members, GEF Secretariat, STAP, GEF country focal points and GEF Agency staff. A graphically edited version will be published as open access on the Office's website. A detailed dissemination plan will be prepared and implemented, which will include distribution of the above-mentioned outputs in the main evaluation networks through existing IEO mailing lists as well as mailing lists of audience and

stakeholders that will be developed during the conduct of the evaluation. The plan will also consider concrete opportunities to present the evaluation through webinars as well as at evaluation conferences.

Resources

104. The SCCE will be conducted by a team led by evaluation officer Mr. Dennis Bours, with support from SIDS-focused economist Ms. Kimberley Westby, and GIS specialist Mr. Anupam Anand, with oversight from the Chief Evaluation Officer, Ms. Geeta Batra, and the Director of the IEO, Mr. Juha Uitto. The team will benefit from coordination and interaction with IEO staff managing the other two SCCEs, and will be supported by an evaluation analyst. Short term consultants will be selected to help with desk reviews and portfolio analyses. National or regional consultants will be selected for field verifications to benefit from the extensive knowledge of context and issues at hand in the case study countries. The required skills mix includes practical, policy, and/or academic expertise in key GEF focal areas of the projects and programs under analysis, evaluation experience and knowledge of external information sources that are relevant to GEF activities in the case study countries.

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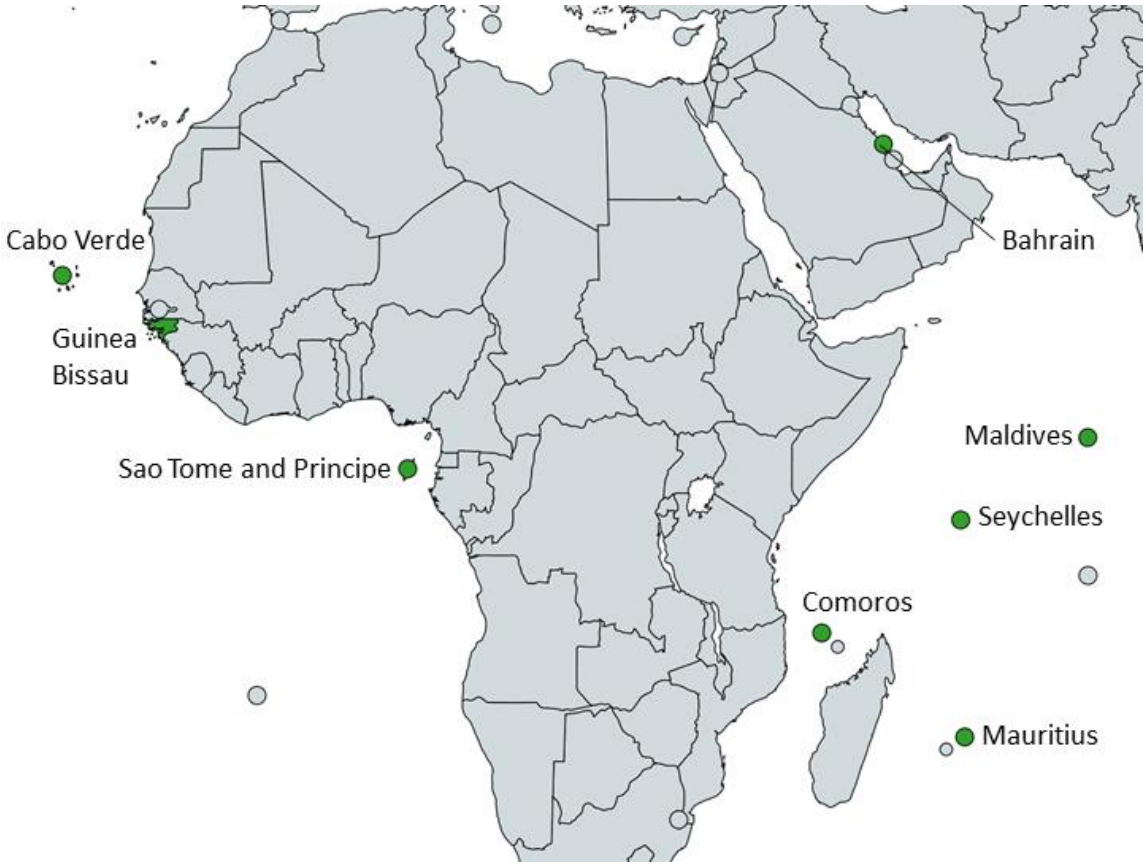
Annex 1: Overview of countries covered

The United Nations Department of Economic and Social Affairs lists 57 SIDS. These are broken down into three geographic regions: the Caribbean; the Pacific; and Africa, Indian Ocean, Mediterranean and South China Sea (AIMS). Only SIDS with GEF projects are considered for this evaluation, focusing the scope to 39 countries; eight in the AIMS (Atlantic, Indian Ocean, Mediterranean and South China Sea) region, 16 in the Caribbean and 15 countries in the Pacific region.

<u>AIMS region</u>

Bahrain	Guinea-Bissau	Sao Tome and Principe
Cabo Verde	Maldives	Seychelles
Comoros	Mauritius	

Figure 5: AIMS countries covered

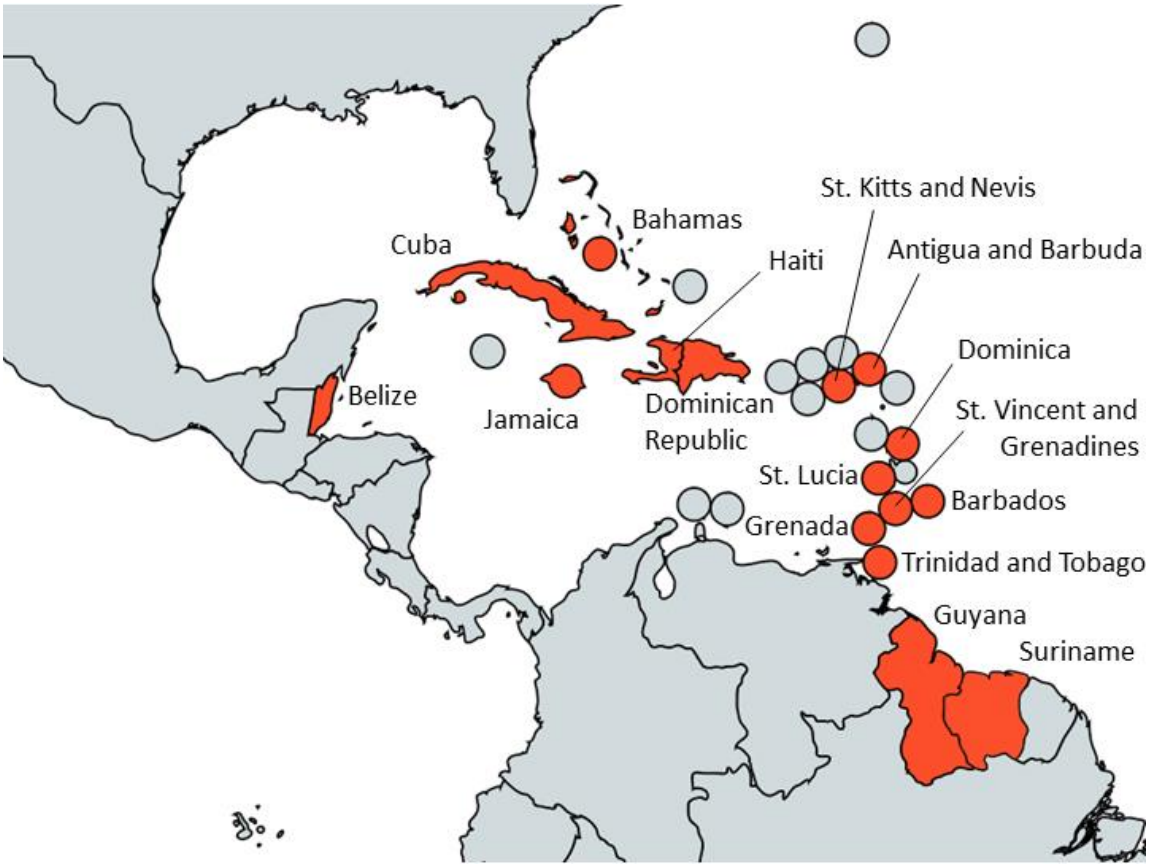


Note: Boundaries, names shown and designations used on this map do not imply official endorsement or acceptance by the IEO.

Caribbean region

Antigua and Barbuda	Dominican Republic	St. Lucia
Bahamas	Grenada	St. Vincent and Grenadines
Barbados	Guyana	Suriname
Belize	Haiti	Trinidad and Tobago
Cuba	Jamaica	
Dominica	St. Kitts and Nevis	

Figure 6: Caribbean countries covered



Note: Boundaries, names shown and designations used on this map do not imply official endorsement or acceptance by the IEO.

Pacific region

Cook Islands	Nauru	Solomon Islands
Fiji	Niue	Timor Leste
Kiribati	Palau	Tonga
Marshall Islands	Papua New Guinea	Tuvalu
Micronesia (Federal States of)	Samoa	Vanuatu

Figure 7: Pacific countries covered

Note: Boundaries, names shown and designations used on this map do not imply official endorsement or acceptance by the IEO.

Annex 2: Interviewees consulted for this approach paper

Mrs. Wilna Accoush, general manager with the Green Island Foundation, Seychelles

Mrs. Elizabeth Agathine, principal secretary with the Ministry of Finance, Trade and Economic Planning - Economic Planning Department, Seychelles

Mr. Wills Agricole, principal secretary with the Ministry of Environment, Energy and Climate Change - Department of Energy and Climate Change, Seychelles

Mr. Roland Alcindor, program manager with the United Nations Development Programme (UNDP), Seychelles

Mrs. Moinahalima Assani, specialist in management and conservation of biodiversity with the Ministry of Agriculture, Fisheries, Environment, Spatial Planning and Town Planning, Comoros

Mr. Arno Boersma, manager of the UNDP Center of Excellence for Sustainable Development of Small Island Developing States (SIDS), Aruba

Mr. Peter Brinn, Seychelles team leader with the Global Climate Change Alliance-Plus (GCCA+), Seychelles

Mr. David Bynoe, national coordinator GEF SGP with the UNDP, Barbados

Mr. Donovan Campbell, lecturer in geography and researcher at the University of the West Indies, Mona Campus, Jamaica

Mrs. Irene Croise, deputy comptroller general with the Ministry of Finance, Trade and Economic Planning - Financial Planning and Control Division, Seychelles

Mr. Alain de Comarmond, principal secretary with the Ministry of Environment, Energy and Climate Change - Environment Department, Seychelles

Ms. Denyse S. Dookie, PhD student sustainable development at Columbia University, New York / Trinidad

Mr. Mario Peiró Espí, climate change and environment technical assistant with the UNDP, Dominican Republic

Mr. Geronimo Gussmann, researcher adaptation and social learning with the Global Climate Forum, Germany

Mrs. Elvina Henriette, independent consultant with Terrestrial Restoration Action Society of Seychelles (TRASS)

Mrs. Kelly Hoareau, director of the James Michel Blue Economy Research Institute (BERI) - University of Seychelles

Mr. Brendan Mackey, director of the Griffith Climate Change Response Program - Griffith University, Australia

Mr. James Millett, scientific and technical advisor with the GOS/UNDP/GEF Programme Coordination Unit, Seychelles

Mrs. Marie-May Muzungaile , CBD focal point and director general with the Ministry of Environment, Energy and Climate Change - Biodiversity Conservation Management Division, Seychelles

