



Independent  
Evaluation Office  
GLOBAL ENVIRONMENT FACILITY

# GEF Annual Performance Report 2017

OCTOBER 2019  
FULL REPORT





Global Environment Facility  
Independent Evaluation Office

# **GEF Annual Performance Report 2017**

October 2019

Evaluation Report No. 136

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The findings, interpretations, and conclusions in this report are those of the authors and do not necessarily reflect the views of the GEF Council or the governments it represents.

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Cover: Solar panels installed in The Gambia with GEF support, August 2019; by Neeraj Kumar Negi/GEF IEO

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# Foreword

The Independent Evaluation Office (IEO) of the Global Environment Facility (GEF) is pleased to present Annual Performance Report (APR) 2017. The report builds on the GEF IEO's past work in assessing the performance of GEF activities and its determinants. In response to the GEF Council's request, APR 2017 includes a special section on the sustainability of GEF-supported activities.

The analysis on sustainability shows that GEF projects tend to be sustainable long after their implementation is complete, which is reassuring. The analysis further shows that the extent to which activities are sustainable is affected by financial support for follow-up, commitment of the national partners to follow-up, alignment with country priorities, institutional capacities, and stakeholder buy-in. It also shows that risks to sustainability tend to be higher in least developed countries

and small island developing states. To understand the factors that lead to higher risks in these types of countries and how these factors may be addressed, the GEF IEO is undertaking strategic country cluster evaluations covering least developed countries and small island developing states. These evaluations will help in further deepening our understanding of sustainability in challenging country contexts.

I would like to thank everyone who actively supported this evaluation.



Juha I. Uitto  
Director, GEF Independent Evaluation Office

# Acknowledgments

This evaluation was led by Neeraj Kumar Negi, Senior Evaluation Officer in the Independent Evaluation Office of the Global Environment Facility (GEF IEO); he was also the lead author of the report and led the analysis on sustainability. Molly Watts Sohn (Evaluation Analyst, GEF IEO) coauthored the report.

The terminal evaluation review for fiscal year 2017 was coordinated by Molly Watts Sohn. She also prepared terminal evaluation review reports, along with Consultants Spandana Battula, Selin Erdogan, Nina Hamilton, and Ritu Kanotra. This team also reviewed the postcompletion verification reports in the analysis of sustainability of GEF projects. Yuyun Zhan, a graduate student at the University of Maryland, conducted background research on approaches followed by international development agencies to assess sustainability. The geographical information system- and remote sensing-based case study on sustainability was conducted by

Anupam Anand, GEF IEO Evaluation Officer and Taoyu Liu, a graduate student at the University of Maryland.

The evaluation benefited from guidance and oversight provided by Juha Uitto, Director of the IEO; quality control was provided by Geeta Batra, IEO Chief Evaluation Officer. The study team was supported by Evelyn Chihuguyu, IEO Program Assistant. Nita Congress edited, designed, and laid out the report.

The GEF's annual performance reports rely on information provided by GEF partner Agencies through terminal evaluations and terminal evaluation reviews prepared by their offices.

The GEF IEO is grateful to all of these individuals and institutions for their contributions. Final responsibility for this report remains firmly with the Office.



# Abbreviations

ADB	Asian Development Bank	LDC	least developed country
AfDB	African Development Bank	M&E	monitoring and evaluation
APR	annual performance report	MSP	medium-size project
CSO	civil society organization	OECD	Organisation for Economic Co-operation and Development
DAC	Development Assistance Committee	OPS6	Sixth Comprehensive Evaluation of the GEF
EBRD	European Bank for Reconstruction and Development	SIDS	small island developing states
ECG	Evaluation Cooperation Group	UNDP	United Nations Development Programme
FSP	full-size project	UNEP	United Nations Environment Programme
GEF	Global Environment Facility	UNIDO	United Nations Industrial Development Organization
IDB	Inter-American Development Bank		
IEO	Independent Evaluation Office		
IFAD	International Fund for Agricultural Development		

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

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

# Executive summary

This annual performance report (APR) provides an update on the performance of the Global Environment Facility's (GEF's) portfolio of completed projects. It also reports on the adoption of GEF Council decisions based on recommendations by the GEF Independent Evaluation Office (IEO), and a summary assessment of the performance of the GEF Agencies. In addition to details on performance, APR 2017 takes an in-depth look at the issue of sustainability.

APR 2017 reports on a cumulative portfolio of 1,372 completed projects, representing \$6.1 billion in GEF funding and \$30.1 billion in realized cofinancing. This includes 188 projects for which terminal evaluations were received since APR 2016. These 188 projects account for \$861.8 million in GEF funding and \$5.6 billion in realized cofinancing, and are referred to as the APR 2017 cohort.

## Main findings

- As of APR 2017, 80 percent of the 1,358 GEF projects cumulatively rated on overall outcome achievement have been rated in the satisfactory range. Seventy-six percent of the APR 2017 cohort of rated projects (185) are assessed to be in the satisfactory range.
- There are variations in the outcome ratings of projects implemented in different country contexts. A lower percentage of projects in Africa, small island developing states, least developed countries, and fragile states have satisfactory outcome ratings compared with the portfolio average.
- Compared to the previous cohorts, the quality of project implementation ratings are higher and the quality of execution ratings are the same for the APR 2017 cohort.
- Cumulatively, 68 percent of projects mobilized at least 90 percent or more of promised cofinancing. Cumulatively, 14 percent of projects received less than 50 percent of promised cofinancing; this has a negative impact on outcome ratings.
- Monitoring and evaluation (M&E) design and implementation ratings have improved over time. M&E design ratings for GEF-4 completed projects are 10 percent higher than the overall average of 63 percent. M&E implementation ratings have similarly improved: 86 percent of completed GEF-5 projects have satisfactory ratings, compared with the overall average of 64 percent.
- The quality of terminal evaluations remains high, although there are some gaps in coverage, particularly for medium-size projects.
- Substantial improvement in inclusion of gender-relevant information is observed in terminal evaluations submitted after the adoption of the 2011 GEF Gender Mainstreaming Policy. Prior to the policy, 18 percent of the terminal

evaluations included gender-relevant information. This increased to 57 percent after adoption of the policy.

- Sustainability of outcome ratings have improved over the GEF replenishment periods. Likelihood of outcome sustainability at project completion is influenced by quality of project preparation, country context, government support, quality of project implementation and execution, and materialized cofinancing.
- The percentage of GEF completed projects with a likelihood of sustainable outcomes at project completion is comparable with that for other multilateral organizations.
- Higher sustainability ratings at GEF project completion are associated with higher levels of outcomes, environmental stress reduction, and broader adoption three years or more after project completion.

### Management action record

The GEF management action record tracks the level of adoption of GEF Council decisions that are based on GEF IEO evaluation recommendations. These recommendations are implemented by the GEF Secretariat and/or the GEF partner Agencies (together referred to as GEF management). The 2017 management action record reports on the level of adoption of four decisions.

The adoption of the decision on the evaluation of the GEF–Civil Society Organization Network was rated to be substantial by the IEO. The decision called for an updated vision for the network and clear rules of engagement with relevant

stakeholders. Substantial progress was observed in these areas.

The level of adoption of three decisions was rated as medium by the IEO. The first decision was based on the Annual Country Portfolio Evaluation Report of 2012, and requested the GEF Secretariat to reduce the burden of monitoring requirements for multifocal area projects. The second decision relates to the burden of monitoring requirements reported in the 2015 APR. The third decision relates to the review of the Joint GEF–United Nations Development Programme (UNDP) Small Grants Programme Evaluation, with a recommendation for the Secretariat and UNDP to continue upgrading the Small Grants Programme Country Program, and to revisit the criteria for selecting countries for upgrading. Only limited progress was observed in adoption of these decisions.

APR 2017 does not present any recommendations, because most areas for improvement were addressed in the Sixth Comprehensive Evaluation of the GEF. However, it does identify issues for the IEO to address going forward.



# 1: Background and main findings

## 1.1 Background

This annual performance report (APR) provides an update on performance of the Global Environment Facility's (GEF's) portfolio of completed projects. Specifically, it updates information on project outcomes, the likelihood of sustainability of project outcomes, the quality of project implementation and execution, cofinancing trends, the quality of project monitoring and evaluation (M&E) systems, and the coverage and quality of terminal evaluation reports. It also includes the adoption of GEF Council decisions that are based on recommendations by the GEF Independent Evaluation Office (IEO), and a summary assessment of the performance of GEF Agencies. In addition to details on performance, APR 2017 takes an in-depth look at the issue of sustainability.

Reporting in the APR is primarily based on evidence provided in the terminal evaluation reports of completed projects. All terminal evaluations and ratings are reviewed and validated by the IEO and/or the evaluation office of the respective GEF Agency.

The analysis presented here includes a cumulative portfolio of 1,372 completed projects, representing \$6.1 billion in GEF funding and \$30.1 billion in realized cofinancing. This includes 188 projects for which terminal evaluations were recently received. These 188 projects account for \$861.8 million in GEF funding, and \$5.6 billion in realized cofinancing, and are referred to as the APR 2017 cohort.

## 1.2 Main findings

### PERFORMANCE

- **As of APR 2017, 1,358 GEF projects have been rated on overall outcome achievement.** Eighty percent of completed GEF projects perform satisfactorily in achieving their expected outcomes. Seventy-six percent of the APR 2017 cohort of rated projects (185) are assessed to be in the satisfactory range.
- **There are variations in the outcome ratings of projects implemented in different country contexts.** A lower percentage of projects in Africa, small island developing states (SIDS), least developed countries (LDCs), and fragile states have satisfactory outcome ratings compared with the portfolio average. Among country groups, there has been a substantial improvement of approximately 20 percentage points after GEF-3 in the outcome ratings for fragile states, although the reasons for this improvement are not yet well understood. Medium-size projects (MSPs) significantly outperform full-size projects (FSPs) on outcomes, by approximately 5 percentage points.
- **Ratings for quality of project implementation have improved, while those for quality of execution remain the same.** Quality of implementation ratings for the 2017 cohort are higher than for previous cohorts, with 84 percent of projects rated as satisfactory compared to the

portfolio average of 79 percent. Quality of execution ratings stand at 78 percent for the 2017 cohort, which is close to the portfolio average of 81 percent. For both quality of implementation and execution, the presence of an effective project steering committee is positively correlated with performance ratings. Levels of country support that match or exceed expectations are also correlated with quality of execution ratings.

- **Cumulatively, 68 percent of projects mobilized at least 90 percent or more of promised cofinancing.** For completed projects, the ratio of realized cofinancing to GEF dollars is 6.1 to 1.0; for the FY17 cohort, it is 8.4 to 1.0. Climate change projects tend to generate both the highest promised and realized cofinancing ratios; chemicals and waste projects mobilize \$1.90 in cofinancing for every GEF dollar. Cumulatively, 14 percent of projects received less than 50 percent of cofinancing—and this has a negative impact on outcome ratings.
- **M&E design and implementation ratings have improved over time.** M&E design ratings for GEF-4 completed projects are 10 percent higher than the overall average of 63 percent. Similarly, M&E implementation ratings have improved: 86 percent of completed GEF-5 projects have satisfactory ratings, compared with the overall average of 64 percent. While overall M&E implementation ratings are lowest in Africa, this region outperforms the others in the collection of disaggregated gender data. Twenty-two percent of projects in Africa collected disaggregated gender data, compared to 14 percent in Asia and in Europe and Central Asia, 9 percent in Latin America and the Caribbean, and 6 percent of projects implemented globally.
- **The quality of terminal evaluations remains high, although there are some gaps in coverage, particularly for MSPs.** Eighty-three percent

of all terminal evaluations were rated in the satisfactory range; this has remained fairly stable over time. For GEF-1 through GEF-3, 87 percent of all FSP terminal evaluations expected and 79 percent of the MSP terminal evaluations expected have been received. There is a sharp drop in the coverage of MSPs from GEF-2 to GEF-3, from 91 percent to 67 percent. Much of the drop may be attributed to the United Nations Development Programme (UNDP), which submitted 57 percent of its terminal evaluations from GEF-3, compared to 85 percent from all the other GEF Agencies for the same period.

- **Gender-relevant information is being included in more terminal evaluations.** A third of the projects for which project performance assessments were completed included gender-relevant information in their terminal evaluation or project implementation report. There is an increase in the inclusion of gender-relevant information by replenishment period: 21 percent of GEF-2 projects, 35 percent of GEF-3 projects, and 55 percent of GEF-4 projects included gender-relevant information in terminal evaluations or project implementation reports. There is also a sharp improvement in the terminal evaluations submitted after the adoption of the GEF Gender Mainstreaming Policy in May 2011 from 18 percent in the period prior to the policy to 57 percent in terminal evaluations completed after that date.

## SUSTAINABILITY

- **Multilateral organizations including the GEF have adopted definitions of sustainability that are inspired by those proposed by the Organisation for Economic Co-operation and Development's Development Assistance Committee (OECD DAC) and the Evaluation Cooperation Group (ECG).** The GEF approach to measuring sustainability is broadly consistent

with that of other multilateral organizations, despite some differences assessed in dimensions and rating scales. The review indicates that the GEF could strengthen its approach to assessing sustainability further by explicitly addressing resilience.

■ **Sustainability of outcome ratings have improved over the GEF replenishment periods.**

Sixty-two percent of completed GEF projects are rated in the likely range for outcome sustainability, with a 10 percent increase between GEF-3 and GEF-4 and an increase of 8 percent between GEF-4 and GEF-5. Likelihood of outcome sustainability at project completion is influenced by quality of project preparation, country context, government support, quality of project implementation and execution, and materialized cofinancing. Projects in LDCs or fragile states, global projects, and projects in the climate change and biodiversity focal areas show a statistically significant improvement in sustainability ratings between GEF-2 and GEF-3.