Mr. Trond Norheim, senior partner with Scanteam, Norway

Mr. Selvan Pillay, director general with the Ministry of Environment, Energy and Climate Change - Department of Energy and Climate Change, Climate Change Division, Seychelles

Ms. Angelique Pouponneau, climate change fellow at the Alliance of Small Island States, New York / Seychelles

Mr. Murugaiyan Pugazhendhi, senior project officer with the Ministry of Environment, Energy and Climate Change - Department of Energy and Climate Change, Seychelles

Mrs. Marie-Therese Purvis, chairperson of the board of directors for Sustainability for Seychelles

Mr. Martin Rokitzki, senior expert - climate change adaptation, natural resource management and managing director with PlanAdapt, Germany

Mr. Andrew Rylance, environment economist with the GOS/UNDP/GEF Programme Coordination Unit, Seychelles

Ms. Elke Talma, national coordinator with Mangroves for the Future (Seychelles), Seychelles

Mrs. Adelle Thomas, senior Caribbean research associate with Climate Analytics, The Bahamas

Mrs. Rowana Walton, lecturer with the University of Seychelles, Seychelles

Annex 3: Countries' ratification of international environmental agreements

Table 3: Ratification of international environmental agreements

	Ramsar	UNFCCC	UNCCD	CBD	Stockholm	Rotterdam	Basel	Minamata	Marine
AIMS (Atlantic, Indian Ocean, Mediterranean and South China Sea) countries									
Bahrain	Yes	Yes	Yes	Yes	Yes	Yes	Yes	No	Kuwait
Cabo Verde	Yes	Yes	Yes	Yes	Yes	Yes	Yes	No	-
Comoros	Yes	Yes	Yes	Yes	Yes	No	Yes	Sig.	Nairobi1
Guinea-Bissau	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Sig.	Abidjan
Maldives	No	Yes	Yes	Yes	Yes	Yes	Yes	No	-
Mauritius	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Sig.	Abidjan / Nairobi1
Sao Tome and Principe	Yes	Yes	Yes	Yes	Yes	Yes	Yes	No	-
Seychelles	Yes	Yes	Yes	Yes	Yes	No	Yes	Yes	Nairobi1
Caribbean countries									
Antigua and Barbuda	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Cartagena / Nairobi2
Bahamas	Yes	Yes	Yes	Yes	Yes	No	Yes	No	Cartagena / Nairobi2
Barbados	Yes	Yes	Yes	Yes	Yes	No	Yes	No	Cartagena
Belize	Yes	Yes	Yes	Yes	Yes	Yes	Yes	No	Cartagena
Cuba	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Auckland / Cartagena
Dominica	No	Yes	Yes	Yes	Yes	Yes	Yes	No	Cartagena
Dominican Republic	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Sig.	Cartagena
Grenada	Yes	Yes	Yes	Yes	No	No	No	No	Cartagena
Guyana	No	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Cartagena
Haiti	No	Yes	Yes	Yes	No	No	No	No	-
Jamaica	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Cartagena
St. Kitts and Nevis	No	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Cartagena / Nairobi2
St. Lucia	Yes	Yes	Yes	Yes	Yes	No	Yes	No	Cartagena
St. Vincent and Grenadines	No	Yes	Yes	Yes	Yes	Yes	Yes	No	Cartagena
Suriname	Yes	Yes	Yes	Yes	Yes	Yes	Yes	No	-
Trinidad and Tobago	Yes	Yes	Yes	Yes	Yes	Yes	Yes	No	Cartagena

Continued	Ramsar	UNFCCC	UNCCD	CBD	Stockholm	Rotterdam	Basel	Minamata	Marine
Pacific countries									
Cook Islands	No	Yes	Yes	Yes	Yes	Yes	Yes	No	Auckland / Nairobi2 / Noumea / SPTT
Fiji	Yes	Yes	Yes	Yes	Yes	No	No	No	Noumea / SPTT
Kiribati	Yes	Yes	Yes	Yes	Yes	No	Yes	Yes	SPTT
Marshall Islands	Yes	Yes	Yes	Yes	Yes	Yes	Yes	No	Nairobi 2 / Noumea / SPTT
Micronesia (Federal States of)	No	Yes	Yes	Yes	Yes	No	Yes	No	Noumea / SPTT
Nauru	No	Yes	Yes	Yes	Yes	No	Yes	No	Noumea / SPTT
Niue	No	Yes	Yes	Yes	Yes	No	No	No	Nairobi2 / SPTT
Palau	Yes	Yes	Yes	Yes	Yes	No	Yes	Yes	Nairobi2 / SPTT
Papua New Guinea	Yes	Yes	Yes	Yes	Yes	No	Yes	No	SPTT
Samoa	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	SPTT
Solomon Islands	No	Yes	Yes	Yes	Yes	No	No	No	SPTT
Timor Leste	No	Yes	Yes	Yes	No	No	No	No	-
Tonga	No	Yes	Yes	Yes	Yes	Yes	Yes	No	Nairobi2 / SPTT
Tuvalu	No	Yes	Yes	Yes	Yes	No	No	No	Nairobi2 / SPTT
Vanuatu	No	Yes	Yes	Yes	Yes	No	No	No	SPTT

Source: www.ecolex.org and Convention websites.

Notes: UNFCCC = United Nations Framework Convention on Climate Change, UNCCD = United Nations Convention to Combat Desertification in Those Countries Experiencing Serious Drought and/or Desertification, Particularly in Africa, CBD = Convention on Biological Diversity, Stockholm = Stockholm Convention on Persistent Organic Pollutants, Rotterdam = Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade, Basel = Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, Minamata = Minamata Convention on Mercury.

Marine = regional conventions focused on the marine environment. Abidjan = Abidjan Convention for Co-operation in the Protection and Development of the Marine and Coastal Environment of the West and Central African Region. Auckland = Auckland Convention on the Conservation and Management of High Seas Fishery Resources in the South Pacific Ocean. Cartagena = Cartagena Convention for the Protection and Development of the Marine Environment of the Wider Caribbean Region, and Oil Spills Protocol. Kuwait = Kuwait Regional Convention for Co-operation on the Protection of the Marine Environment from Pollution. Nairobi1 = Nairobi Convention of the Protection, Management and Development of the Marine and Coastal Environment of the Eastern African Region. Nairobi2 = Nairobi International Convention on the Removal of Wrecks. Noumea = Noumea Convention for the Protection of the Natural Resources and Environment of the South Pacific Region, and SPTT = South Pacific Tuna Treaty.

Annex 4: Overview of countries' environmental challenges

Table 4: Overview of environmental challenges

AIMS region	
Bahrain Water Quantity and Quality Degradation of Coastal and Marine Ecosystems Threats to Biodiversity	**Cabo Verde** Soil Erosion Land Degradation Threats to Biodiversity
Comoros Threats to Coastal and Marine Resources (Coastal Erosion and Overfishing) Deforestation and Soil Erosion Threats to Biodiversity	**Guinea-Bissau** Deforestation Cashew Farming and Soil Erosion Threats to Bijagos Biosphere Reserve
Maldives Climate Change (Sea Level Rise) Sewage and Solid Waste Management Salt Water Intrusion into fresh water lens	**Mauritius** Coastal Water Pollution Threats to Biodiversity Land Degradation
Sao Tome and Principe Degradation of Forest Ecosystems Threats to Biodiversity Threats to Marine Resources (Overfishing)	**Seychelles** Severe Weather and Coastal Erosion Loss of Mangrove Forest Threats to Coral Reefs
Caribbean	
Antigua and Barbuda Solid and Liquid Waste Pollution Coastal and Marine Degradation Vulnerability to Natural disasters	**Bahamas** Vulnerability to Natural Disasters (Hurricanes) Coastal and Marine Degradation Solid Waste Pollution
Barbados Soil degradation Coastal and Marine Degradation Solid Waste Pollution	**Belize** Coral Reef Degradation Vulnerability to Natural Disasters Deforestation
Cuba Soil Degradation Pollution Pressures on Water Resources	**Dominica** Water Pollution Coastal Degradation Vulnerability to Natural Disasters
Dominican Republic Deforestation Degradation of Aquafers Soil Degradation	**Grenada** Vulnerability to Natural Disasters Degradation of Coastal and Marine Ecosystems Threats to Coastal and Marine Resources (Overfishing)
Guyana Threats to Coastal and Marine Resources (Overfishing) Coastal Degradation Impacts of Mining	**Haiti** Vulnerability to Natural Disasters Deforestation Soil Degradation
Jamaica Coral Reef Degradation Deforestation Impacts of Mining	**St. Kitts and Nevis** Vulnerability to Natural Disasters Coral Reef Degradation Marine and Coastal Pollution

Table continued

St. Lucia Coral Reef Degradation Coastal and Marine Pollution Vulnerability to Natural Disasters	**St. Vincent and Grenadines** Vulnerability to Natural Disasters Coral Reef Degradation Solid and Liquid Waste Pollution
Suriname Water Pollution Floods Wildlife Trade	**Trinidad and Tobago** Marine and Coastal Pollution Impacts of Petrochemical Production Poorly Organized Coastal Development
Pacific	
Cook Islands Coastal Degradation (Land Reclamation and Natural Erosion) Climate Change (Sea Level Rise) Threats to Biodiversity / Biodiversity Loss	**Fiji** Land Degradation Deforestation Threats to Marine Resources (Overfishing)
Kiribati Climate Change (Sea Level Rise) Solid Waste Pollution Threats to Biodiversity	**Marshall Islands** Solid Waste Pollution Pollution of Ground Water Climate Change (Sea Level Rise and Destruction of Coral Reefs)
Micronesia (Federal States of) Land Degradation Climate Change (Droughts) Solid Waste Management	**Nauru** Impacts of Mining Water Quality Deforestation
Niue Agro Deforestation Biodiversity Loss (Mining) Threat to Marine Resources	**Palau** Land Degradation Deforestation Threat to Biodiversity
Papua New Guinea Pressures on Forests (Logging) Water Shortage/Drought Sea level Rise	**Samoa** Coastal and land degradation Pressures on Forests (Logging) Agro Deforestation
Solomon Islands Loss of Biodiversity Water Pollution and quality Issues Threats to Marine Environment / Resources (Overfishing)	**Timor Leste** Air Pollution Water Pollution and Quality Issues Inadequate Solid Waste Management
Tonga Pressures on Forests (Logging) Water Pollution Climate Change (Droughts)	**Tuvalu** Agro Deforestation Threats to Marine Environment / Resources (Overfishing) Climate Change (Sea Level Rise and Droughts)
Vanuatu Deforestation Threats to Biodiversity Threats to Marine Resources (Overfishing)	

Resources:

UN-OHRLLS, 2015. Small Island Developing States in Numbers – Climate Change Edition.

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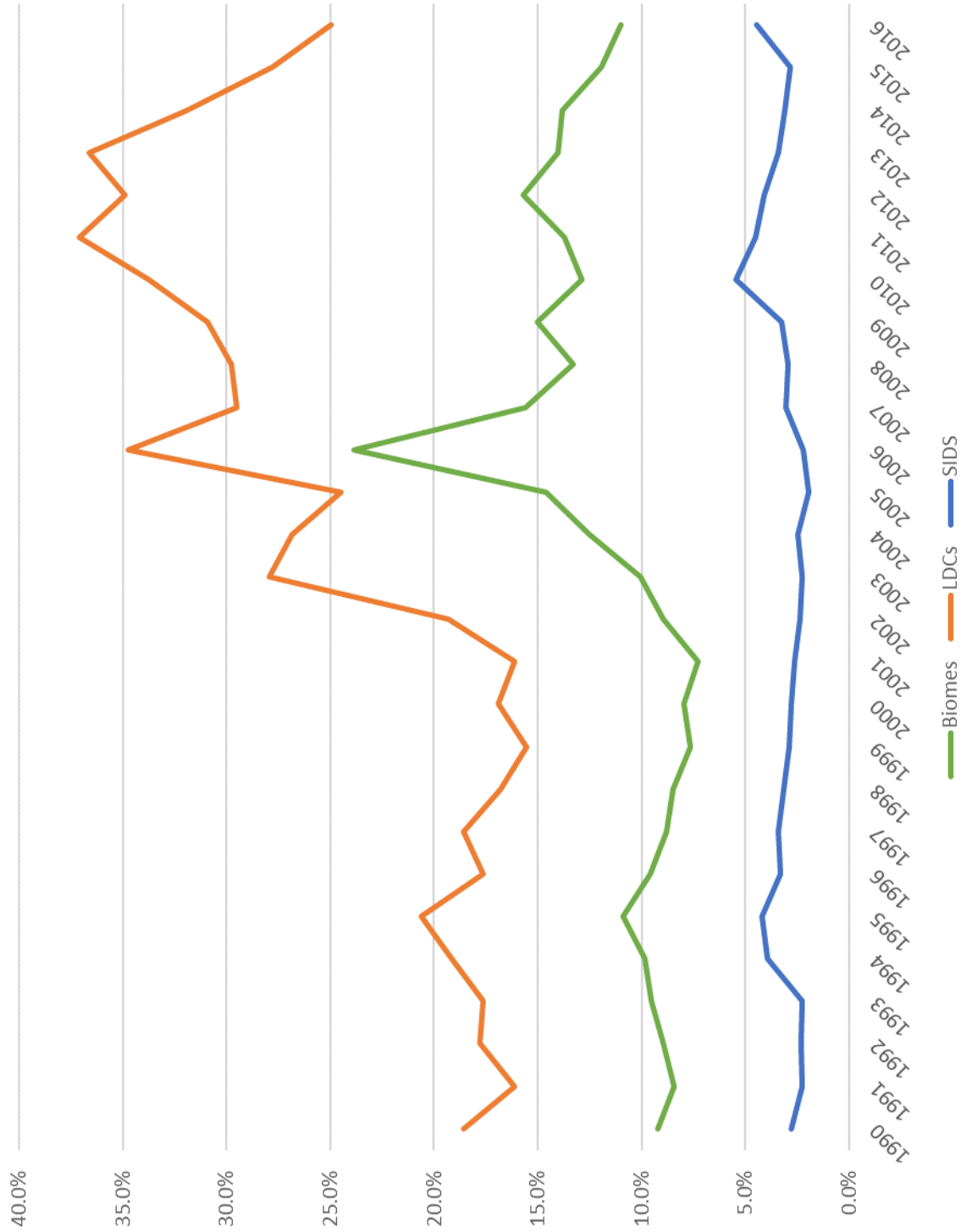
UNEP, 2008. Africa: Atlas of our Changing Environment.

UNEP, 2010. Latin America and the Caribbean: Atlas of our Changing Environment.
UNEP, 2013. Arab Region Atlas of our Changing Environment.
World Bank, 2009. Timor-Leste: Country Environmental Analysis.
World Bank, 2015. Maldives: Identifying Opportunities and Constraints to Ending Poverty and Promoting Shared Prosperity.

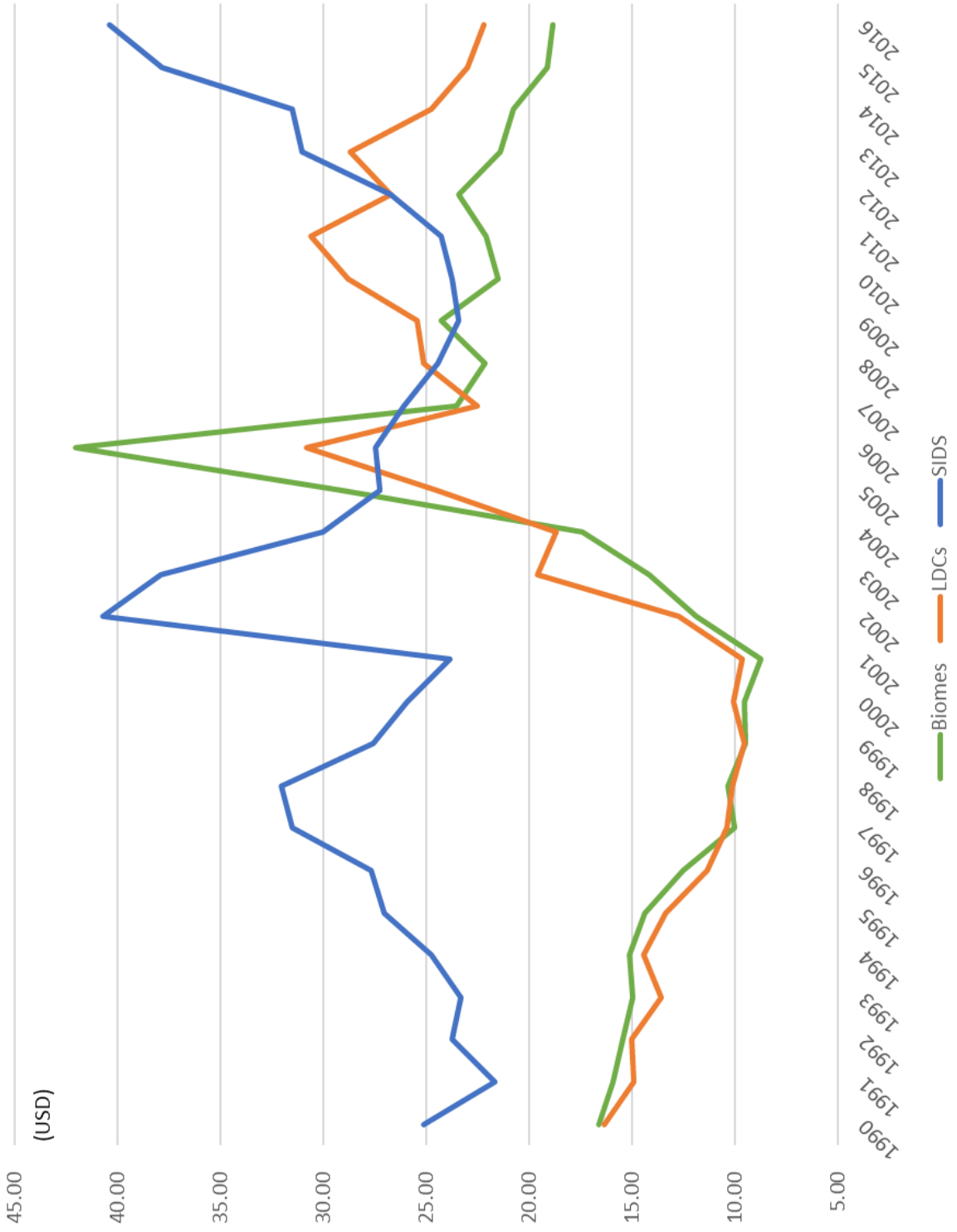
Annex 5: Net ODA, government debt and current account balance data

Figure 8: ODA net disbursements as percentage of total ODA disbursements to developing countries



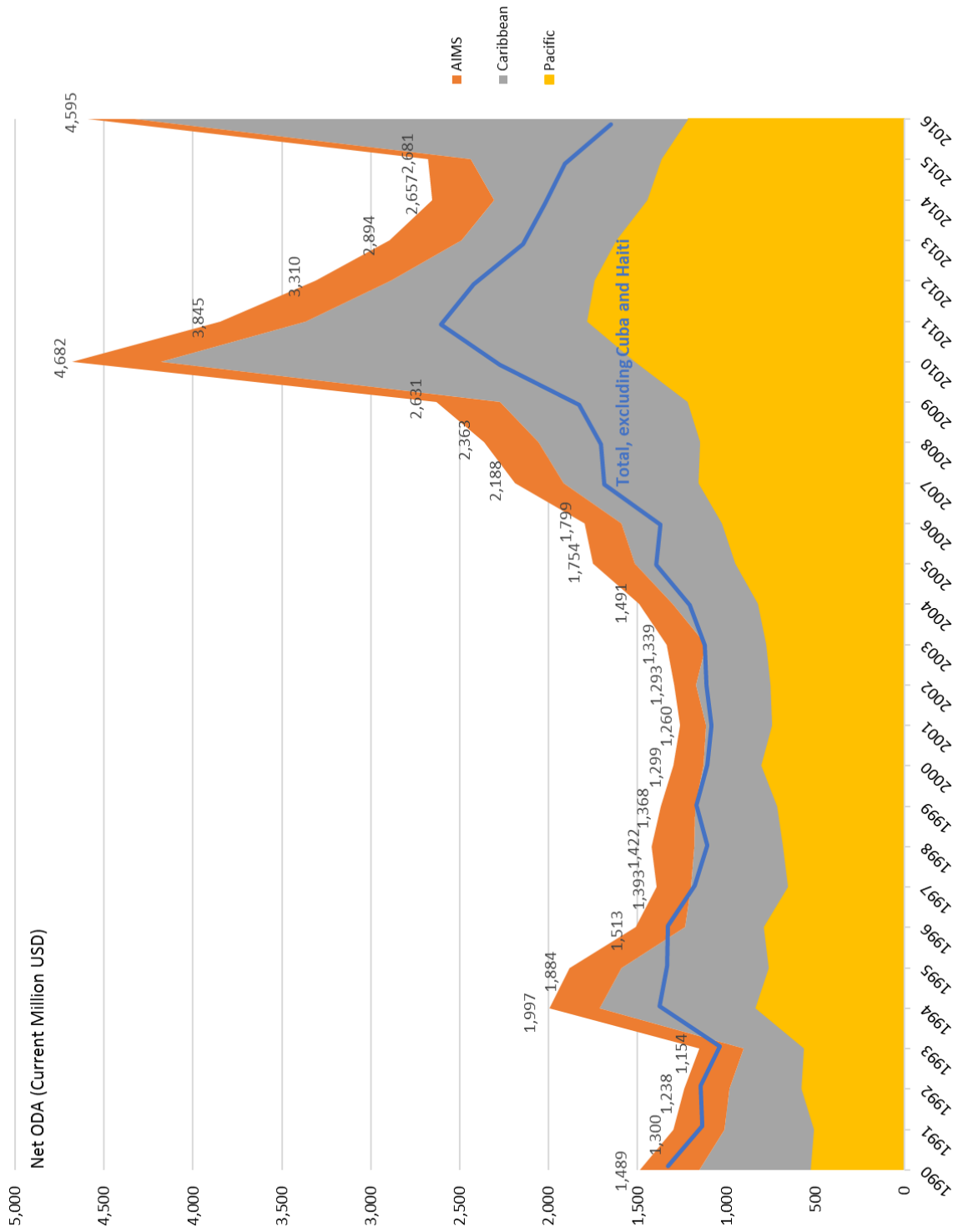
Source: OECD Stat - Aid (ODA) disbursements to countries and regions [DAC2a], December 2017.