■ **The percentage of GEF completed projects with a likelihood of sustainable outcomes at project completion is comparable with that for other multilateral organizations.**

Although there are differences among the various multilateral organizations in terms of their mandate, geographical coverage, and scale of activities, the percentage of projects rated in the likely range for sustainability of outcomes is not substantially different across organizations. The percentage so rated ranges from 52 percent for African Development Bank (AfDB) projects to 66 percent for Asian Development Bank (ADB) projects. Sustainability of outcome ratings for projects implemented by the International Fund for Agricultural Development (IFAD), the Inter-American Development Bank (IDB), the World Bank, and the GEF are 60 percent, 62 percent, 65 percent, and 62 percent, respectively. The United Nations

Environment Programme (UNEP) is an outlier, with 79 percent of its projects rated as having outcomes likely to be sustained.

■ **Higher sustainability ratings at GEF project completion are associated with higher levels of postproject completion outcomes, environmental stress reduction, and broader adoption.**

Fifty-three projects were evaluated in-depth for sustainability. Eighty-four percent of these projects that were rated as sustainable at closure also had satisfactory postcompletion outcomes, as compared with 55 percent of the unsustainable projects. In addition, most projects with satisfactory outcome ratings at completion continued to have satisfactory outcome ratings at postcompletion. Compared with their status at project completion, more projects achieved environmental stress reduction (66 percent compared to 60 percent) and broader adoption (81 percent compared to 72 percent) at postcompletion. Where past outcomes were not sustained, contributing factors included lack of financial support for maintenance of infrastructure or follow-up, lack of sustained efforts from the executing agency, inadequate political support including limited progress on the adoption of legal and regulatory measures, low institutional capacities of key agencies, low levels of stakeholder buy-in, and flaws in the project's theory of change.

### 1.3 Management action record

The GEF management action record (MAR) tracks the level of adoption of GEF Council decisions that are based on IEO evaluation recommendations. These recommendations are implemented by the GEF Secretariat and/or the GEF partner Agencies (together referred to as GEF management). The MAR serves two purposes:

(1) to provide Council a record of its decisions based on the evaluation reports presented by the GEF IEO, the proposed management actions, and the actual status of these actions; and (2) to increase the accountability of GEF Management regarding Council decisions on monitoring and evaluation issues. (GEF IEO 2005, 1)

MAR 2017 reports on the level of adoption of four decisions from the following evaluations:

- *Annual Country Portfolio Evaluation Report 2012* (GEF IEO 2012)
- “Semi-Annual Evaluation Report of the GEF Independent Evaluation Office: June 2015,” section on the Joint GEF-UNDP Small Grants Programme Evaluation (GEF IEO 2015b)
- *Evaluation of the GEF–Civil Society Organization Network* (GEF IEO 2016a)
- *Annual Performance Report 2015* (GEF IEO 2017c)

In 2017 the GEF Council endorsed all 58 GEF IEO recommendations presented in the May and November 2017 Semi-Annual Evaluation Reports. These recommendations have not been included for tracking in MAR 2017, to allow for implementation. They are listed in annex A of the MAR 2017 (GEF IEO 2018f) along with a timeline for their future tracking.

The November 2017 Council decision regarding the Semi-Annual Evaluation Report also took note of the Sixth Comprehensive Evaluation of the GEF (OPS6) recommendations and advised the GEF Secretariat to address them in the programming for GEF-7. These recommendations will not be tracked in the MAR because they are at a strategic level and have been reflected in the GEF-7 policy agenda and programming directions.

## COUNCIL DECISION WITH A SUBSTANTIAL LEVEL OF ADOPTION

The adoption of the decision on the evaluation of the GEF–Civil Society Organization (CSO) Network was rated to be substantial by both the IEO and GEF management. The decision led to the establishment of an ad hoc working group of Council members to develop an updated vision of the relationship between the GEF and civil society in consultation with relevant stakeholders, and encouraged the CSO Network to establish a working group to interact with the Council Working Group on an updated vision for the network. The Ad-hoc Working Group on Civil Society presented an “Updated Vision to Enhance Civil Society Engagement with the GEF” at the GEF Council’s 53rd meeting. At the same meeting, the Secretariat presented an updated Policy on Stakeholder Engagement with the GEF. The Council requested the GEF Secretariat to present a progress report on implementation of the vision to the 55th Council in the fall of 2018.

## COUNCIL DECISIONS WITH A MEDIUM LEVEL OF ADOPTION

The level of adoption of three decisions was rated as medium by the IEO.

- The **first decision** was based on the Annual Country Portfolio Evaluation Report of 2012, and requested the Secretariat to reduce the burden of monitoring requirements for multifocal area projects. The GEF is moving its results-based management system toward tracking 11 core indicators and 25 subindicators from GEF-7 onward, which should reduce the burden of tracking for all project types. As the decision is no longer relevant, it has been retired from the MAR.



- The **second decision** relates to the burden of monitoring requirements reported in the 2015 Annual Performance Report. The decision endorsed the recommendation that the GEF needs to reassess its approach to tracking tools for GEF-7 and should also assess the burden and utility of its biodiversity tracking tools and other alternatives. GEF management rated the level of adoption as substantial, as a revised results-based management approach is under development by the Secretariat. The IEO rated the level of adoption as medium, as an alternative to the tracking tools is still under development.
- The **third decision** relates to the review of the Joint GEF-UNDP Small Grants Programme Evaluation, with a recommendation for the Secretariat and UNDP to continue upgrading the Small Grants Programme Country Program, and to revisit the criteria for selecting countries for upgrading. The level of adoption is rated as medium by both management and IEO. Management reported that UNDP and the Central Program Management Team, in consultation

with the GEF Secretariat and relevant stakeholders, will revisit the upgrading criteria in GEF 7. The program will focus on consolidating and scaling up successful on-the-ground actions in the existing 15 upgraded country programs for community-based landscape planning and management in GEF-7.

#### 1.4 Issues for future consideration

APR 2017 does not present any recommendations, because most areas for improvement were addressed in OPS6. However, it does identify issues for the IEO to address going forward. The GEF IEO will work with the GEF Agencies to ensure that terminal evaluation submission gaps are addressed. The IEO will also work to strengthen its methodology for measuring sustainability, while updating the M&E Policy and revising guidance for terminal evaluations.

## 2: Scope and methodology

Topics covered by APR 2017 include the following:

- **An overview of completed GEF projects and their outcomes (chapter 3).** The assessment covers completed projects for which outcome ratings are available. The distribution of ratings presented is based on dimensions including the GEF replenishment period, focal area, region, and project type. The chapter also discusses key determinants of outcome ratings.
- **A review on outcome sustainability (chapter 4).** The assessment covers the likelihood of outcome sustainability at completion, actual sustainability during the postcompletion period, and correlation of project design features with sustainability. The review also presents a reflection on the GEF's approach to measurement of sustainability.
- **An overview of project implementation (chapter 5).** The assessment covers the quality of implementation and the execution of completed projects, the materialization of cofinancing, and the quality of project M&E.
- **Analysis of the submission of terminal evaluation reports and their quality (chapter 6).** The analysis presents the extent to which the submission of terminal evaluation reports meets expectations. It includes an overview of the quality of terminal evaluation reports submitted by the GEF Agencies.

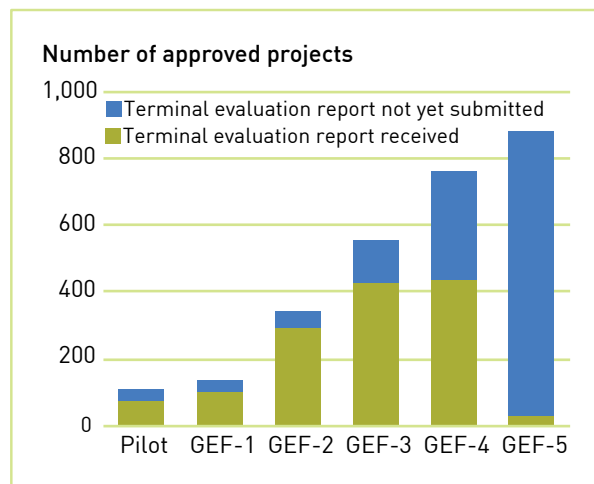
- **Presentation of the management action record (chapter 7).** The MAR reports on the degree to which GEF IEO recommendations endorsed by the GEF Council have been adopted by GEF management.
- **Performance matrix (section 2.4).** The performance matrix provides a summary of GEF Agency performance on key indicators.

### 2.1 Coverage

This report is primarily based on evidence provided in terminal evaluation reports for 1,372 completed GEF projects that account for \$6.1 billion in GEF grants (figures 2.1 and 2.2). Of these, 1,322 projects were funded through the GEF Trust Fund. The remainder were funded through other GEF-administered trust funds: 27 through the Least Developed Countries Fund, 21 through the Special Climate Change Fund, and 2 through the Nagoya Protocol Implementation Fund. Terminal evaluations were submitted for 188 projects during 2017. The new submissions together account for \$861.8 million in GEF grants; these constitute the 2017 cohort ([annex A](#)). The entire data set of 1,372 completed projects is here referred to as the terminal evaluation review data set (table 2.1).

This report covers completed FSPs and MSPs, and those enabling activities for which direct environmental results are expected and that involve at least \$0.5 million in approved GEF funding.

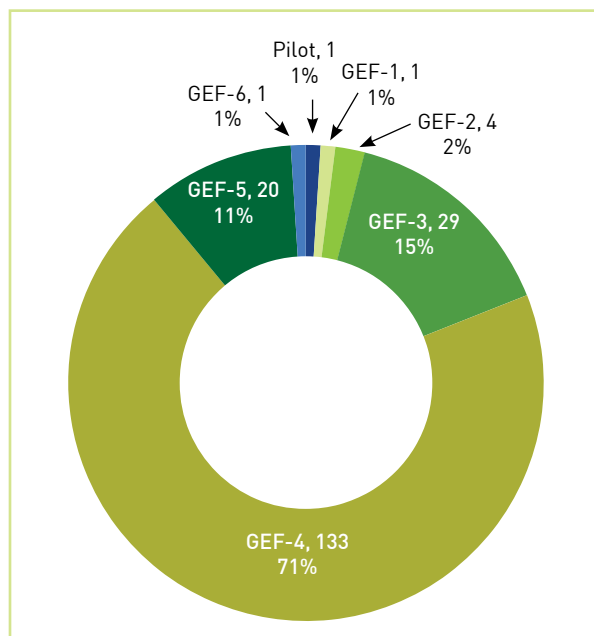
**FIGURE 2.1** Coverage of approved projects in APR 2017



**SOURCE:** GEF IEO terminal evaluation review data set.

**NOTE:** Excludes enabling activities.

**FIGURE 2.2** Distribution of the 2017 cohort: number of projects by replenishment period



**SOURCE:** GEF IEO terminal evaluation review data set.

Canceled FSPs and MSPs are excluded, as are enabling activities if less than \$0.5 million of GEF funds were utilized. GEF activities under the Small

Grants Programme are excluded. Of the projects covered in the report, eight are enabling activities. Based on their level of GEF funding, these enabling activities are grouped with the FSPs for analysis.

The terminal evaluations generally rate project performance on outcomes, likelihood of sustainability of outcomes, project implementation and execution, and M&E design and implementation. Terminal evaluations are reviewed by the GEF IEO and/or the respective GEF Agency evaluation office to verify the ratings and to assess the quality of the terminal evaluation report ([annex B](#)). Where available, performance ratings provided by the independent evaluation offices of the World Bank, UNDP, and UNEP have been used for reporting. In other instances, ratings provided by the GEF IEO have been used. Ratings for 717 projects (52 percent of the review data set) were provided by the GEF IEO; Agency evaluation offices provided ratings for 655 (48 percent) (table 2.2).

The projects covered by this report are divided into categories based on country characteristics, focal area, region, project size, replenishment period, and year of approval. Multivariate linear regression models and probit models have been used to assess plausible causal relationships ([annex C](#)). To the extent possible, other relevant factors/variables have been included in the model to control for their effects on the observed variance. Tests of statistical significance have been used to assess whether observed results are significant.

## 2.2 Sustainability analysis

Sustainability is one of the performance dimensions that is reported on in the APRs. For APR 2017, the GEF IEO undertook a review to assess the sustainability of GEF projects in greater depth. The sustainability analysis sought to answer the following questions:

**TABLE 2.1** Composition of the APR 2005–16 and APR 2017 cohorts, and cumulative coverage

	All cohorts, excl. APR 2017		APR 2017 cohort		All cohorts	
	No. of projects	GEF funding (mil. \$)	No. of projects	GEF funding (mil. \$)	No. of projects	GEF funding (mil. \$)
<b>Focal area</b>						
Biodiversity	512	2,018.5	65	261.7	577	2,280.2
Chemicals	59	275.6	13	36.3	72	311.8
Climate change	308	1,526.0	74	378.7	382	1,904.7
International waters	130	834.8	10	49.9	140	884.7
Land degradation	68	188.0	11	48.0	79	236.0
Multifocal	107	357.7	15	87.0	122	444.8
<b>Region</b>						
Africa	310	1,333.6	47	171.4	357	1,505.0
Asia	284	1,465.8	54	220.5	338	1,686.4
Europe and Central Asia	222	743.3	29	111.5	251	854.8
Latin America and the Caribbean	248	1,118.7	47	258	295	1,376.7
Global and regional	120	539.2	11	100.2	131	639.4
<b>GEF Agency</b>						
IFAD	12	42.9	3	9.9	15	52.8
UNDP	534	1,653.5	91	313.5	625	1,967.0
UNEP	155	402.8	17	47.5	172	450.2
UNIDO	22	33.8	10	19.6	32	53.3
World Bank	391	2,558.7	47	368.9	438	2,927.5
Others	19	62.4	13	42.9	32	105.3
Joint	51	446.7	7	59.4	58	506.1
<b>GEF replenishment period</b>						
Pilot phase	72	451.7	1	5.1	73	456.8
GEF-1	104	843.0	0	0.0	104	843.0
GEF-2	294	1,372.0	4	74.0	298	1,446.0
GEF-3	402	1,773.7	29	229.9	431	2,003.6
GEF-4	303	750.7	133	514.5	436	1,265.2
GEF-5	9	9.5	20	37.0	29	46.5
GEF-6	0	0.0	1	1.0	1	1.0
<b>Project size</b>						
FSP	725	4,812.5	156	830.7	881	5,643.2
MSP	459	388.1	32	31.1	491	419.1
<b>Total</b>	<b>1,184</b>	<b>5,200.6</b>	<b>188</b>	<b>861.8</b>	<b>1,372</b>	<b>6,062.2</b>

**SOURCE:** GEF IEO terminal evaluation review data set.

**NOTE:** UNIDO = United Nations Industrial Development Organization. Funding does not include project preparation grants. The chemicals focal area consists of projects in the persistent organic pollutants focal area and the ozone layer depletion focal area; beginning in GEF-4, these have been grouped together in a single GEF focal area.

TABLE 2.2 Source of performance ratings

Source and implementing Agency	All cohorts, excl. APR 2017	APR 2017 cohort	All cohorts
Agency eval. offices	501	154	655
UNDP	242	96	338
UNEP	97	17	114
World Bank	162	41	203
GEF IEO	683	34	717
ADB	9	2	11
FAO	5	3	8
IDB	5	8	13
IFAD	12	3	15
UNDP	298	0	298
UNEP	63	0	63
UNIDO	22	10	32
World Bank	233	7	240
Joint projects	36	1	37
Total	1,184	188	1,372

**NOTE:** FAO = Food and Agriculture Organization of the United Nations; UNIDO = United Nations Industrial Development Organization.

- To what extent are the outcomes of GEF projects sustainable?
- What are the determinants of sustainability?
- To what extent are GEF projects designed for sustainability?
- To what extent is the GEF IEO's approach to measuring sustainability robust?

Information to answer these questions was gathered through a survey of the literature, a desk review of postcompletion verification reports, and an analysis of project performance data sets including the terminal evaluation review data set and a quality at entry assessment undertaken for OPS6. A detailed account of the methodology adopted for the sustainability analysis is provided in [chapter 4](#).

## 2.3 Management action record

The IEO uses the MAR to track the level of adoption of GEF Council-endorsed recommendations by GEF management. The MAR is updated annually and presented to the GEF Council as an information document. Each MAR includes recommendations that have not yet been graduated or retired. For each recommendation for which adoption is assessed, a record of prior GEF management self-assessment along with the IEO validation is provided. The methodology used in preparation of the MAR is discussed in [chapter 7](#).

## 2.4 Performance matrix

The performance matrix (table 2.3) provides a summary of the performance of GEF Agencies and of the GEF portfolio on relevant parameters. The numbers presented in the matrix are portfolio averages for the projects covered through the terminal evaluations.

For indicators on performance of completed projects, data on projects approved in GEF-4 have been used because this is the most recent period for which substantial data are available. For project extensions, data from GEF-3 have been reported because even though a majority of GEF-4 projects have been completed, those that are still under implementation might require extensions.

For Agency performance in submission of terminal evaluation, approvals from GEF-1 to GEF-3 have been considered, as a significant portion of the projects from later periods are still under implementation. On the quality of terminal evaluations, data during calendar years 2015 to 2017 are used to focus on more recent performance.

TABLE 2.3 Performance matrix

Parameter	UNDP	UNEP	World Bank	UNIDO	Other <sup>a</sup>	Overall GEF
<b>Results</b>						
1. % of projects with overall outcome ratings of moderately satisfactory or higher	81 (249)	85 (54)	84 (65)	95 (21)	70 (30)	82 (433)
<b>Factors affecting results</b>						
2. Quality of implementation: % of projects rated moderately satisfactory or higher	88 (244)	98 (50)	79 (57)	90 (20)	73 (26)	87 (411)
<b>Reported cofinancing<sup>b</sup></b>						
3. Reported materialization of total cofinancing to total GEF funding	11.4 (210)	1.8 (51)	5.2 (48)	7.5 (16)	3.6 (29)	8.4 (366)
4. Reported materialization of cofinancing to GEF funding—median project value	2.8 (210)	1.2 (51)	3.1 (48)	3.1 (16)	2.5 (29)	2.4 (366)
5. Reported materialization of cofinancing as % of total promised cofinancing	205 (210)	99 (51)	96 (48)	141 (16)	89 (29)	156 (366)
6. Percentage of projects where at least 90% of cofinancing materializes	70 (210)	71 (51)	65 (48)	81 (16)	59 (29)	69 (366)
<b>Efficiency</b>						
7. % of completed projects that required extensions of < 2 years <sup>c</sup>	8 (168)	12 (59)	13 (145)	33 (3)	15 (13)	11 (406)
<b>Quality of M&amp;E</b>						
8. % of projects with M&E implementation ratings of moderately satisfactory or above	76 (247)	73 (52)	37 (54)	76 (21)	41 (29)	68 (417)
9. % of FSP terminal evaluations rated in satisfactory range	84 (135)	100 (18)	87 (60)	88 (8)	79 (19)	87 (252)
10. % of MSP terminal evaluations rated in satisfactory range	80 (41)	100 (28)	11 (9)	73 (11)	100 (4)	80 (93)
<b>Terminal evaluation submission (GEF-1 to GEF-3)</b>						
11. Submission rate for FSPs (%)	84 (237)	88 (56)	90 (258)	100 (2)	83 (18)	87 (649)
12. Submission rate for MSPs(%)	68 (187)	89 (83)	91 (98)	n.a.	60 (5)	79 (386)

**SOURCE:** GEF IEO terminal evaluation review data set.

**NOTE:** n.a. = not applicable; UNIDO = United Nations Industrial Development Organization. Numbers of rated projects are shown in parentheses. The data for parameters 1–8 are for APR years 2014–17. For parameters 9–10, the data are for APR 2016 and 2017. For parameters 11 and 12, the data are cumulative, based on submissions through APR 2017.

a. Other includes ADB, Food and Agriculture Organization of the United Nations, IDB, and IFAD. Jointly implemented projects are not presented, but are included in the overall GEF figures.

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

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

### 3: Project outcomes

The GEF IEO assesses achievement of project outcomes at project completion against objectives based on the criteria of relevance, effectiveness, and efficiency. Project outcomes are rated on a six-point scale ranging from highly satisfactory to highly unsatisfactory, with the top three ratings constituting the satisfactory range and the bottom three the unsatisfactory range.

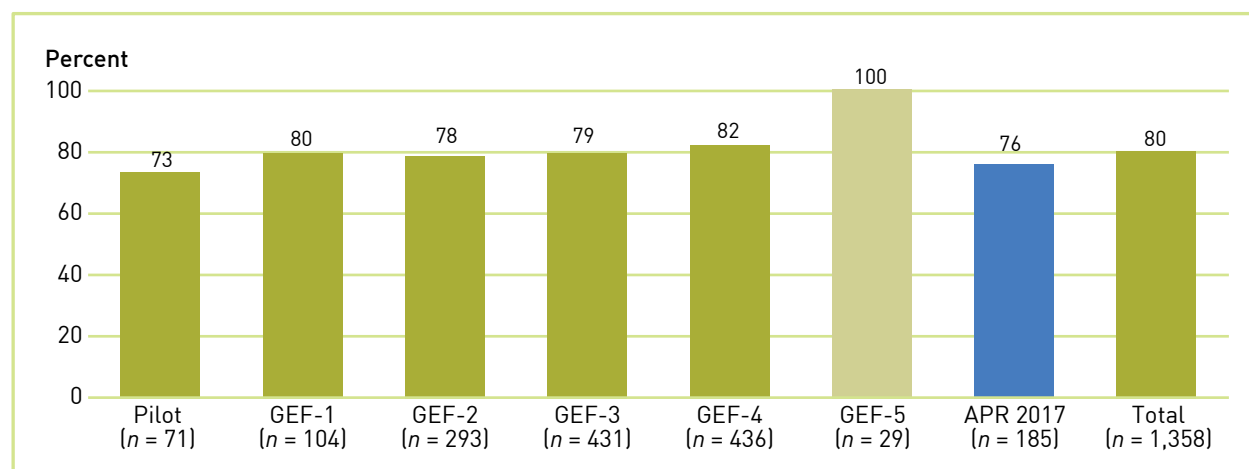
**The outcomes of the majority of GEF projects are rated in the satisfactory range.** However, significant variations are evident in performance across different project categories. During the more recent GEF replenishment periods, outcome ratings of regional projects, projects implemented in fragile states, and those in Europe and Central Asia have improved. The outcome ratings of projects in other categories do not show significant change.

**Most completed GEF projects perform satisfactorily in achieving their expected outcomes.**

Eighty percent of the rated projects have outcomes in the satisfactory range (figure 3.1). Of the APR 2017 cohort, 76 percent were so rated; this is not statistically different from the long-term average (table 3.1).

**Since the pilot phase, the outcome ratings of GEF projects have stayed within a narrow range.** The three-year moving average of outcome ratings weighted by the number of projects and based on the year of project approval shows that project outcome ratings improved after 1994 (figure 3.2). The percentage of projects rated as having outcomes in the satisfactory range has stayed in the 77–82 percent range beginning in GEF-1.

**FIGURE 3.1** Projects with outcomes rated in the satisfactory range by GEF replenishment period

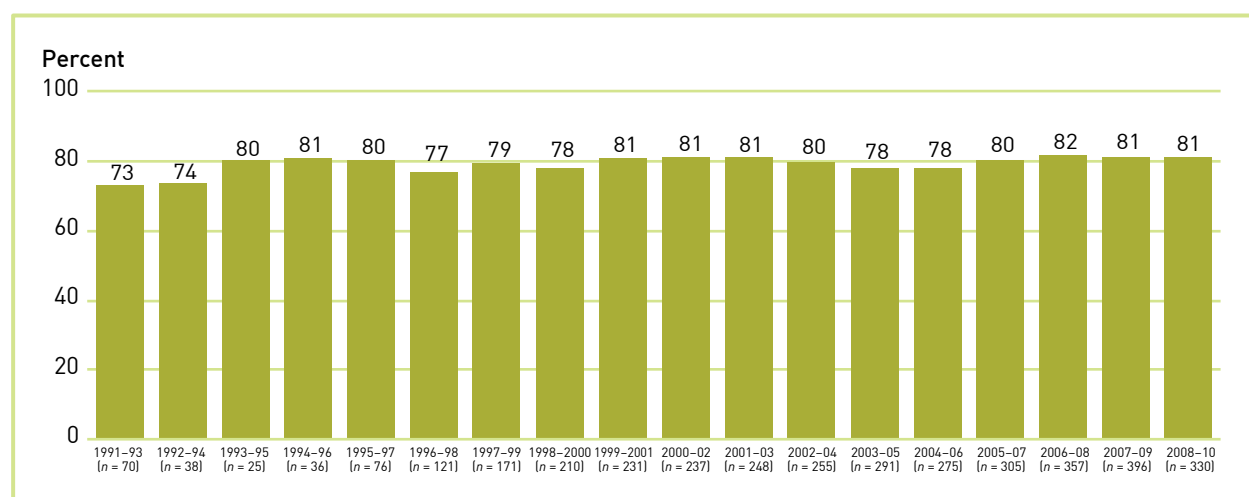


SOURCE: GEF IEO terminal evaluation review data set.

**TABLE 3.1** Outcome ratings of GEF projects: APR 2017 versus other cohorts

Outcome rating	Percentage of projects		Percentage of GEF funding	
	APR 2017 cohort (n = 185)	All other projects (n = 1,173)	APR 2017 cohort (\$848.1 million)	All other projects (\$5,181.3 million)
Highly satisfactory	3	4	3	3
Satisfactory	37	38	35	36
Moderately satisfactory	36	38	35	39
Moderately satisfactory or above	76	81	73	78
Moderately unsatisfactory	17	14	15	17
Unsatisfactory	6	5	11	4
Highly unsatisfactory	1	<1	1	1

SOURCE: GEF IEO terminal evaluation review data set.

**FIGURE 3.2** Projects with outcomes rated in the satisfactory range: three-year rolling average by year of approval

SOURCE: GEF IEO terminal evaluation review data set.

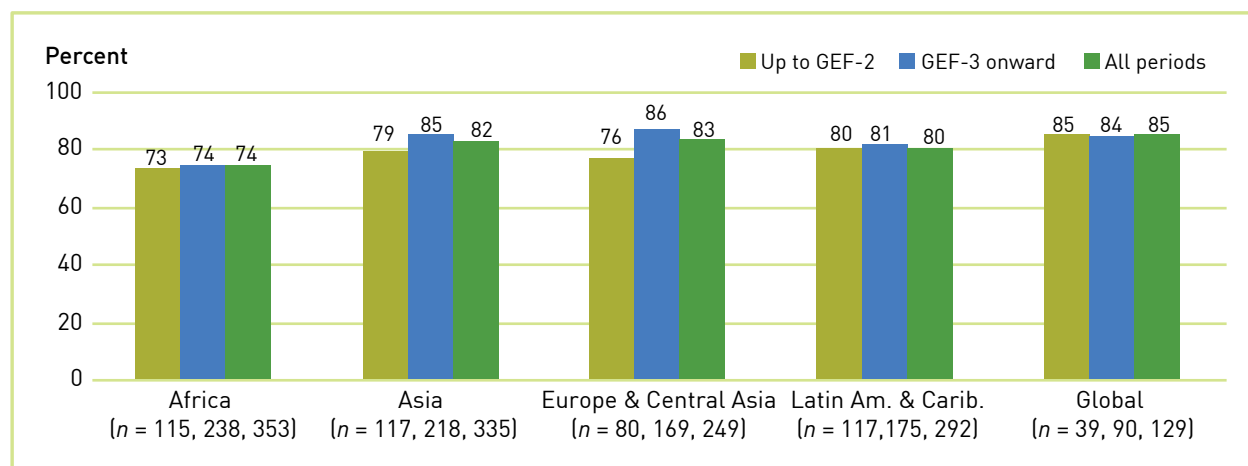
**There are variations in outcome performance across regions.** A lower percentage of projects in Africa are rated in the satisfactory range (figure 3.3); this difference is significant in comparison with projects implemented in other regions (see [annex D](#) for a list of the countries comprising the GEF regions). When the projects are divided into two categories—those approved through GEF-2 and those approved in GEF-3 or later—projects in Europe and Central Asia show a statistically significant improvement over time. For other regions, the

differences across the two periods is not statistically significant.