Figure 9: Net ODA disbursements per capita



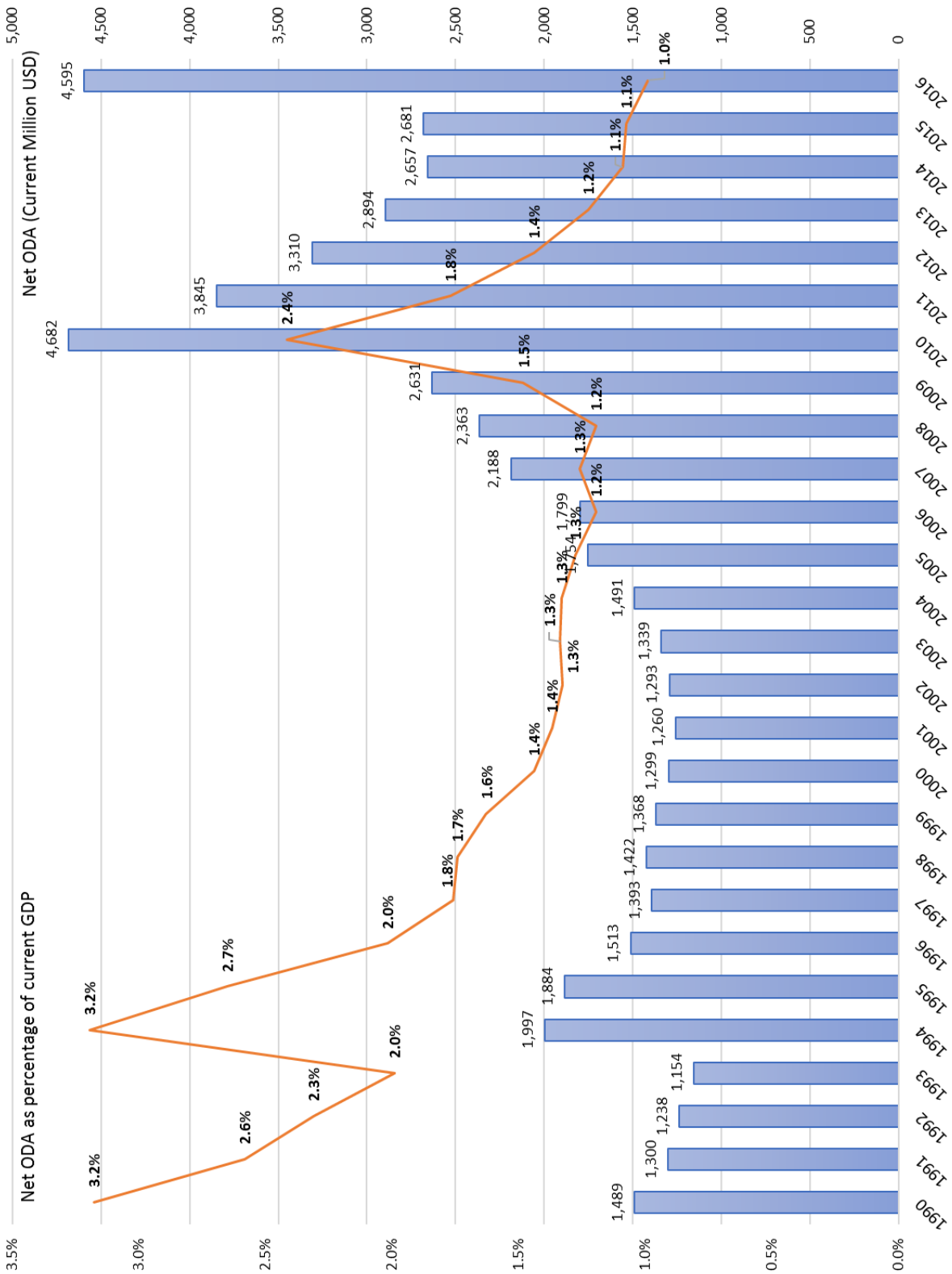
Source: OECD Stat - Aid (ODA) disbursements to countries and regions [DAC2a], December 2017.

Figure 10: Net ODA disbursements in USD to SIDS, per sub-region



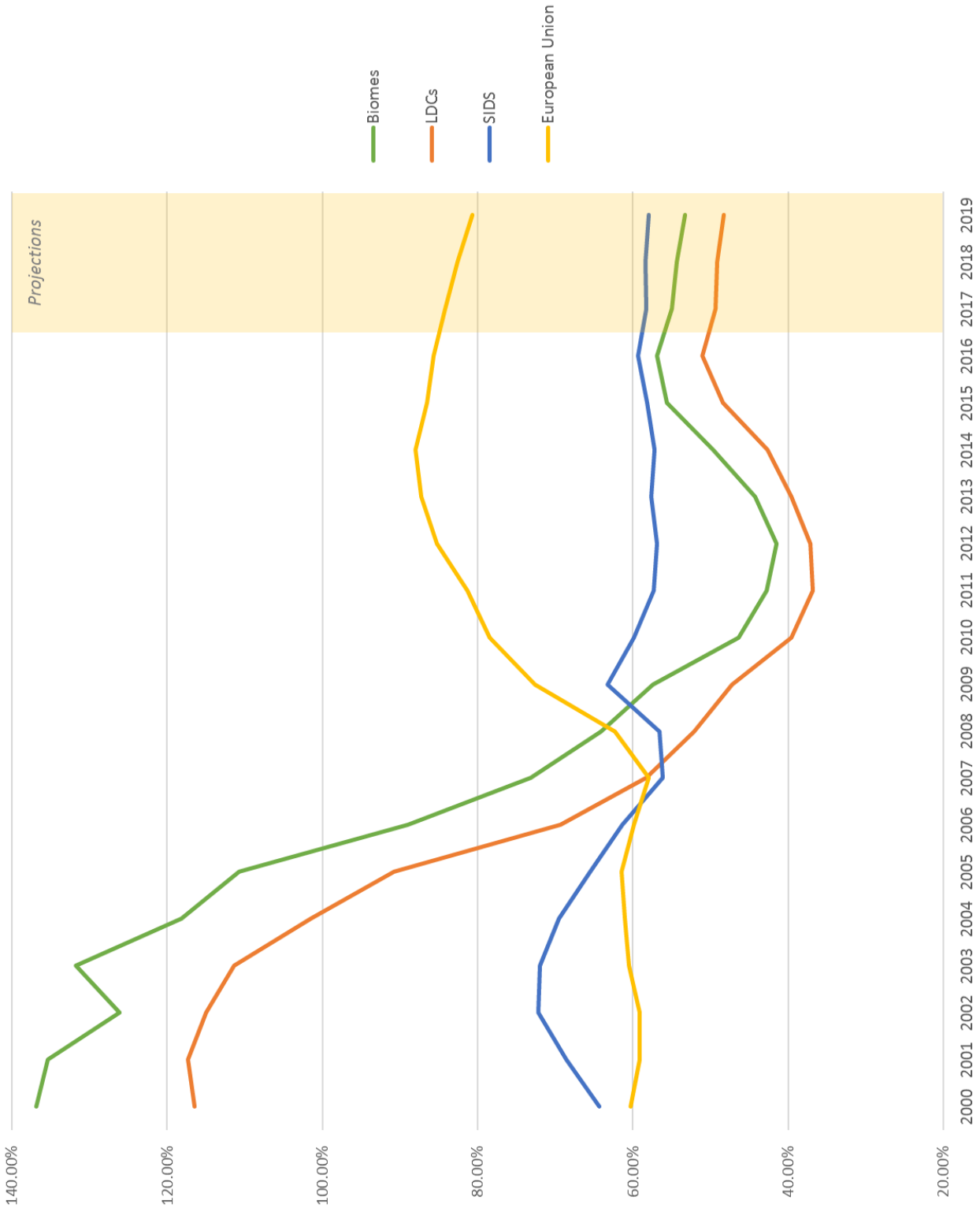
Source: OECD Stat - Aid (ODA) disbursements to countries and regions [DAC2a], December 2017.

Figure 11: Net ODA disbursements in USD and as percentage of GDP



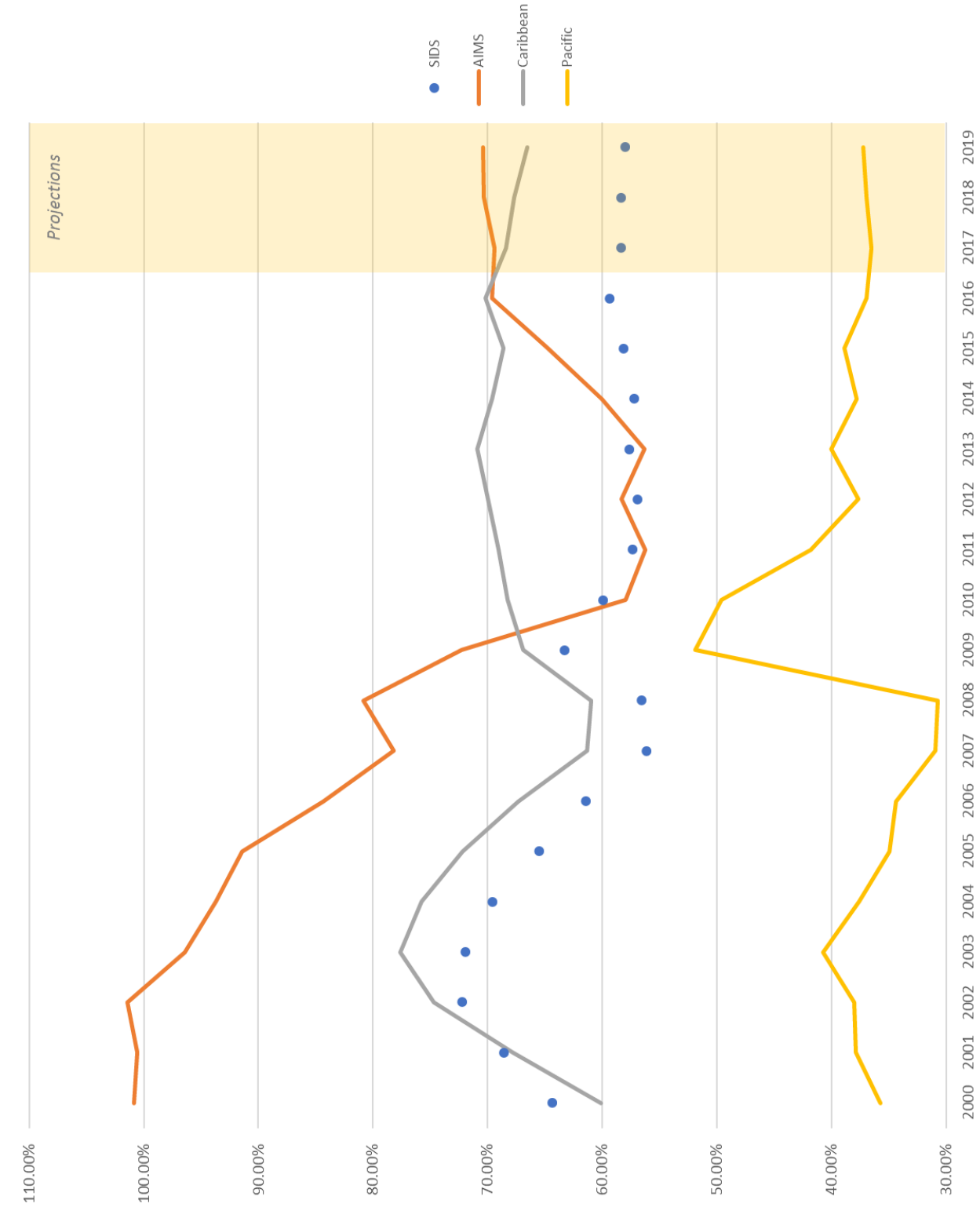
Source: OECD Stat - Aid (ODA) disbursements to countries and regions [DAC2a], December 2017.

Figure 12: Government gross debt, as percentage of GDP



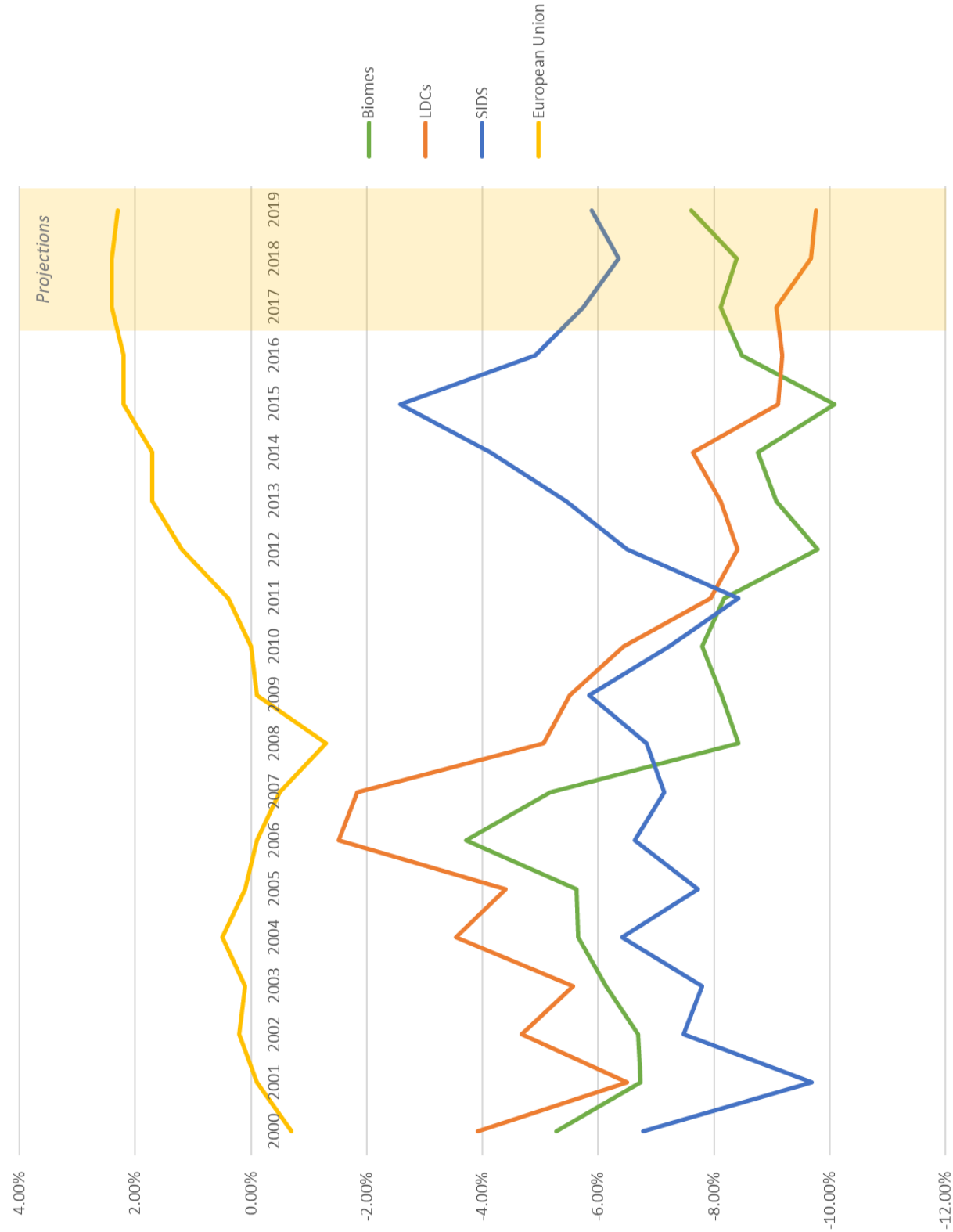
Data source: IMF World Economic Outlook Database October 2017.

Figure 13: Government gross debt as percentage of GDP - by SIDS sub-region



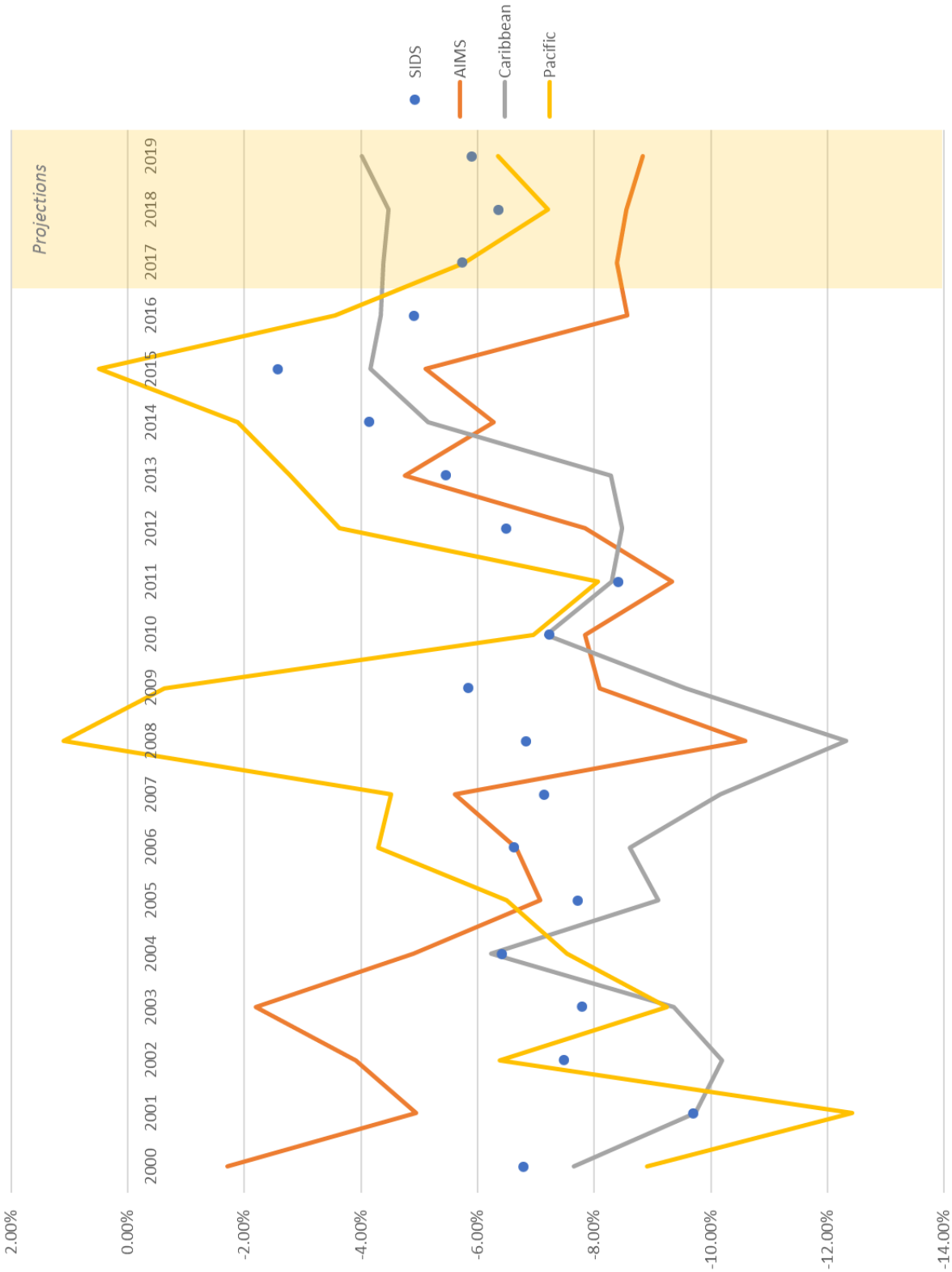
Data source: IMF World Economic Outlook Database October 2017.

Figure 14: Current account balance, as percentage of current GDP



Data source: IMF World Economic Outlook Database October 2017.

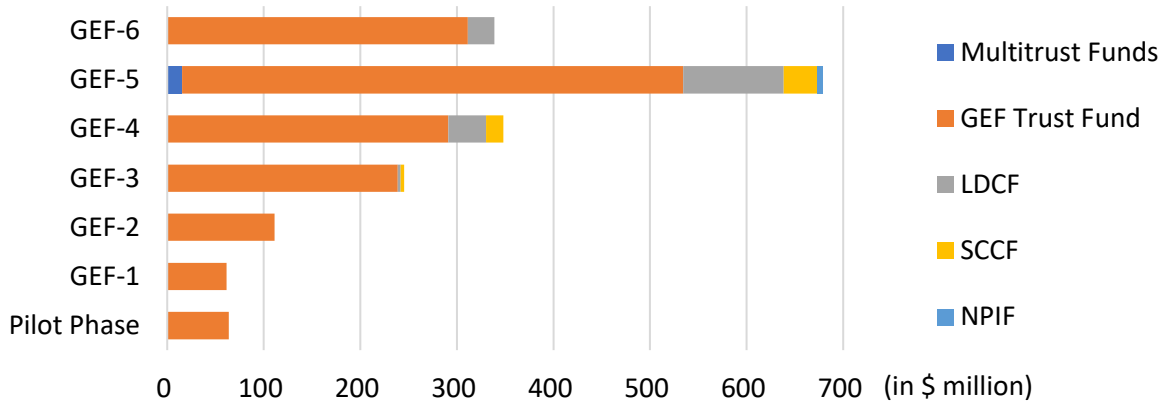
Figure 15: Current account balance, as percentage of current GDP - by SIDS sub-region



Data source: IMF World Economic Outlook Database October 2017.

Annex 6: SIDS SCCE portfolio composition

Figure 16: SIDS funding amount throughout the replenishment periods



Note: LDCF = Least Developed Countries Fund, SCCF = Special Climate Change Fund, and NPIF = Nagoya Protocol Implementation Fund.