**There is substantial difference in the outcome ratings of some of the country groups; performance in fragile states shows significant improvement.** Compared with the overall portfolio average, a smaller percentage of projects implemented in SIDS, LDCs, and fragile states have satisfactory outcomes (figure 3.4). When considered as a group, projects implemented in countries with large GEF portfolios (Brazil, China, India, Mexico, and the

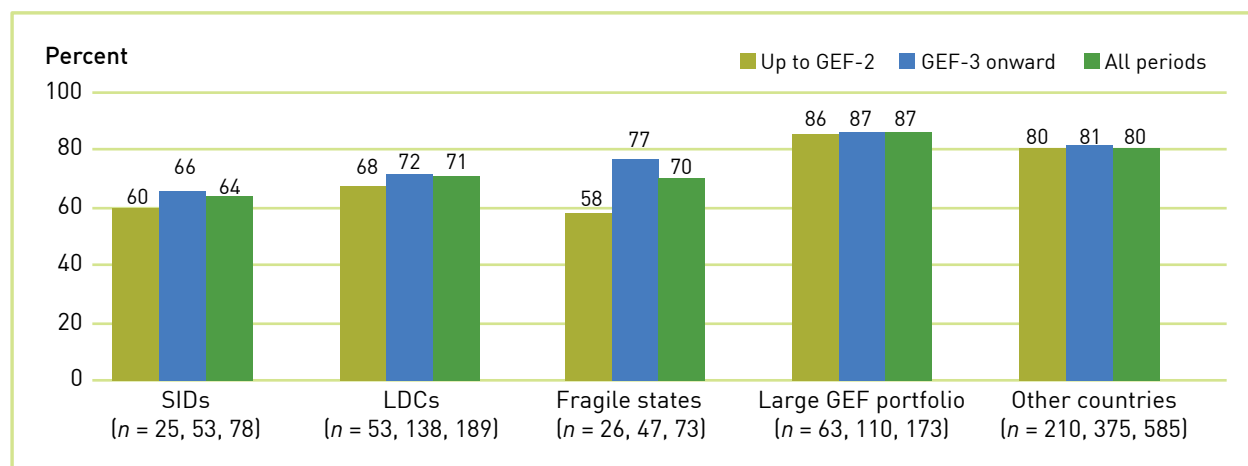


FIGURE 3.3 Projects with outcomes rated in the satisfactory range by GEF region



SOURCE: GEF IEO terminal evaluation review data set.

FIGURE 3.4 Projects with outcomes rated in the satisfactory range by country group



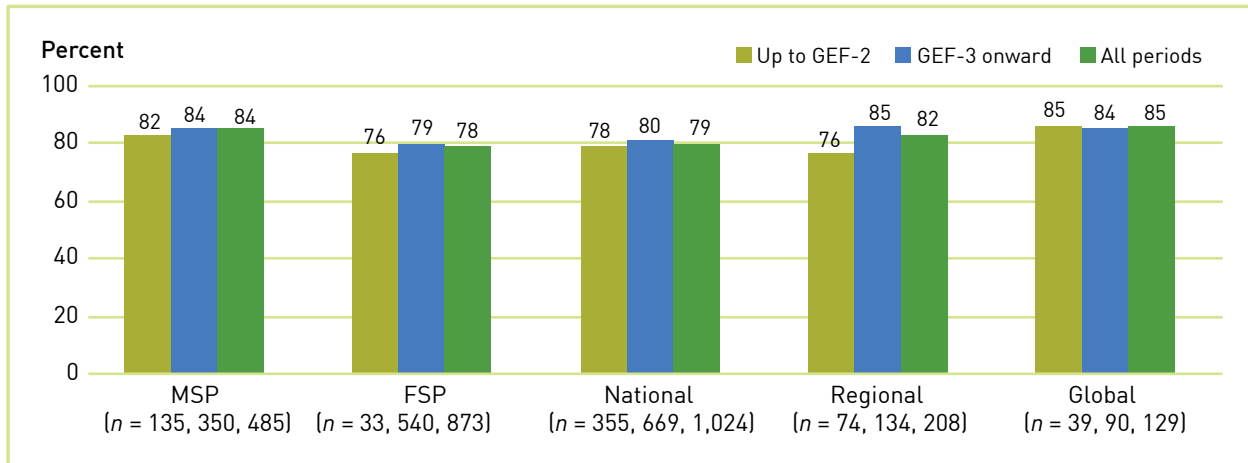
SOURCE: GEF IEO terminal evaluation review data set.

Russian Federation), have a relatively higher percentage of projects with satisfactory outcomes (87 percent). This higher rating can be attributed to better project implementation and execution in these countries. Among the country groups, there is a substantial improvement in outcome ratings in fragile states, although the reasons for this are not well understood.

**A higher percentage of MSPs have satisfactory outcomes compared with FSPs.** Even though

this difference is about 5 percentage points, it is significant. Both MSPs and FSPs show a small improvement during the most recent periods (figure 3.5). Even though 85 percent of global projects are rated in the satisfactory range, their performance is not significantly different from that of other projects. Performance of national and global projects has remained stable.

There is little difference in the outcome ratings of the projects supported through the different

**FIGURE 3.5** Projects with outcomes rated in the satisfactory range by project size and scope

**SOURCE:** GEF IEO terminal evaluation review data set.

GEF-administered trust funds. Of the projects approved from GEF-3 onward, 81 percent of the projects funded through the GEF Trust Fund (839 projects), the Least Developed Countries Fund (27 projects), and the Special Climate Change Fund (21 projects) are rated in the satisfactory

range for outcomes. Both projects funded through the Nagoya Protocol Implementation Fund have outcomes are rated in the satisfactory range—although the observations are too few to permit inferences.

# 4: Special focus: sustainability analysis

Eighty percent of completed GEF projects have satisfactory outcomes, yet sustainability at completion is rated as likely in only 62 percent of projects. During the GEF-7 replenishment negotiations, several participants expressed an interest in understanding the reasons for this relatively low level of sustainability ratings. To respond to this request, the GEF IEO conducted an in-depth analysis of the sustainability of project outcomes.

**The analysis found that the outcomes of most GEF projects are sustained during the postcompletion period.** Additionally, a higher percentage of projects achieve environmental stress reduction and broader adoption than had been determined at completion. In recent years, the quality of project design has improved in several areas, including the mainstreaming of gender and M&E design, although the link to sustainability ratings remains unclear. The GEF IEO approach to rating sustainability, and the share of the portfolio rated in the likely range, is consistent with practice across multilateral development organizations.

## 4.1 Key questions

The GEF IEO review of sustainability sought to answer the following questions:

- **To what extent are the outcomes of GEF projects sustainable?** To what extent do GEF projects achieve their expected outcomes, and achieve environmental stress reduction and broader adoption? What are the risks to

continuation of project benefits and to a project achieving its expected long-term results?

- **What are the determinants of sustainability?** What are the factors that affect the sustainability of project outcomes? To what extent do project design, project implementation, and country circumstances affect project sustainability?
- **To what extent are GEF projects designed for sustainability?** To what extent do the designs of GEF projects incorporate good practices related to M&E indicators, gender, social and environmental safeguards, and stakeholder involvement?
- **To what extent is the GEF IEO's approach to measuring sustainability comparable to that of other agencies?** How does the GEF IEO approach to assessing sustainability compare with the approach used by other multilateral development organizations? How do the ratings by the GEF IEO compare with those of other evaluation offices?

## 4.2 Methodological approach

### DEFINITION

The GEF M&E Policy defines sustainability as “the likely ability of an intervention to continue to deliver benefits for an extended period of time after completion; projects need to be environmentally as well as financially and socially sustainable” (GEF IEO

2010). This analysis used this definition to assess sustainability addressing issues related to outcomes at postcompletion, environmental stress reduction, broader adoption, risks to sustainability, and resilience. The analysis separated the sustainability of intervention/outcomes from the broader concept of sustainable development, which is defined as “development that meets the needs of the present without compromising the ability of future generations to meet their own needs” (WCED 1987). The latter was not the focus of this study.

The sustainability analysis was based on a literature review, analysis of GEF IEO data sets, and desk review of field verification reports. Remote sensing data were also used to analyze environmental status postcompletion in select sites.

## LITERATURE REVIEW

The literature review compared the GEF IEO’s approach to assessment of sustainability with guidance provided by OECD DAC and the ECG, and to the approach used by the evaluation offices of eight multilateral organizations: ADB, AfDB, the European Bank for Reconstruction and Development (EBRD), IDB, IFAD, UNDP, UNEP, and the World Bank. GEF IEO evaluations on gender mainstreaming (GEF IEO 2018b), social and environmental safeguards (GEF IEO 2018g), and indigenous peoples (GEF IEO 2018a) provided information on sustainability assessment practices during the project review stage. Portfolio performance reviews prepared by the evaluation offices of multilateral agencies were surveyed to gather information on their rating practices and portfolio performance.

## ANALYSIS OF PROJECT PERFORMANCE-RELATED DATA SETS

The GEF IEO’s terminal evaluation review ratings data set provides sustainability ratings for 1,299 completed projects. The IEO’s approach to

providing these ratings is presented in [annex B](#) of this report. This data set was analyzed to identify patterns and causal relationships. For four sites, remote sensing data were analyzed to assess changes in vegetation.

From 2013 onward, the GEF IEO has reviewed terminal evaluations using a detailed instrument. The data set for the projects included from 2013 onward covers 619 completed projects with several indicators and was analyzed to assess correlates of sustainability ratings with indicators related to project design and implementation.

Of the 619 completed projects with a detailed review, data were extracted for 140 FSPs that were approved in the GEF-4 period. This data set was combined with another set including a sample of Chief Executive Officer–endorsed FSPs from GEF-5 (79 projects) and GEF-6 (68 projects). This composite data set provides information on the design features of 287 FSPs. Although the samples are not fully representative of the respective replenishment periods, the information on design features may be regarded as typical, because biases in selection are unlikely to affect results in any material manner.

## DESK REVIEW OF FIELD VERIFICATION REPORTS FOR THE POSTCOMPLETION PERIOD

The desk review assessed achievement of anticipated outcomes and durability of project benefits by examining postcompletion verification reports.<sup>1</sup> First, evaluations conducted by the GEF IEO and GEF Agency evaluation offices were surveyed to identify postcompletion verifications. In all,

<sup>1</sup> These reports are not the same as terminal evaluation reviews, as they cover through the postcompletion period and are generally conducted by independent evaluation offices. In comparison, terminal evaluations cover only up to project completion and are generally conducted and/or commissioned by the project management.

138 completed projects were identified that had a postcompletion field verification report. Taking into account only those field verifications that were prepared at least three years after project completion, the verification reports were surveyed to determine the adequacy of information contained on outcomes and sustainability. The information for 53 projects based on 61 field verification reports was found to be adequate, and this information was used for this study.

For 81 percent of the 53 projects, the field verification was conducted at least four years after implementation completion. Fifty reports were prepared by the GEF IEO, including 35 impact evaluation project case studies; 11 were based on review of outcomes to impacts reports; and 4 were project performance verifications. The World Bank's Independent Evaluation Group prepared the remaining 11 field verification reports—i.e., project performance assessment reports.

The 53 selected projects were approved from the pilot phase to GEF-3 ([annex E](#)). About two-thirds of the selected projects were implemented by the World Bank; UNDP accounts for most of the remainder. Overall, the outcome, sustainability, and quality of implementation and execution ratings of the selected projects at completion are slightly higher than that of the GEF portfolio ([annex F](#)). However, the quality of M&E design and implementation ratings for the selected projects closely track ratings for the GEF portfolio as a whole. The selected projects reflect the diversity of the GEF portfolio during the covered period.

### 4.3 Findings

#### SUSTAINABILITY OF OUTCOMES AT PROJECT COMPLETION

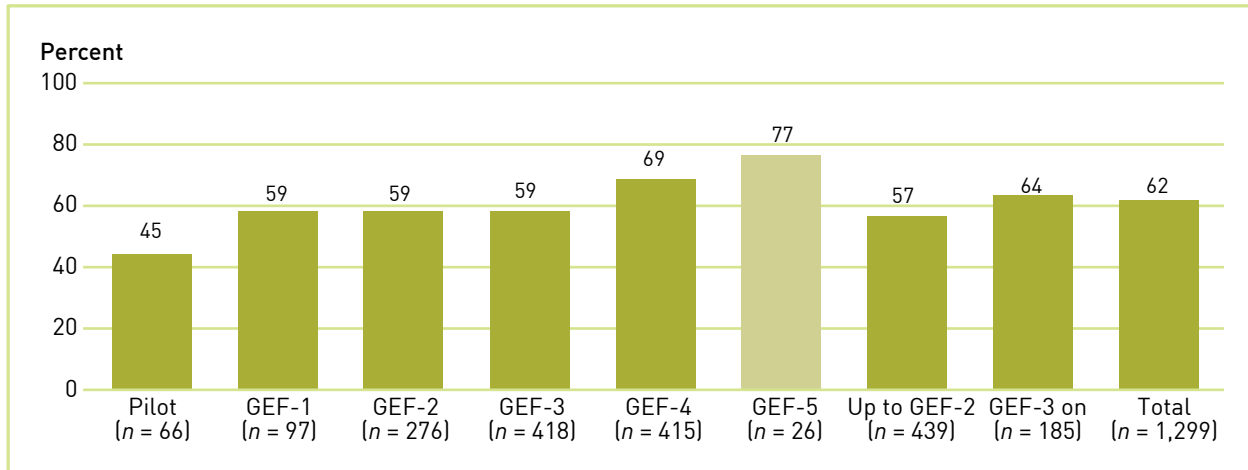
**Of the rated 1,299 GEF projects, 62 percent are rated in the likely range for outcome**

**sustainability.** Likelihood of outcome sustainability at project completion is influenced by the quality of project preparation, country context, support from the government, quality of implementation and execution, and materialization of cofinancing. Some categories—such as projects in LDCs or fragile states, global projects, projects in the climate change or biodiversity focal area—show statistically significant improvements in sustainability ratings through GEF-2 to GEF-3 and onward.