Figure 17: SIDS funding share in GEF-4 to GEF-6 for country-level projects

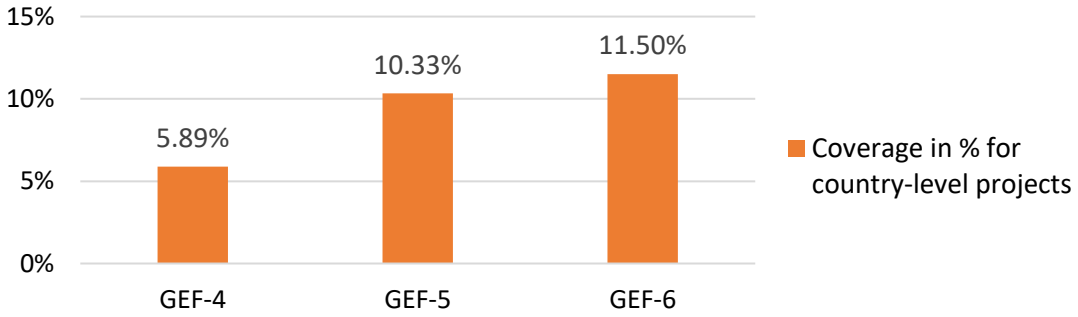
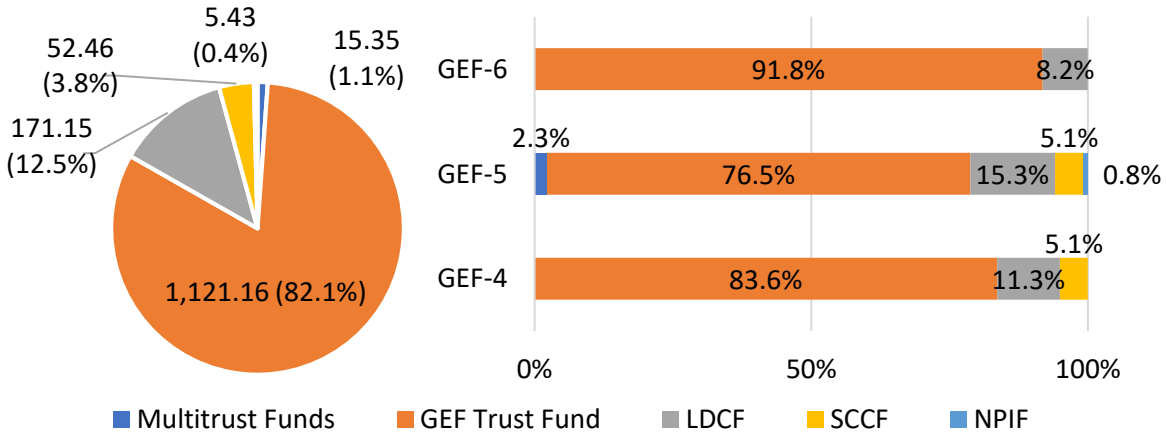


Figure 18: Funding sources in million $ and percent of total, from GEF-4 to GEF-6



Note: LDCF = Least Developed Countries Fund, SCCF = Special Climate Change Fund, and NPIF = Nagoya Protocol Implementation Fund.

Table 5: Funding amount and share by replenishment period and scale

Scale	Country		Regional		Global		Total
Replenishment period	($ million)	(%)	($ million)	(%)	($ million)	(%)	($ million)
GEF-4	111.06	31.9%	155.43	44.7%	81.43	23.4%	347.92
GEF-5	321.01	47.3%	159.16	23.4%	198.60	29.3%	678.78
GEF-6	123.09	36.3%	109.68	32.4%	106.08	31.3%	338.85
Total	**555.16**	**40.7%**	**424.27**	**31.1%**	**386.12**	**28.3%**	**1,365.55**

Note: regional and global amounts are SIDS relevant and not SIDS exclusive; there might be non-SIDS countries targeted as part of regional and global interventions.

Table 6: Project modality and scale in $ and number of projects

Modality	Enabling activities		Medium-size projects		Full-size projects		Total	
Scale	($ million)	(#)	($ million)	(#)	($ million)	(#)	($ million)	(#)
Country	15.30	49	67.37	60	472.49	110	555.16	219
Regional	2.10	4	26.90	19	395.27	49	424.27	72
Global	14.95	2	24.17	17	347.00	27	386.12	46
Total	**32.35**	**55**	**118.44**	**96**	**1,214.76**	**186**	**1,365.55**	**337**
Average project size	*0.59*		*1.23*		*6.53*		*4.05*	

Table 7: Comparison of country-level projects between SIDS sub-regions

	AIMS	Caribbean	Pacific	Total
Projects (#)	55	86	78	219
Projects (%)	25%	39%	36%	100%
Population	5,951,543	38,558,609	10,681,312	55,191,464
Project-population ratio	1 : 110,000	1 : 450,000	1 : 135,000	1 : 250,000
Project funding ($ million)	143.83	186.59	224.74	555.16
Project funding (%)	26%	34%	40%	100%
Funding-population ratio	24 : 1	5 : 1	21 : 1	10 : 1
Average project size ($ million)	2.62	2.17	2.88	2.53

Table 8: Project status for GEF-4 to GEF-6 in $ and number of projects

Replenishment period	GEF-4		GEF-5		GEF-6		Total	
Status	($ million)	(#)	($ million)	(#)	($ million)	(#)	($ million)	(#)
Council Approved	0.00	0	0.00	0	97.77	19	97.77	19
CEO Approved/Endorsed	0.95	1	51.50	20	115.79	32	168.23	53
Under Implementation	132.18	22	607.53	119	118.69	34	858.41	175
Project Completion	214.79	69	19.75	15	6.60	6	241.14	90
Total	**347.92**	**92**	**678.78**	**154**	**338.85**	**91**	**1,365.55**	**337**

Figure 19: Grant values by focal area and GEF replenishment period

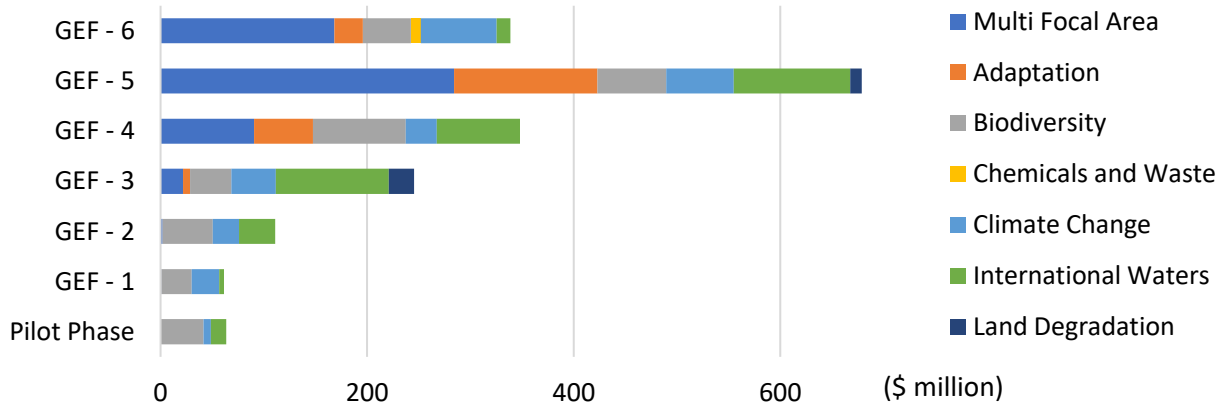
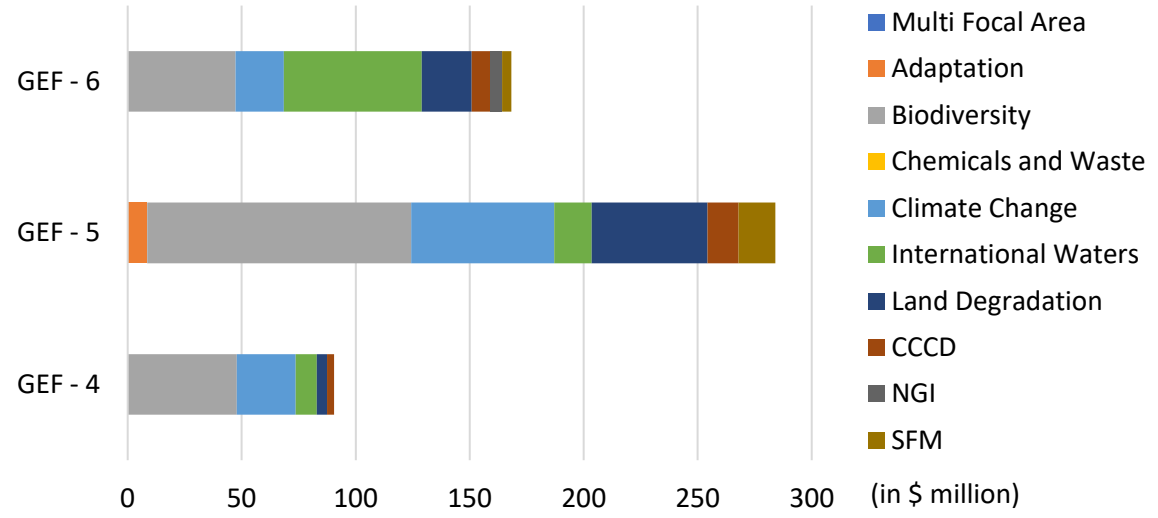


Figure 20: Funding components of multifocal area grants for GEF-4 to GEF-6



Note: CCCD = cross-cutting capacity development, NGI = non-grant instrument, and SFM = sustainable forest management.

Table 9: Country-level child projects vs standalone project by GEF replenishment period

Project category	Child project		Standalone project		Total	
Replenishment period	($ million)	(#)	($ million)	(#)	($ million)	(#)
GEF-4	21.66	12	89.39	44	111.06	56
GEF-5	85.01	18	236.00	97	321.01	115
GEF-6	0.00	0	123.09	48	123.09	48
Total	**106.68**	**30**	**448.48**	**189**	**555.16**	**219**

Annex 7: Available evaluative evidence

105. Relevant evaluations are discussed in the following groupings; country-level evaluations, regional and country cluster evaluations, programmatic evaluations, and the Sixth Overall Performance Study of the GEF (OPS6).

Country-level evaluations

106. Evaluative evidence collected by the IEO between 2008 and 2014 through country-level evaluations in SIDS confirmed that long-term sustainability of achievements remains a challenge. In 2008, the IEO concluded that in Samoa (IEO 2008) completed projects have achieved concrete on-the-ground results and enabling activities have supported Samoa in building the foundations for its environmental frameworks and strategies. GEF support has been relevant to Samoa's development strategy, national environmental policies, GEF mandate and focal area strategies. However, despite 14 years of GEF investments, financial sustainability of project results could be jeopardized due to a high level of dependency on GEF financing and slow financial follow-up support from the government. The evaluation further concluded that most GEF Agencies have not been engaged in Samoa, primarily because of the high transaction costs and limited understanding of GEF objectives and procedures. One of the recommendations is to increase national capacity by including more stakeholders (ministries, civil society, and the private sector) in implementing GEF-supported interventions.

107. The 2012 Jamaica country portfolio study (IEO 2012b) concluded that GEF support has been relevant to the country's development goals, but the design of the project portfolio was mainly led by the three GEF Agencies active in Jamaica – UNDP, UNEP and the World Bank – and less so by the government. The evaluation further concluded that with the assistance of GEF support, the country was able to build its capacity in environmental management; however, there were also challenges to sustain the results achieved from projects due to a lack of resources.

108. In addition, the Timor-Leste country portfolio study (IEO 2012c) concluded GEF support has been relevant to the country's strategic development plan and priorities. However, weak government capacity and a lack of skilled nationals on project design and implementation was a major factor impacting project sustainability. UNDP, the only GEF Agency implementing in Timor Leste at the country-level, often had to hire international consultants to produce project outputs, reducing the country's ability to build a broader base of national capacity. The study identified that the country's transition out of fragility demanded a longer-term GEF engagement or programmatic approach to provide an avenue for capacity building and reduce the administrative burden of stand-alone interventions.

109. In 2013, IEO's country portfolio evaluation of Cuba (IEO 2013) found that commitment to the financial sustainability of activities supported by the GEF and other donors – and to the implementation of environmental country-level strategies – is demonstrated by the creation of a National Environmental Fund. Moreover, few institutional changes in Cuba's administration, resulting in a high level of institutional knowledge retention for project design and implementation, has generated high efficiency in funds use. The Cuban government further prioritized South-South cooperation, and collaboration and learning between scientific staff and government decision-makers at the national level. The study also concluded that geographic issues, such as Cuba's status as a SIDS located near the Bahamas canal – a

source of regional pollution – and in the path of hurricanes, exacerbate other challenges, like the embargo and the 2007-2008 global financial crisis. UNDP was the only GEF Agency actively engaged in Cuba.

110. The above findings on sustainability and financing dependency are also voiced in the 2008 evaluation on UNDP's role and contribution in environment and energy (UNDP 2008). The evaluation finds that in many SIDS foundational environmental activities with non-GEF resources – a precondition for GEF programming that is often more incremental – do not take place, and there is limited opportunity to scale out GEF pilot initiatives. "The result is that most UNDP environment and energy country portfolios appear to be composed of a series of opportunistic projects for which funding was available. In many cases these are high-quality projects in their own right. But strategic portfolio development, the matching of activities with priority needs and significant attempts to compensate for the distortions inherent in the reliance on GEF funding are largely absent." (UNDP 2008, p. 23)

Regional and country cluster evaluations

111. UNDP performed two relevant assessments of development results, evaluating its contribution to OECS countries and Barbados in 2009, and the organization completed a similar evaluation of its contribution to PICs in 2012. An important conclusion of the 2009 OECS evaluation refers to a 'development paradox' in the Eastern Caribbean sub-region, where most countries have achieved relatively high GDP per capita levels and economic growth, while there also remains considerable poverty, gender and social inequities, under-employment and institutional weaknesses. It will continue to be complicated for OECS countries to balance prosperity and risks, and a more nuanced classification – considering specific SIDS vulnerabilities – might be needed. The evaluation further recommends strengthening private sector partnerships and for the UNDP to play a more proactive advocacy role in linking government, the private sector and NGOs on a range of environmental, social and climate change adaptation issues. It also recommends for the UNDP to integrate climate change adaptation as a cross-cutting issue across all program areas.

112. UNDP's PICs evaluation (2012) also points out that mainstreaming of environment and climate change issues in national development strategies has resulted in policy-level attention on environmental issues, and improvements in environmental institutional and technical capacities over time. Gender is interpreted quite differently across the staff and partners and given different weight in program planning. The evaluation found little gender analysis at project level; even projects with gender specific output areas lacked a gender analysis. The evaluation recommends a coherent strategy for mainstreaming gender equality, including shared gender analyses at regional and national levels, with sufficient support and resources for program staff. On private sector engagement, the evaluation finds that a greater commitment is required to create an environment that is genuinely supportive of private-sector investment and employment creation. Private sector focused interventions need to "be anchored in national development strategies with adequate budgetary allocations, appropriate governance institutions, policy frameworks, and robust publics-sector institutional capacity." (p. 34) The evaluation further concludes that micro states, like Niue and Nauru, demand specific implementation approaches due to their thin government structures and lack of critical mass of trained people due to brain drain. A differentiated program strategy and approach could be considered for smaller island countries due to their specific situation, high unit cost of delivery and inherent capacity constraints. The evaluation

identifies strong national ownership, commitments backed by national strategies and budgetary allocations, and close engagement with CSOs in managing resources and processes as all having a positive effect on project sustainability.

113. The IEO's first cluster country portfolio evaluation covered six OECS member countries (IEO 2012a) and found mixed performance, with positive achievements for enabling activities and adaptation focused interventions. Enabling activities, for example, facilitated the development of national biodiversity strategies and biodiversity and POPs action plans, national reports to conventions, capacity building needs assessments, as well as direct capacity support to key government departments. Other projects did not make significant progress toward impact-level results, or had limited success toward overall objectives. Reasons provided for the lack of results were a lack of tangible national-level activities as part of regional approaches, and insufficient focus on sustainability within the portfolio. The evaluation concludes that regional approaches have diluted relevance on efforts that are not a direct output of country-driven initiatives. The evaluation further concludes that institutional and individual capacity for environmental management remains a critical issue in the region. Related is a lack of meaningful participation of and engagement with the private sector and civil society actors. UNDP, UNEP and the World Bank were the three GEF Agencies actively engaged in GEF programming in the six OECS countries covered by the evaluation.

114. Reporting on the GEF project portfolios in Vanuatu and the Pacific regional project portfolio executed by the Secretariat for the Pacific Islands Regional Environment Programme (SPREP; previously the South Pacific Regional Environment Programme) the IEO concluded (2015a) that a pervasive constraint inhibiting effective project implementation in all focal areas except climate change is a lack of capacity in managing GEF Interventions. Hence, financial and human constraints is a huge determinant of the sustainability of outcomes after project completion. The evaluation found that the most successful efforts have been those aimed at investing heavily in building the capacity of individuals involved with climate change projects. After project completion, country teams that were established during climate change projects were mainstreamed into national frameworks and this proved to be effective in the sustainability of activities. The evaluation is the first to meaningfully mention resilience; the impact of climate change is regularly felt, and is reflected in projects mostly focusing on adaptation measures and improving resilience. Climate change is not only seen as an environmental issue but perceived as the biggest source of economic vulnerability confronting Pacific economies. UNDP, UNEP and the World Bank were the main GEF Agencies involved in country-level interventions, while regional projects have been implemented by these three Agencies as well as FAO and ADB.

115. Evaluative evidence collected by the WBG Independent Evaluation Group (IEG) between 2006 and 2014 through a regional program evaluation on small states in six independent Eastern Caribbean states[10] (2016b) confirms the relevance of WBG program engagement in these states. WBG engagement was based on two development pillars; (1) strengthening resilience (economic, environment and social) and enhancing competitiveness in the financial sector, and (2) regulatory framework, sector linkages and value chains for private business and infrastructure service delivery. The evaluation found that sustained engagements on a small number of strategic objectives have a higher probability of yielding results because the attention given to few objectives allows for a more in-depth engagement. Selectivity

[10] Antigua and Barbuda, Dominca, Grenada, St. Kitts and Nevis, St. Lucia, and St. Vincent and the Grenadines.

in objectives enables the development and sustainability of a collection of activities in a particular sector and also contributes to capacity building of country staff. Furthermore, the evaluation recommends that new project designs are accompanied by provisions to support institutional capacities needed to implement investments in a sustainable and efficient manner. Being mindful of the Bank's wide ranging thematic areas and lending mechanisms, it is recommended that, moving forward the underlying objectives of new lending operations are selective and specific as they contribute to wider development objectives for the Eastern Caribbean States.

116. Similarly, through the PICs Program Evaluation 2005-2015 (2016c), covering nine SIDS,[11] the IEG confirms that WBG's program during the evaluation period were highly relevant. The basis for WBG's strategic engagement was to support institutional changes necessary to foster sustainable long-term growth. The evaluation found that WBG used its comparative advantage by tackling pertinent policy issues, supporting regional coordination in moving forward, pursuing key analytic studies and promoting effective donor coordination. For example, agriculture industries were transformed from subsistence to commercial farming. The evaluation recommends that projects give particular attention to issues related to land acquisition, education policy, domestic violence and the role of local government. It was recommended that the World Bank should champion a cost-benefit analysis for increased pacific regional integration, the suggested roles of regional institutions and the impacts of their staff capacity development. The evaluation also recommends that the WBG provides more support for private sector development in all PICS. On gender, the evaluation found uneven progress on closing gender equality gaps. The PICs show considerable progress in health and education endowments, but there is less progress regarding economic opportunity for women, who – in many countries – have no rights to land ownership and less access to finance than men. Low female representation in political bodies and high levels of domestic violence are important issues.

117. In a separate executive summary (2016c) the IEG points out that while SIDS are a heterogeneous group and differ widely in their needs, they do share several intrinsic characteristics and development challenges. Fixed costs in the public or private sector can be high relative to the small scale at which the countries operate. SIDS also face fixed costs in commercial and financial sector transactions, which are similarly high relative to typical transaction volumes in their economies. The countries are often in areas that imply high trade costs and particularly vulnerable to natural disasters, including susceptibility to the adverse effects of climate change. SIDS also tend to have limited institutional capacity because of the extremely small absolute (though not relative) size of their public sectors. Greater exposure to economic and physical shocks leads to greater growth volatility in small states compared with larger states, and repeated shocks coupled with the inherent stresses on public finances and limited borrowing opportunities led to a buildup of significant debt levels in several small states.

118. Taking these evaluations into consideration, the Independent Evaluation group believes that knowledge brokering that is extremely intense and fostering partnership at the institutional level can be of substantial benefit to small states. In fact, Small States are a diverse group with differing needs; however, they share similar development challenges that includes higher public spending and public wage bills relative to their gross domestic product and limited opportunity for employment which contributes to higher outmigration rates.

[11] The Federated States of Micronesia, Fiji, Kiribati, Palau, the Marshall Islands, Samoa, Tonga, Tuvalu, and Vanuatu.

Programmatic evaluations

119. The Joint GEF/UNDP IEO Evaluation of the SGP (IEO 2015c) found that SGP sustainability ratings are comparable to those for other GEF projects. The evaluation concludes that SGP results on the ground in terms of promoting gender equality and contributing to gender empowerment are evident, with no evidence or perception of a trade-off between the SGP's gender and global environmental objectives. From 2008 onwards the SGP has increased its focus on SIDS, LDCs and countries in fragile or conflict-affected situations.

120. A sizeable portion of SIDS focused funding (12.5 percent) originates from the LDCF (figure 2). According to the LDCF program evaluation (IEO 2016b), the main area of potential concern for the LDCF portfolio is the financial sustainability of project activities beyond the scope of project-related funding. Added to that are the need to integrate climate change adaptation with national policies and programs (institutional sustainability), and the need for country ownership to ensure sustainability (sociopolitical sustainability). On gender, the gender performance of the LDCF portfolio – and also the SCCF portfolio – is rated higher than the gender performance of GEF trust fund funded interventions (IEO 2018b).

The Sixth Overall Performance Study of the GEF (OPS6)

121. The key issues to be covered by this SCCE have been selected based on the findings and conclusions from the Sixth Overall Performance Study (OPS6) and other previous IEO evaluations. OPS6 (IEO 2018e) found that while the GEF has a strong track record in delivering overall good project performance, the sustainability of outcomes remains a challenge. Also, country context, quality of implementation, and quality of execution influence project sustainability ratings. Sustainability of outcomes in SIDS is comparable to the average, with 64 percent of completed projects being rated in the likely range for sustainability – compared to 62 percent for the entire GEF portfolio analyzed. One of the conditions for transformational change to occur is the establishment of mechanisms for future financial sustainability through the market, government budgets, or both. Another possible approach is to move from projects to long-term programs.

122. OPS6 also reports that the expansion of the GEF partnership to 18 Agencies has increased GEF relevance in countries through greater choice and focal area coverage. Indeed, the expansion of the partnership was intended to increase choice, access, and availability for numerous underserved countries, especially LDCs and SIDS, based on Agency comparative advantage. The expansion has increased competition among the GEF Agencies, but whether the expanded partnership translates in more relevant support to SIDS' needs and priorities is still to be demonstrated. Importantly, OPS6 did not provide an in-depth assessment of responsiveness to the conventions from a country perspective. This is especially relevant to the current and foreseen GEF transitioning toward more integrated multi-country programming in GEF-7 and beyond.