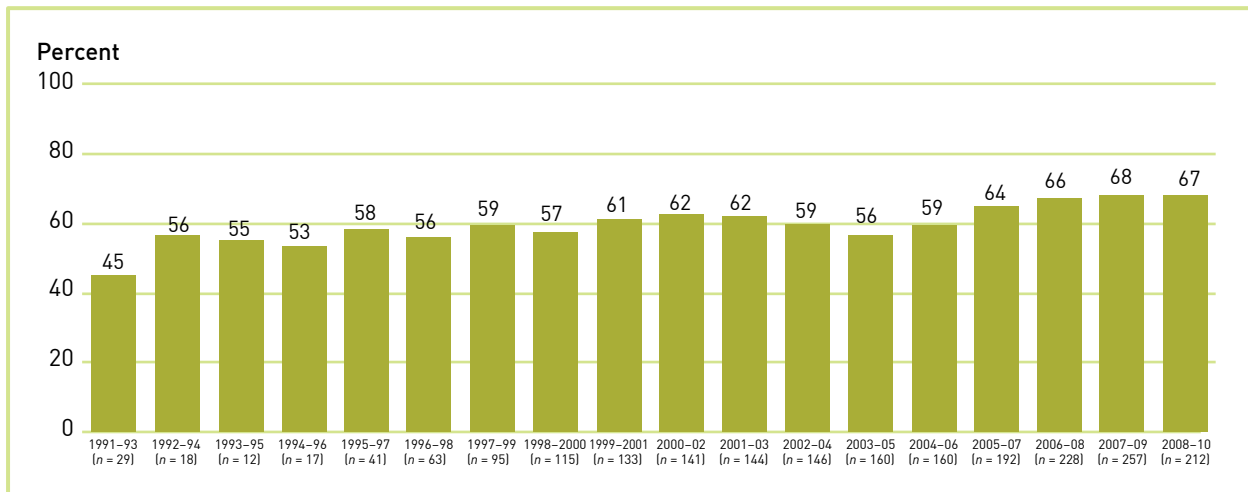
**Across the GEF replenishment periods, there have been two major periods of improvement.** These periods are (1) from the pilot phase to GEF-1 and (2) during GEF-4 (figure 4.1). The trend is similar when a three-year rolling average of projects by year of approval is considered (figure 4.2).

**During its pilot phase, the GEF processes for project preparation were not robust.** Implementation of recommendations from the independent evaluation of the pilot phase (IEG 1994) led to the GEF's strengthening its project preparation processes during GEF-1. It is plausible that better project preparation is the key driver of the improvement in sustainability ratings from the pilot phase to GEF-1.

**The reason for improvement from GEF-3 to GEF-4 is not as clear.** The GEF changed several of its important operational policies and processes. It adopted a resource allocation framework for the biodiversity and climate change focal areas, put greater emphasis on cofinancing, and abolished the corporate budget for the original GEF Agencies (UNDP, UNEP, and the World Bank) to create a level playing field. Any or some combination of these factors may have affected project quality; this is an area for further study. Although a high percentage of completed projects from the GEF-5 period are rated in the likely range for sustainability, the number of observations is too small to draw strong inferences. Yet the direction of change is consistent with the improvements observed during GEF-4.

**FIGURE 4.1** Projects with outcome sustainability rated in the likely range by replenishment period

SOURCE: GEF IEO terminal evaluation review data set.

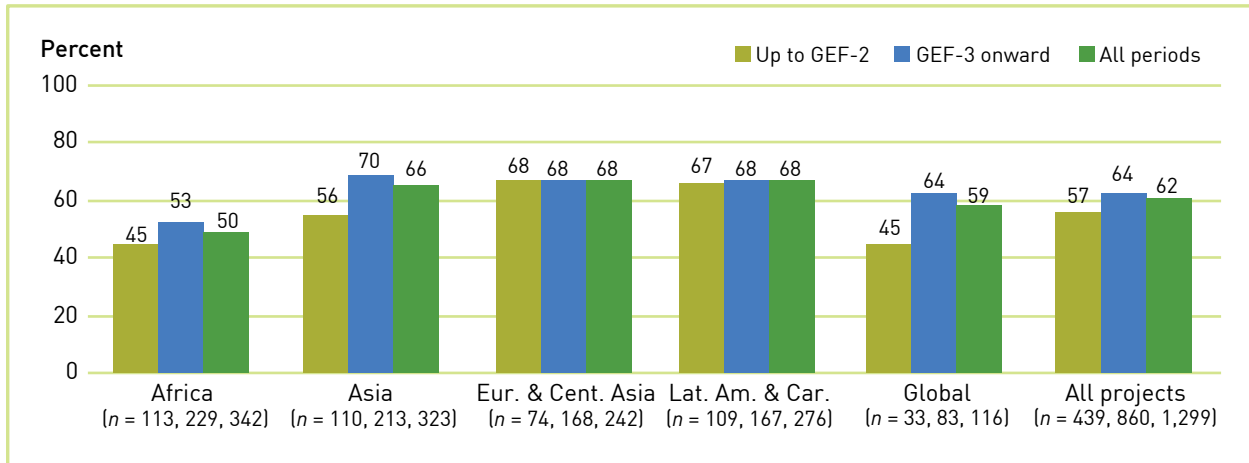
**FIGURE 4.2** Projects with outcome sustainability rated in the likely range: three-year rolling average based on year of approval

SOURCE: GEF IEO terminal evaluation review data set.

**To facilitate analysis of trends in various subsets of the GEF portfolio, the completed projects were divided into two categories: those approved from inception to GEF-2, and those approved during or after GEF-3.** A comparison of sustainability ratings by region from these two periods shows improvement (figure 4.3). Projects in Africa are less likely to be rated in the likely range for outcome sustainability than other projects. While sustainability ratings

in Africa show improvement, the change is not statistically significant. In comparison, improvement in the sustainability ratings of projects in Asia and of global projects is statistically significant (at a 90 percent confidence level). Projects in the Europe and Central Asia and Latin America and the Caribbean regions show no change across the two periods.

**FIGURE 4.3** Projects with outcome sustainability rated in the likely range by region



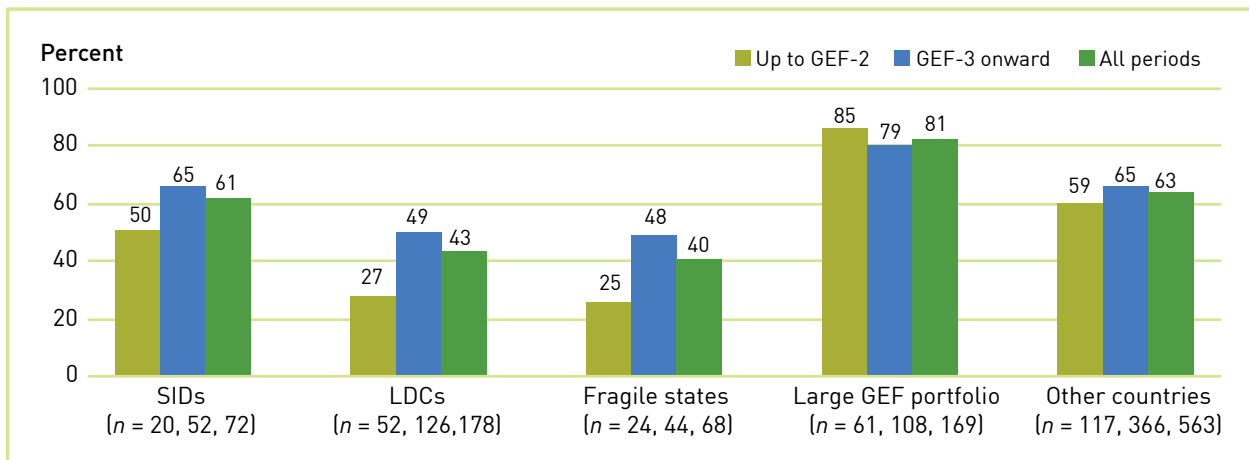
SOURCE: GEF IEO terminal evaluation review data set.

Compared to other country groups, a higher percentage of projects in countries with large GEF portfolios (Brazil, China, India, Mexico, and Russia) are rated in the likely range for outcome sustainability. Conversely, a lower percentage of projects in LDCs and in fragile states are rated in the likely range for outcomes sustainability (figure 4.4). Performance in SIDS and other countries closely tracks the GEF portfolio average. When performance up to GEF-2 and GEF-3 onward is compared, projects in LDCs and

fragile states show substantial and statistically significant improvement (at a 90 percent confidence level). While projects in SIDS also show a nominal improvement, the change is not significant.

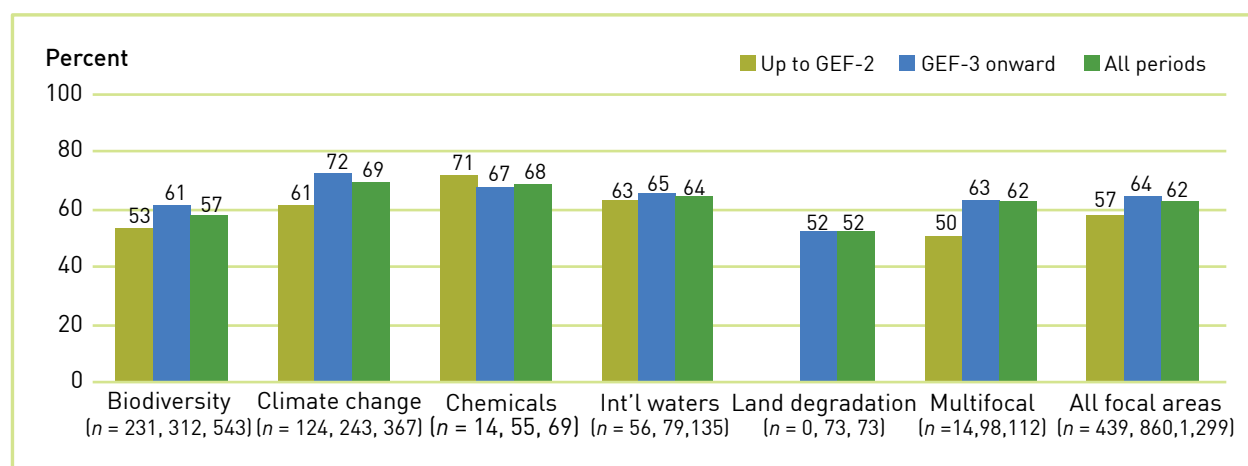
OPS6 reported that a higher percentage of projects from the climate change focal area are rated in the likely range for outcome sustainability compared with the other focal areas (GEF IEO 2018e). This continues to be the case, as 69 percent of climate change projects are rated in the likely range for outcome sustainability (figure 4.5). The

**FIGURE 4.4** National projects with outcome sustainability rated in the likely range by country group



SOURCE: GEF IEO terminal evaluation review data set.

**FIGURE 4.5** Projects with outcome sustainability rated in the likely range by focal area



**SOURCE:** GEF IEO terminal evaluation review data set.

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

percentage of projects so rated for the other focal areas is not significantly different from the remaining projects in the GEF portfolio.

**The GEF began providing support for the land degradation focal area in GEF-3.** The percentage of land degradation focal area projects rated in the likely range for outcome sustainability is lower than for the other focal areas if approvals only from GEF-3 onward are considered. This is mainly because a relatively high proportion of land degradation projects are implemented in LDCs. This difference is not statistically significant when the higher concentration of land degradation projects in LDCs is taken into account. Across the two periods—up to GEF-2 and GEF-3 onward—projects in the climate change and biodiversity focal areas show statistically significant improvement (at least at the 90 percent confidence level) in sustainability ratings.

**After implementation start, 14 projects (26 percent) experienced unanticipated shocks that negatively affected their results.** These include the negative effect of the 9/11 2001 terrorist attack

on international tourist flows in Kenya (Lewa Wildlife Conservancy, GEF ID 18); the downstream effects of regime change in Mexico in 2000 (Renewable Energy for Agriculture, GEF ID 643), in Bolivia in 2003 (Biodiversity Conservation, GEF ID 57), and in Ecuador in 2003–07 (National Protected Area System, GEF ID 945); and the effect of the 1998 Russian economic crisis on projects in Russia (Biodiversity Conservation, GEF ID 90) and in Poland (Phaseout of Ozone Depleting Substances, GEF ID 115);<sup>2</sup> and major structural reforms or changes in the agencies responsible for project execution and follow-up. Generally, the GEF projects were resilient and overcame these shocks because of sustained efforts of the executing agency, corrective administrative measures by the government, greater supervisory support by the GEF Agencies, and restructuring of the projects. In other cases, economic expansion that followed the crisis reduced the financial risks.

<sup>2</sup> All of these projects were implemented by the World Bank.



**OPS6 reported that country context, quality of implementation, and quality of execution influence sustainability ratings (GEF IEO 2018e).**

Regression analysis based on the updated terminal evaluation review data—with additional data on the APR 2017 cohort—confirms these relationships ([annex C](#)). It also shows that there is a positive and statistically significant relationship between materialized cofinancing and sustainability ratings. When less than half of promised cofinancing materializes for a project, and controlling for other observed variables, the probability of a sustainability rating in the likely range is 11 percent lower. In comparison, when promised cofinancing materializes fully, the probability is higher by 7 percent. The analysis also confirms an improving trend in sustainability ratings.