123. OPS6 further concludes that the GEF Gender Mainstreaming Policy has advanced the GEF's efforts to strengthen gender mainstreaming in GEF programming and operations in a more systematic manner, but there is further room for improvement in implementation. The office's evaluation of gender mainstreaming in the GEF (IEO 2018b) points out that while there is a dramatic reduction of gender blind projects, the growth in projects rated gender sensitive or gender mainstreamed was limited. The IAP programs under GEF-6 describe resilience as an integrating concept, and almost all child

projects incorporate resilience considerations - in terms of risk management, as a co-benefit, or integrated into a multiple benefits framework. The office's formative review of the IAP programs (IEO 2018d) found that "the GEF does not have its own standardized framework or guidelines for addressing resilience. Thus, the issue is left to individual Agencies, which rely on their frameworks for the integration of, for example, adaptation, and depend on their definition of resilience, which could either be formulated more broadly or focus specifically on climate resilience." (p 38) The evaluation of GEF engagement with the private sector (IEO 2017) provides an analysis of the drivers for the private sector to address environmental issues, the environmental finance landscape, and hurdles faced by actors in the environmental finance market. It concludes that the GEF is constrained in its engagement with the private sector because of operational restrictions, and private sector innovation, country ownership and national strategies and priorities are at times at odds with one another.

Annex 8: Evaluation Matrix

Table 10: Evaluation matrix

Key questions / indicators / what to look for	Criteria / Level	Sources of information	Methodology
Key Question 1 (KQ1): What are the key factors influencing sustainability of outcomes in the SIDS?			
- Aggregated effectiveness and outcome ratings	Effectiveness / Portfolio	- APR data, including any other available TEs/TERs of completed projects between 2007 and 2014 - APR 2017 study on the sustainability of GEF project benefits - Portfolio data from PMIS, Agency verified	- Documentation review - Portfolio analysis - Broader adoption / Progress to Impact (P2I) desk analysis - Verification during country case studies
- Aggregate ratings of overall sustainability of project outcomes	Sustainability / Portfolio		
- Aggregate financial, socio-political, institutional, and environmental risks to sustainability ratings	Sustainability / Strategic		
- Aggregate progress to impact (P2I) ratings and broader adoption mechanisms – sustaining, replication, scaling-up, mainstreaming and market change mechanisms – in place	Sustainability / Strategic		
- Evidence/examples of positive, negative and no change based on the above mechanisms	Sustainability / Strategic	- IEO & GEF Agencies' evaluations - GEF and GEF Agency head office stakeholders - Country stakeholders - Available country data	- Broader adoption / Progress to Impact (P2I) desk analysis - Interviews - Verification during country case studies
- Aggregated geospatial data on land use/Land cover changes, Vegetation productivity, NDVI and/or landscape fragmentation	Sustainability / Portfolio	- GIS/Remote Sensing databases - Completed projects between 2007 and 2014 that can be and/or have already been geocoded	- Aggregated geospatial analysis aimed at identifying hot spots and change
- Links between immediate outcomes and GEBs (expressed as geospatial data) - Hot spots of positive, negative and no change based on the above mechanisms	Sustainability / Strategic	- GIS/Remote Sensing databases - Completed projects between 2007 and 2014 that can be and/or have already been geocoded - Country stakeholders and available country data	- Aggregated geospatial analysis aimed at identifying hot spots and change - Country case studies - Interviews - Field observations

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Key questions / indicators / what to look for		Sources of information	Methodology
Key Question 1 (KQ1): What are the key factors influencing sustainability of outcomes in the SIDS?			
KQ1 - CCI1: Gender and gender issues			
- Share of men and women involved in project design - Share of men and women targeted as direct beneficiaries - Share of men and women in lead project management roles	Sustainability / Portfolio	- Database of the OPS5 and OPS6 gender evaluations (which included a TE / TER analysis) - Portfolio data from PMIS, Agency verified - Country stakeholders	- Documentation review - Portfolio analysis - Country case studies - Interviews - Field observations
- Evidence of women's inclusion and women's empowerment - Evidence of gender plans, policies and strategies	Sustainability / Strategic	- Available country data for gender (national plans, policies and strategies) in case study countries - Country stakeholders	- Documentation review - Country case studies - Interviews
KQ1 - CCI2: Resilience			
- Evidence of resilience thinking in project documentation as 1) risk management, 2) as a co-benefit, or 3) as integrated into a multiple benefits framework	Sustainability / Portfolio	- TE / TERs of projects that closed between 2007 and 2014 - Portfolio data from PMIS, Agency verified	- Documentation review - Portfolio analysis
- Evidence of resilience thinking in project documentation as 1) in a static system/engineering sense, 2) resilience as incremental change, or 3) resilience as transformational change	Sustainability / Strategic and portfolio		
- Existence of country priorities on resilience (policies and strategies)	Sustainability / Strategic	- Available country data for resilience (national plans, policies and strategies) in case study countries	- Documentation review - Portfolio analysis - Country case studies

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Key questions / indicators / what to look for		Sources of information	Methodology
Key Question 1 (KQ1): What are the key factors influencing sustainability of outcomes in the SIDS?			
KQ1 - CCI3: Private sector engagement			
- Evidence of consultation/engagement with the private sector during project start to (i) inform private sector stakeholders of the project, (ii) get them on board from inception, and (iii) enthuse them to fund beyond project timeframe -Evidence of access to private sector funding after project completion	Sustainability / Portfolio	-TE / TERs of project that closed between 2007 and 2014 - Portfolio data from PMIS, Agency verified - Country stakeholders - Available country data	- Documentation review - Portfolio analysis - Country case studies - Interviews - Field observations
Key Question 2 (KQ2): In what way, if any, does the environment and socio-economic context and the water-energy-food nexus help explain the observed sustainability?			
- Aggregated financial and environmental risks to sustainability ratings	Sustainability / Portfolio	- TE / TERs of projects that closed between 2007 and 2014 - Portfolio data from PMIS, Agency verified	- Portfolio analysis - Documentation review
- Aggregated countries' differences in: (i) reliance on natural resources, (ii) susceptibility to natural disasters, (iii) the poor's dependence on the environment, (iv) the governments' economic development and other priorities - Perceptions on the existence of a nexus or a trade-off between environment and socioeconomic development	Sustainability / Strategic	- Available country data - Country stakeholders - GIS/Remote Sensing databases; completed projects between 2007 and 2014 that can be and/or have already been geocoded	- Aggregated geospatial analysis aimed at identifying hot spots and change - Country case studies - Interviews - Field observations
KQ2 - CCI1: Gender and gender issues			
- Evidence of women's inclusion and women's empowerment - Evidence of gender gaps being actively addressed - Linkages between country gender plans, policies, strategies and project strategies and plans on gender	Sustainability / Process and Strategic	- Available country data for gender (national plans, policies and strategies) in case study countries - Database of the OPS5 and OPS6 gender evaluations, including a TE / TER analysis - Portfolio data from PMIS, Agency verified - Country stakeholders	- Portfolio analysis - Documentation review - Country Case studies - Interviews

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Key questions / indicators / what to look for		Sources of information	Methodology
Key Question 2 (KQ2): In what way, if any, does the environment and socio-economic context and the water-energy-food nexus help explain the observed sustainability?			
KQ2 - CCI2: Resilience			
- Linkages between national development plans and resilience elements of project objectives - Alignment of country resilience priorities with SDG targets 1.5, 2.4 and 13.1	Sustainability / Strategic	- Portfolio data from PMIS, Agency verified - TE / TERs of projects that closed between 2007 and 2014 - Country stakeholders - Available country data for resilience (national plans, policies and strategies) in case study countries	- Portfolio analysis - Documentation review - Country case studies - Interviews
KQ2 - CCI3: Private sector engagement			
- Existence of regulatory framework enabling private sector to address environmental issues - Evidence of access to private sector funding after project completion	Sustainability / Strategic	- Portfolio data from PMIS, Agency verified -TE / TERs of project that closed between 2007 and 2014 - Country stakeholders - Available country data	- Documentation review - Country case studies - Interviews - Field observations
Key Question 3 (KQ3): To what extent has GEF support been relevant to the main environmental challenges the SIDS face, and are there any gaps?			
- Existence of national operational strategies related to GEF focal areas	Relevance / Strategic and Portfolio	- Portfolio data from PMIS, Agency verified	- Documentation review - Portfolio analysis
- Alignment of GEF support with national environmental priorities and budgets, and with other donors' support to the environmental sector in the countries	Relevance / Strategic and Portfolio	- Enabling activities documentation	
- Evolution of STAR and non-STAR focal areas allocations and utilization - Evolution of GEF support by modality	Relevance / Strategic and Portfolio	- Portfolio data from PMIS, Agency verified - Country stakeholders - Available country data	- Documentation review - Portfolio analysis - Interviews
- Variety of the services available to countries from the GEF Agencies working in SIDS - Actual and planned use of the services available to countries from the GEF Agencies working in SIDS	Relevance / Strategic, Portfolio and Process	- Country stakeholders - Available country data	- Documentation review - Country case studies - Interviews

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Key questions / indicators / what to look for		Sources of information	Methodology
Key Question 3 (KQ3): To what extent has GEF support been relevant to the main environmental challenges the SIDS face, and are there any gaps?			
3.1 in light of expansion of the GEF partnership			
- Variety and availability of services available to countries from the GEF Agencies working in SIDS	Relevance / Strategic	- Portfolio data from PMIS, Agency verified - Available country data - Country stakeholders	- Documentation review - Formative analysis according to common criteria/features (building on the findings of the evaluation of the expansion of the GEF partnership) - Country case studies - Interviews - Field observations during country case studies
- Actual and planned use of the services available to countries from the GEF Agencies working in SIDS	Relevance / Process and portfolio		
- Perceptions, incentives and disincentives to embark in GEF integrated programs and/or multifocal projects	Relevance / Strategic		
3.2 in light of changes in the modalities of support offered			
- Evolution of GEF support by modality	Relevance / Strategic	- Portfolio data from PMIS, Agency verified - Country stakeholders	- Portfolio analysis
- Evolution of STAR and non-STAR focal area allocations and utilization	Relevance / Strategic		- Portfolio analysis -Country case studies - Interviews
- Perceptions on incentives and disincentives to embark in GEF integrated programs and/or multifocal projects	Relevance / Process and strategic		
3.3 considering other changes to the environmental finance landscape			
- Analysis of case study countries current access to environmental finance and gaps - Anticipated use of new sources of funding - Analysis of financial impact of graduation	Relevance / Strategic	- Available country data - Country stakeholders	- Documentation review - Portfolio analysis - Country case studies - Interviews
KQ3 - CCI1: Gender and gender issues			
- Existence of gender analysis - Existence of sex disaggregated / gender sensitive indicators - Existence of gender focused activities and goals - Gender ratings	Relevance / Portfolio	- Portfolio data from PMIS, Agency verified - Database of the OPS5 and OPS6 gender evaluations (which included a TE / TER analysis)	- Portfolio analysis - Documentation review - Interviews

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Key questions / indicators / what to look for		Sources of information	Methodology
Key Question 3 (KQ3): To what extent has GEF support been relevant to the main environmental challenges the SIDS face, and are there any gaps?			
KQ3 - CCI2: Resilience			
- Existence of country priorities on resilience (policies and strategies) - Share of project cost for specific resilience objective or activities - Perceptions on usefulness, difficulty, actual use, etc. of resilience concept(s) or resilience tools (if applied) with involved stakeholders	Relevance / Strategic, Portfolio and Process	- Available country data for resilience (national plans, policies and strategies) - Portfolio data from PMIS, Agency verified - Country stakeholders	- Portfolio analysis - Documentation review - Country case studies - Interviews
KQ3 - CCI3: Private sector engagement			
- Existence of public private partnerships for implementation and future financing - Evidence of private sector cofinancing	Relevance / Portfolio	- Portfolio data from PMIS, Agency verified - Available country data - Country stakeholders	- Portfolio analysis - Documentation review - Country case studies - Interviews