**For 619 projects within the terminal evaluation review data set, detailed information on project design and implementation-related indicators is available.**

This information enables analysis of the correlates of sustainability ratings with indicators on project design and preparation, and project implementation. Multiple regression models show that some of the indicators of country support and ownership are linked to sustainability ratings ([annex G](#)). For example, projects for which country support during implementation was assessed to be either as expected or greater than expected were more likely to be rated in the likely range for outcome sustainability than those for which support was lower than expected. Similarly, projects that were assessed to be a low priority to at least one of the crucial government tiers or departments or agencies during implementation were less likely to be rated in the likely range for outcome sustainability. The models did not indicate a correlation with the project design indicators that were included—pilot projects, follow-up projects, stakeholder consultations, gender analysis (see [annex H](#)), and project risks.

#### **SUSTAINABILITY OF OUTCOMES DURING THE POSTCOMPLETION PERIOD**

**The outcomes of most GEF projects are sustained during the postcompletion period.**

A higher percentage of projects achieve environmental stress reduction and broader adoption at postcompletion. The key factors that contribute to higher outcomes include high stakeholder buy-in, political support, availability of financial support for follow-up, and sustained efforts on the part of the executing agency. A few projects regressed to a lower outcome level because of factors such as lack of financial support for follow-up, low political support, low institutional capacities, low stakeholder buy-in, and flaws in the project's theory of change.

**Higher sustainability ratings are correlated with higher outcome ratings at postcompletion.**

The review assessed outcomes of 53 completed projects during the postcompletion period. Of these, the GEF IEO had rated the likelihood of outcome sustainability at project completion for 48 projects. Of the projects whose outcomes were assessed to be sustainable at completion, 84 percent had ratings in the satisfactory range at postcompletion ([table 4.1](#)). In comparison, only 55 percent of the projects whose outcomes were assessed to be unsustainable at completion had outcomes rated in the satisfactory range.

**Of 100 observations, 34 percent had a higher level of outcomes at postcompletion (three or more years after completion) than at project completion.**

Sixteen percent regressed to a lower level of achievement (i.e., some outcomes could not be sustained). In the remaining 50 percent of cases, the outcome achievements were sustained at the level achieved at completion. Projects implemented in countries with large GEF portfolios were significantly more likely to have higher levels of outcomes at postcompletion ([table 4.2](#)). This is consistent with the findings from the terminal evaluation review

**TABLE 4.1** Outcome rating at postcompletion verification versus sustainability rating at completion

Likelihood of outcome sustainability rating at completion	Outcome achievement at postcompletion verification			
	Satisfactory		Unsatisfactory	
	%	No.	%	No.
Likely ( <i>n</i> = 37)	84	31	16	6
Not likely ( <i>n</i> = 11)	55	6	45	5
All rated projects ( <i>n</i> = 48)	77	37	23	11

**SOURCES:** GEF IEO terminal evaluation review data set; postcompletion verification data set.

data set, which indicates a lower risk to sustainability for projects implemented in the large GEF portfolio countries.

**Several factors led to higher outcomes during post-implementation.** These include high stakeholder and/or beneficiary buy-in (nine projects), political support including adoption of complementary legal and regulatory measures (nine projects), financial support for follow-up (eight projects), and sustained efforts by the executing agency (eight projects) (box 4.1). For example, the China Renewable Energy Development project (GEF ID 446) achieved a higher level of outcome because the government adopted the Renewable Energy Law of 2006. Kenya's Lewa Wildlife Conservancy Project enhanced the capacities of the Lewa Wildlife Conservancy, a nongovernmental organization. The project also increased the conservancy's credibility, which in turn helped it attract more financing. Continued trust and buy-in from communities to the Lewa Wildlife Conservancy's efforts facilitated

the creation and management of new community conservancies, which led to stable and improved wildlife populations. The India Ecodevelopment Project (GEF ID 84) piloted a financing mechanism in a national park. This contributed to the amendment of the nation's Wildlife Act, requiring a similar mechanism to be established in all tiger reserves in India.

**In eight projects, past outcomes were not sustained.** The main reasons for the decline were a lack of financial support for maintenance of infrastructure or follow-up (three projects), lack of sustained efforts by the executing agency (three projects), inadequate political support (three projects), low institutional capacities of key agencies (three projects), low stakeholder buy-in (two projects), and flaws in the project theory of change (two projects). Although the Mainstreaming Adaptation to Climate Change Project (GEF ID 105) established 18 sea level rise monitoring stations, none of these were transmitting data consistently after project

**TABLE 4.2** Change in level of outcomes by country group: postcompletion versus at completion

Country group	Higher		Same		Lower	
	%	No.	%	No.	%	No.
Large GEF portfolio ( <i>n</i> = 15)	60**	9	40	6	0	0
LDC/SIDS ( <i>n</i> = 7)	14	1	57	4	29	2
Other countries ( <i>n</i> = 20)	25	5	60	12	15	3
Global and regional projects ( <i>n</i> = 8)	25	2	38	3	38	3
All projects ( <i>n</i> = 50)	34	17	50	25	16	8

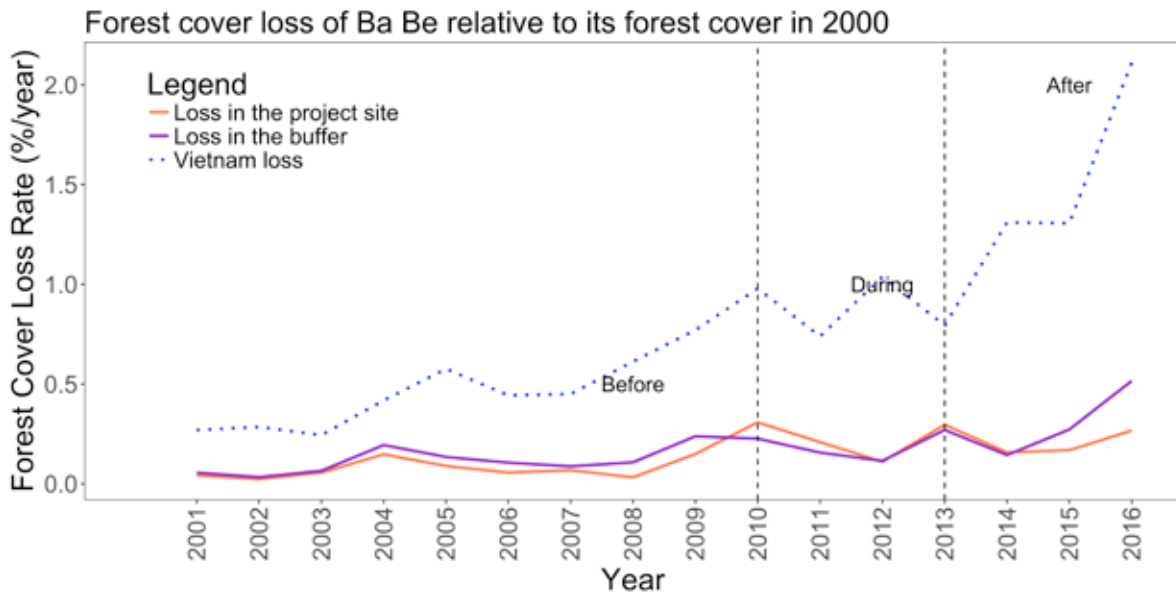
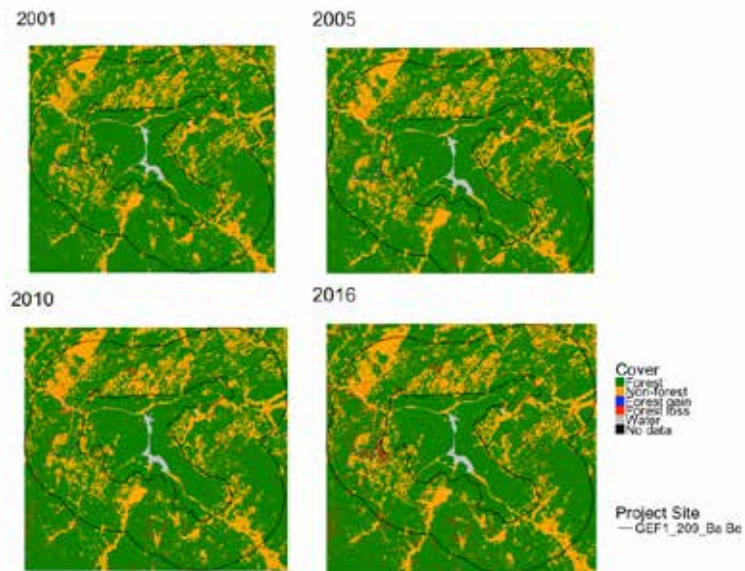
**SOURCES:** GEF IEO terminal evaluation review data set; postcompletion verification data set.

**NOTE:** \*\* = Compared to other projects, significant at the 95 percent confidence level.

**BOX 4.1 Outcome sustainability in the Ba Be Protected Area**

Promotion of Sustainable Forest and Land Management in the Vietnam Uplands (GEF ID 3627), implemented by IFAD from 2010 to 2013, supported sustainable forest management in Ba Be National Park. The project focused on local communities and piloted improved systems for animal husbandry and conservation of sloping lands, bio-energy applications, payment for ecosystem services including participatory approaches to forest protection, and ecotourism. Threats to the forest included fragmentation of habitat, conversion of forest land for infrastructure and agriculture, illegal hunting, and overuse of nontimber forest

products. At completion, the project was rated moderately satisfactory on its outcomes and moderately likely on the sustainability of its outcomes. Remote sensing data show that despite forest loss at the national level and in the buffer areas, the Ba Be Protected Area’s forest cover has been stable due to a community-focused project design, attention to income-generation activities, and sustained support from provincial governments. The key risks to sustainability remain, however, and require sustained conservation efforts.



completion because network maintenance had not been funded. The Conservation and Sustainable use of Medicinal Plants project implemented in Ethiopia (GEF ID 631) stalled after completion due to a lack of funding for the Bale Mountains National Park, where the project's in situ conservation activities were focused. A follow-up GEF project, expected immediately after project completion, could start only after six years due to change in GEF Agency.

**A higher number of projects achieve environmental stress reduction and broader adoption at post-completion.** At implementation completion, it may still be too early for project outcomes to manifest fully. For example, it may take more than a decade for the environmental status of protected areas to change. Similarly, targeted stakeholders may adopt the promoted technologies and policy measures after project completion. The data from field verification reports are consistent with these expectations. Compared to their status at implementation completion, several projects were achieving environmental status change/stress reduction and broader adoption during the postcompletion period (table 4.3). For example, stakeholder involvement in the Conservation and Sustainable Use of the Mesoamerican Barrier Reef System Project (GEF ID 837) led to an assessment by UNESCO two years after completion, and the official placement of the Belize Barrier Reef World Heritage Site on the list of endangered sites. The bikeshare system introduced in Rosario, Argentina, by the Latin America and the Caribbean Regional Sustainable Transport and Air Quality Project (GEF ID 2767) had higher usage rates three years after project completion than at completion, with rates expected to increase still further with planned expansion.

**During the postcompletion period most GEF projects made progress in achieving their long-term environmental results and catalytic effects.** During the postcompletion period, more projects were achieving environmental stress reduction

**TABLE 4.3 Environmental status change/stress reduction and broader adoption**

Taking place?	At completion		Postcompletion	
	%	No.	%	No.
<b>Environmental status change/stress reduction</b>				
Yes	60	32	66	35
At large scale	34	18	34	18
At local scale	26	14	32	17
No	40	21	34	18
Insignificant scale	11	6	15	8
No evidence	28	15	19	10
<b>Broader adoption</b>				
Yes	72	38	81	43
At large scale	32	17	42	22
At local scale	40	21	40	21
No	28	15	19	10
Insignificant scale	23	12	6	3
No evidence	6	3	13	7

**SOURCES:** GEF IEO terminal evaluation review data set; postcompletion verification data set.

(36 percent) and broader adoption (49 percent) at a higher scale and/or intensity (table 4.4).

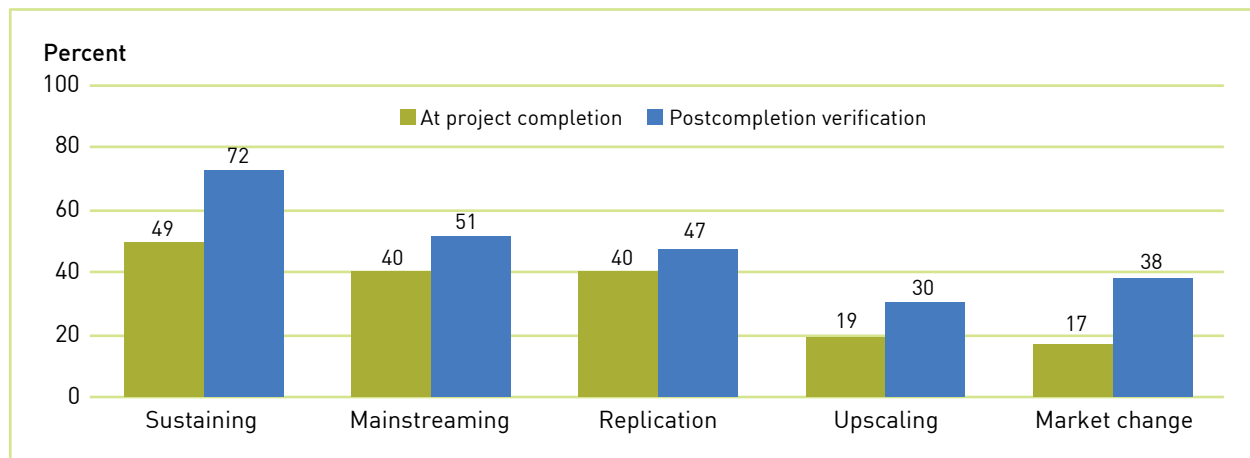
**The catalytic processes of broader adoption were observed in a higher percentage of projects at postcompletion than at implementation completion (figure 4.6).** Projects that achieved broader adoption at postcompletion were also achieving it at a greater intensity—technology dissemination and governance arrangements promoted by the GEF projects were being adopted at a higher frequency (table 4.5). Although management approaches and interventions focused on enhancing institutional capacities were sustained by a substantial percentage of projects, their adoption by other stakeholders was moderate.

**For more than half the projects, risks stayed the same; for about a third of the projects, the risks changed during the postcompletion period.** For most projects, the level of risks to sustainability of outcomes remained the same during

**TABLE 4.4** Environmental status and broader adoption: postcompletion versus at completion

Change from project completion (n = 53)	Higher		Same		Lower		Unable to assess	
	%	No.	%	No.	%	No.	%	No.
Environmental status change/stress reduction	36	19	38	20	4	2	23	12
Broader adoption	49	26	28	15	4	2	19	10

SOURCE: GEF IEO terminal evaluation review data set.

**FIGURE 4.6** Percentage of GEF projects for which terminal evaluations and postcompletion verifications report broader adoption processes

SOURCES: GEF IEO terminal evaluation review data set; postcompletion verification data set.

NOTE: n = 53.

**TABLE 4.5** Broader adoption processes and the elements adopted: postcompletion versus at completion

A	Sustaining		Mainstreaming		Replication		Upscaling		Market change	
	PC	C	PC	C	PC	C	PC	C	PC	C
Technology dissemination	26	11	8	6	28	15	13	4	34	15
Governance arrangements (inc. legal and policy measures)	42	21	40	23	4	2	9	13	19	8
Management approaches (management plans, strategies)	40	17	6	9	13	13	11	8	4	0
Institutional capacities (training, awareness, operational infrastructure)	42	38	17	13	25	21	11	4	11	4

SOURCES: GEF IEO terminal evaluation review data set; postcompletion verification data set.

NOTE: n = 53. PC = postcompletion; C = completion.

postcompletion (table 4.6). However, for more than a third of the 53 projects, the risks changed. For seven projects (14 percent), the risks had been reduced at postcompletion verification; the most common reasons for this reduction were increased

and/or assured availability of financial resources (six projects), greater than expected political support (four projects), sustained follow-up by the executing agency (two projects), and increased support from local communities (two projects). For

**TABLE 4.6** Change in level of risks at postcompletion verification compared to at completion

Risk level	Likelihood of outcome sustainability rating at project completion											
	Likely		Moderately likely		Moderately unlikely		Unlikely		Not rated		Total	
	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.
Lower	8	4	6	3	0	0	0	0	0	0	14	7
Same	18	9	22	11	8	4	6	3	8	4	63	31
Higher	8	4	10	5	4	2	0	0	0	0	22	11
Total	35	17	39	19	12	6	6	3	8	4	100	49

**SOURCES:** GEF IEO terminal evaluation review data set; postcompletion verification data set.

example, the Uganda Bwindi Forest and Mgahinga Gorilla National Park Conservation Project's (GEF ID 54) emphasis on benefit sharing led to a reduction in conflict and increased buy-in of the local communities for wildlife conservation. Similarly, in the Lewa Wildlife Conservancy Project, the financial risks were reduced with an increase in budget support by the government and increased fundraising abilities of the protected area management.

The 11 projects (22 percent) that faced increased risks to sustainability of outcomes experienced the following: lack of financial support for follow-up (eight projects), changes in political priorities (six projects), and downsizing and/or low capacities of key institutions (five projects). For example, Ecuador's National System for Protected Areas Project experienced increased risks because the new government regulations made it more difficult for the Federal System of Natural Areas to mobilize funds from international donors. Similarly, Ukraine's Ozone Depleting Substances Phaseout Project (GEF ID 107) experienced increased risks because the government did not provide adequate financial support for implementation and enforcement of the related legislation promoted by the project.

## SUSTAINABILITY AND PROJECT DESIGN

**It is likely that an improvement in the quality of project design led to an increase in sustainability ratings from the pilot phase to GEF-1.**

However, the role of project design in improvement in sustainability ratings during the more recent replenishment periods is not as clear. The terminal evaluation data set finds a significant correlation between the quality of M&E design—which may be a good proxy for quality of project design—and sustainability. Determining the extent to which GEF projects are designed for sustainability is difficult. Overall, the GEF portfolio does indicate an improving trend in quality of project design, which may—in due course—improve the sustainability of GEF projects.

**It is plausible that the quality of project design affects sustainability.** The data on completed projects show that there is a statistically significant and substantial improvement in sustainability ratings from the pilot phase (45 percent) to GEF-1 (59 percent). During its pilot phase, the GEF processes for project selection and review criteria were not sufficiently developed and were applied mechanically (IEG 1994). During GEF-1, the GEF developed several operational programs and project eligibility requirements, and accorded greater attention to the country drivenness of projects, along with strengthening the project review process. It is plausible that these improvements contributed to the higher sustainability ratings of GEF-1 projects.

**The quality of M&E design is correlated with sustainability ratings.** The correlation between M&E design and sustainability is moderate but

**TABLE 4.7** M&E design rating versus outcome and sustainability ratings

Quality of M&E design	Outcomes satisfactory		Sustainability likely	
	%	No.	%	No.
Satisfactory range	86	807	68	779
Unsatisfactory range	68	473	51	451
GEF portfolio	80	1,280	62	1,230

SOURCE: GEF IEO terminal evaluation review data set.

statistically significant and remains important even when controlling for other observable variables (table 4.7). It is plausible that the quality of M&E design is a good proxy for quality of project design, but that improvement in quality of M&E design alone would not lead to improvement in project sustainability.

**The data on some indicators of quality of project design show improving attention to gender**

(table 4.8). This is consistent with the findings of the Evaluation of Gender Mainstreaming in the GEF (GEF IEO 2018b), which also found improvement in the inclusion of gender indicators and analysis in project design after approval of the GEF Policy on Gender Mainstreaming in 2012. The evaluation noted gaps in institutional capacity to achieve gender mainstreaming and in the GEF meeting the best practice standards. Based on the recommendations of the evaluation, the GEF updated its policy on gender (GEF 2017a). The revised policy clarifies the GEF requirements for addressing gender equality and mandates the GEF Secretariat to track compliance. The revised policy also emphasizes the need to track gender-disaggregated results.

**The need for involvement of major groups and local communities in the project cycle is explicitly mentioned in the GEF Instrument (GEF 2015).** The self-reported information presented in the project

**TABLE 4.8** Improvements in selected FSP quality of design parameters

Project design assessment parameter	% of projects with yes response		
	GEF-4 (n = 140)	GEF-5 (n = 79)	GEF-6 (n = 68)
<b>Stakeholder consultations</b>			
Key stakeholders identified in project documents	94	96	97
Key stakeholders consulted for project preparation	84	75	81
Planned consultations during implementation	87	87	97
<b>Key risk identification and mitigation</b>			
Identification of key risks	99	96	99
Measures to mitigate key risks included in design	94	96	96
<b>Coverage of gender issues</b>			
At least some gender issues addressed	25	73	93
At least some gender-related concerns identified	19	62	93
At least some measures to mitigate gender concerns included	16	61	90
At least one indicator specified to track gender-relevant concerns	10	47	66
<b>Project M&amp;E at design stage</b>			
Indicators specified for all key results	98	95	93
Specified indicators are appropriate	74	89	90

SOURCES: GEF-4 data are from completed projects reviewed for APRs 2013–17; GEF-5 and GEF-6 data are from a review of FSPs that were endorsed by the GEF Chief Executive Officer during the first two years of the respective replenishment periods.

documents indicates that GEF Agencies undertake stakeholder consultations to prepare projects, and almost all of them include plans to conduct such consultations during implementation (table 4.8).

**The design of almost all GEF projects identifies key risks to the project and includes measures to mitigate those risks (table 4.8).** However, some GEF projects may pose financial, social, and environmental risks; it is important to ensure that such projects are identified and the risks mitigated. The GEF IEO's Review of the GEF Policy on Agency Minimum Standards on Environmental and Social Safeguards (GEF IEO 2018g) assessed the merits of the GEF safeguards and the extent to which these were being applied. The review found that the GEF Agencies assessed or were assessing risks for most projects (84 percent). Of the projects for which risks had been assessed, only 3 percent were classified as high risk. The review found that environmental and social assessment, indigenous peoples, natural habitats, and involuntary resettlement-related safeguards were triggered more frequently by GEF projects. The review identified several areas where the GEF approach needs to be further strengthened.

#### **GEF APPROACH COMPARED WITH OTHER MULTILATERAL ORGANIZATIONS**

**Multilateral organizations—including the GEF—have adopted definitions of sustainability inspired by those proposed by OECD DAC and the ECG.** The GEF approach to measurement of sustainability is broadly consistent with that of other multilateral organizations, despite some differences in assessed dimensions and rating scales. The GEF IEO's sustainability ratings for the GEF portfolio are toward the middle of the range as compared to ratings by other evaluation offices. One possible area for the GEF to strengthen its approach to assessing sustainability is by explicitly addressing resilience.

**The definition of sustainability used by the GEF is consistent with those used by others.** However, the GEF's definition does not explicitly address resilience to risk. The definitions of sustainability used by multilateral organizations, including the GEF, are inspired by those provided by OECD DAC (2002) and the ECG (2012).<sup>3</sup> The definitions incorporate continuation of benefits of evaluated activities during the period after implementation and risks to their continuation. Although the definitions used by OECD DAC, the ECG, IFAD, and ADB address resilience to risks, this is not explicitly addressed in the definition adopted by several other organizations including the GEF. Resilience to risk ensures continuation of benefits despite setbacks and therefore is important to achieving sustainability.

**All definitions address the continuation of outcomes/benefits, but most do not distinguish between outcomes that have already been achieved and those that are anticipated.** The focus of the definitions used by the multilateral organizations, including the GEF, is on the likelihood of continuation of benefits. This includes both benefits from outcomes that are achieved during project implementation and those that are anticipated. However, most definitions, including the one used by the GEF, do not distinguish between these. The GEF definition of sustainability may need to specify anticipated outcomes because many outcomes of GEF projects materialize during the postcompletion period.

**The GEF IEO approach to measuring sustainability is broadly consistent with that of others.** Most multilateral organizations, including the GEF, consider financial (and/or economic), socio-political, and institutional risks in assessing sustainability. Some—for example, EBRD, IDB, IFAD, and UNDP—also assess risks related to

<sup>3</sup>The definitions used by ADB, AfDB, EBRD, the GEF, IDB, IFAD, UNDP, UNEP, and the World Bank were compared.



ownership of government and/or other stakeholders. Others, such as the GEF and UNEP, embed ownership-related risks within their assessment of sociopolitical and institutional risks. Most multilateral organizations, including the GEF, use a four-point scale to measure sustainability based on an overall assessment of the probability and potential effects of risks materializing. Agencies use different explanatory terms for levels within the rating scale. For example, the GEF rates on a scale ranging from likely to unlikely, IDB from highly probable to improbable, and ADB from most likely sustainable to unlikely sustainable. IFAD and UNEP use a six-point scale. They also differ from other organizations in that their rating categories convey degrees of satisfaction—highly satisfactory to highly unsatisfactory. All organizations use scales that are balanced, which allows for division of ratings into two broad categories that indicate a high or low level of sustainability.

**The percentages of completed projects rated in the likely range for sustainability and the satisfactory range for outcomes are comparable across organizations.** Comparison of sustainability

ratings shows that the percentage of GEF projects rated in the likely range for sustainability is not substantially different from that of other multilateral organizations, with AfDB and UNEP being outliers (table 4.9). While a high percentage of the UNEP portfolio is rated in the likely (satisfactory) range for sustainability by its evaluation office, the percentage of the AfDB portfolio in this range is at the lower end of the spectrum. Although the reasons for the high level of sustainability ratings for UNEP's portfolio are not clear, the lower level of ratings for the AfDB project portfolio is consistent with the lower ratings of the Africa portfolio of other multilaterals with a global presence—e.g., the GEF (GEF IEO 2017d), IFAD (IFAD IOE 2015), and the World Bank (IEG 2009). Overall, the percentage of GEF projects in the likely range for sustainability is not substantially different from that of the other Agencies selected for comparison. Further, they all tend to have a higher percentage of completed projects rated in the satisfactory range for outcomes than those that are rated in the likely range for sustainability.

**TABLE 4.9** Outcome and sustainability ratings of project portfolios of select multilateral organizations

Organization	Assessment period	Projects with outcomes rated in the satisfactory range		Projects with outcome sustainability rated in the likely range	
		%	No.	%	No.
GEF	2005–17	80	1,358	62	1,299
ADB	2010–17	72	383	66	383
AfDB	2011	58	124	52	120
IDB	2014–16	80	21	62	21
IFAD	2007–15	75	283	60	275
UNEP	2010–15	86	148	79	139
World Bank	1995–2008	74	4,111	65	3,502

**SOURCES:** GEF: IEO terminal evaluation review data set; ADB: ADB IED 2018, calculated from table 3 for sovereign operations; AfDB: AfDB OED 2012; IDB: IDB OVE 2017; IFAD: IFAD IOE 2018, calculated from pp. 98 and 100, with effectiveness rating used as a proxy for outcomes; UNEP: UNEP EO 2016, calculated from pp. 30 and 33, with effectiveness as a proxy for outcomes; World Bank: IEG 2009 and IEG data set on performance ratings of completed projects downloaded from <http://ieg.worldbankgroup.org/data> on April 25, 2018. IEG discontinued its sustainability rating in 2009.

# 5: Project implementation, execution, cofinancing, and M&E

## 5.1 Project implementation and execution

For projects to achieve their expected results, they must be properly designed and implemented. The GEF Agencies play a key role in the identification and preparation of GEF projects; their startup, supervision, and evaluation; and in the application of the relevant GEF policies and procedures. GEF Agencies partner with the executing agencies that accomplish the planned activities on the ground.

**Cumulatively, implementation of 79 percent of completed projects was rated in the satisfactory range.** Significant improvement is noted in Agency performance from the pilot phase to GEF-1 and then again between GEF-3 and GEF-4 (figure 5.1). For GEF-5, there are too few observations to draw conclusions. Of the projects in the APR 2017 cohort, 84 percent were rated as satisfactory compared to the portfolio average of 79 percent. The quality of implementation varies by implementing GEF Agency, with projects implemented by UNEP having higher ratings (89 percent) and those implemented by the World Bank having lower ratings (71 percent). Much of the World Bank's lower implementation performance is related to projects approved during the GEF-3 period (64 percent). Although projects that are implemented jointly have lower-than-average quality of implementation ratings, this difference is not statistically significant when controlling for other factors.

**Several patterns are salient in implementation ratings.** Projects that were approved more recently and those with satisfactory M&E design ratings received higher implementation ratings. In contrast, projects implemented in LDCs/SIDS or in Africa tended to have lower implementation ratings. Projects with a project steering committee were rated 10 percentage points higher than those without a committee. The presence of an effective steering committee is also positively correlated with quality of implementation ratings, when controlling for other factors.

**Quality of execution for 81 percent of completed projects was rated in the satisfactory range.** This indicates that partner executing agencies tend to perform well in accomplishing GEF project activities on the ground. Of the APR 2017 cohort, 78 percent received execution ratings in the satisfactory range, which—although nominally lower—is the same as the portfolio average (figure 5.1).

**Quality of implementation and country context affect the quality of execution.** For example, projects implemented in LDCs or SIDS have lower ratings than projects implemented in other countries. Similarly, projects implemented in Africa have lower quality of execution ratings than other regions. Taking a structured approach to project progress review through a steering committee is positively correlated with the quality of execution. Quality of execution ratings are also higher when

**FIGURE 5.1** Projects with implementation/execution quality rated in the satisfactory range by GEF replenishment period



SOURCE: GEF IEO terminal evaluation review data set.

the level of country support for the GEF project matches or exceeds expectations.

## 5.2 Cofinancing

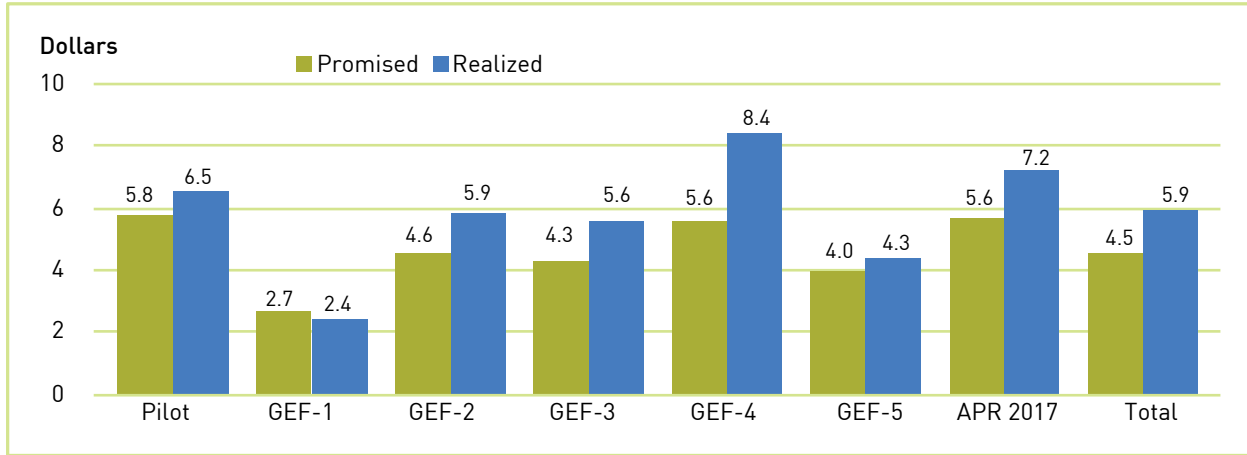
**A GEF project usually receives a substantial percentage of its total financing from non-GEF sources.** Project activities are designed with an assumption that promised cofinancing will materialize in a timely manner during project start-up and implementation. Therefore, cofinancing is often essential for ensuring timely accomplishment of project activities on the ground. Nonrealization or delayed materialization of cofinancing may delay project start-up and implementation, and/or lead to project downscaling or restructuring. OPS6 found that full materialization of cofinancing is positively correlated with project outcome ratings, and that materialization of less than 50 percent is negatively correlated with outcome performance (GEF IEO 2018e). For the 619 projects that were covered through detailed terminal evaluation reviews, governments in the recipient countries provided at least some cofinancing for 76 percent of the projects, GEF Agencies provided cofinancing for 40 percent, and executing agencies provided

some cofinancing for 36 percent. The contribution of cofinancing by GEF Agencies and executing partners for a substantial percentage of projects demonstrates that they have an incentive to ensure that GEF projects achieve their expected results.

**For completed projects, the ratio of realized cofinancing per dollar of GEF funding is 5.9 to 1.** The ratio for the APR 2017 cohort is 7.2 to 1 (figure 5.2). Cofinancing commitments are fully met or exceeded in 59 percent of all projects (figure 5.3). Less than half of promised cofinanced materialized in 14 percent of all projects.

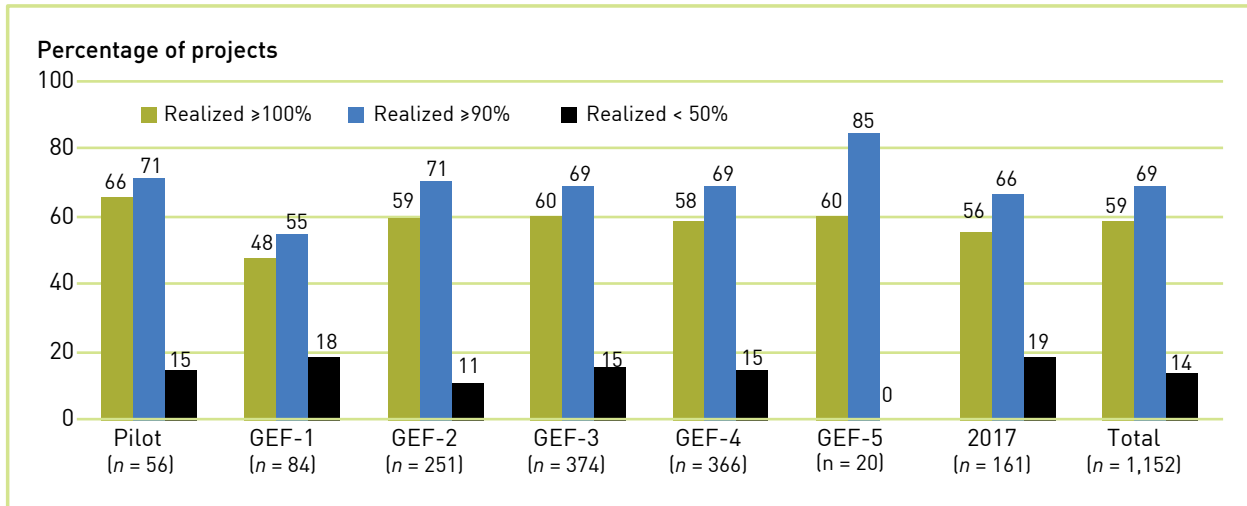
**Climate change projects tend to generate the highest promised and realized cofinancing ratios per dollar of GEF funding: 7.9 to 1 and 10.5 to 1, respectively.** The lowest levels of cofinancing were associated with the chemicals focal area, where \$1.60 was promised per GEF dollar, and \$1.90 was realized (figure 5.4). These cofinancing levels are attributable to the nature of the underlying respective focal area activities. For example, climate change activities are more likely to yield benefits that are easy to monetize, and are therefore likely to attract cofinancing from the private sector and even from national governments. In contrast, the

**FIGURE 5.2** Promised and realized cofinancing per dollar of GEF grant for completed projects by replenishment period



SOURCE: GEF IEO terminal evaluation review data set.

**FIGURE 5.3** Levels of promised cofinancing realized for completed projects by replenishment period



SOURCE: GEF IEO terminal evaluation review data set.

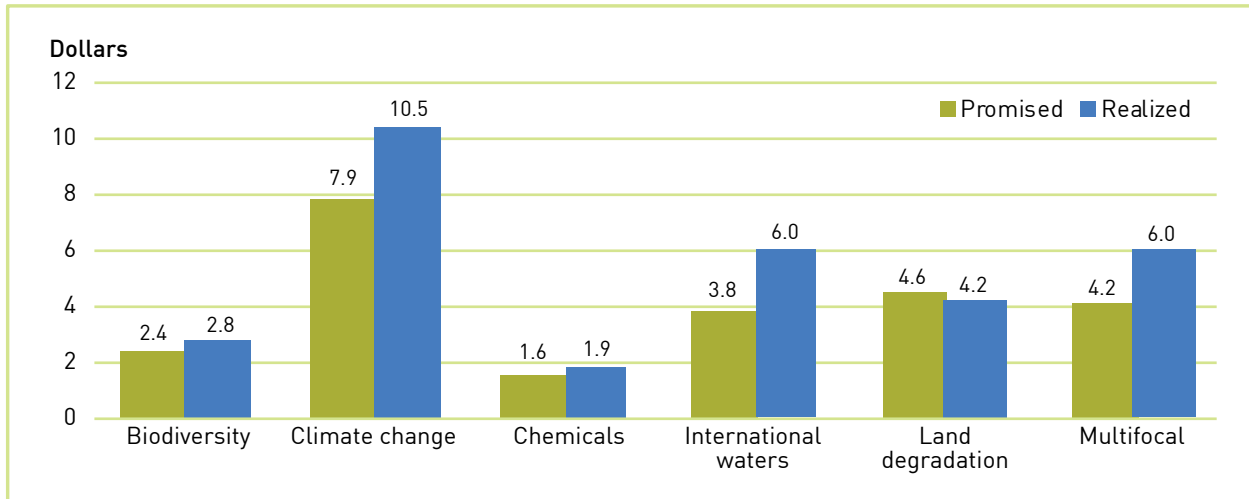
chemicals projects that were approved in GEF-3 and GEF-4 focus on facilitating the preparation of national action plans to tackle persistent pollutants. It is often difficult to raise high levels of cofinancing for such activities despite their being essential. Notwithstanding, from a performance perspective, projects from both focal areas

delivered higher-than-planned levels of average cofinancing.

**Some patterns related to cofinancing are salient.**

Promised levels of cofinancing are more likely to be fully met in global projects (figure 5.5). Among regions, promised cofinancing for projects in Africa was fully realized in half of the projects. This is at least 10 percent lower than in other regions.

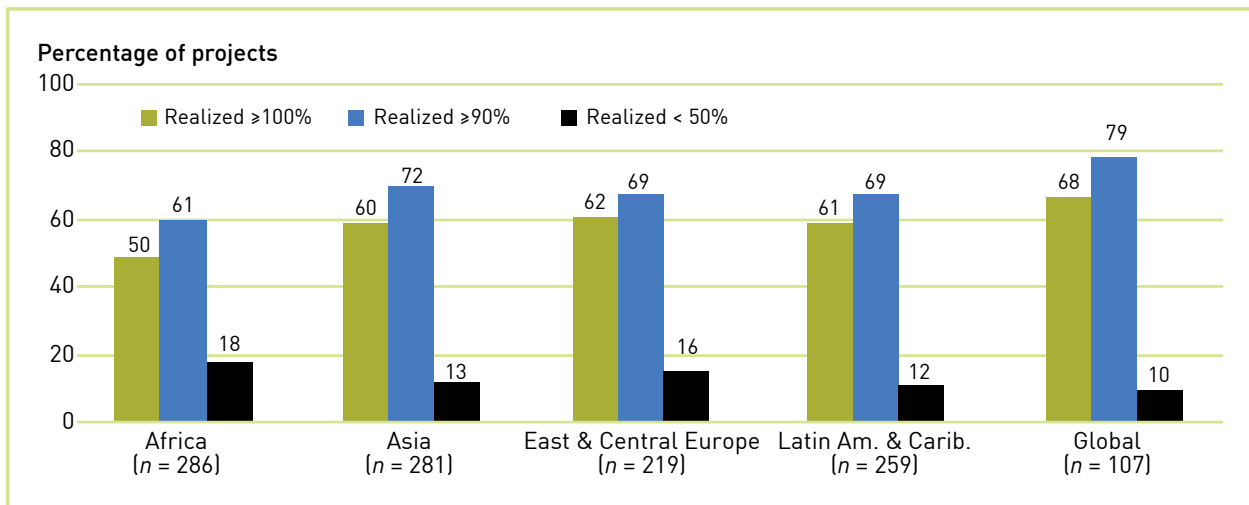
**FIGURE 5.4** Promised and realized cofinancing per dollar of GEF grant for completed projects by focal area



**SOURCE:** GEF IEO terminal evaluation review data set.

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

**FIGURE 5.5** Levels of promised cofinancing realized for completed projects by region



**SOURCE:** GEF IEO terminal evaluation review data set.

Among the GEF Agencies, the World Bank, UNDP, UNEP, and the United Nations Industrial Development Organization (UNIDO) have strong records in ensuring that cofinancing commitments are met. For other Agencies, the observations are too few to permit inferences.

### 5.3 Monitoring and evaluation

**Project M&E provides information for course correction, facilitates effective implementation, and enables a reliable account of project accomplishments and challenges to be maintained.** Overall, M&E design was rated in the satisfactory range for

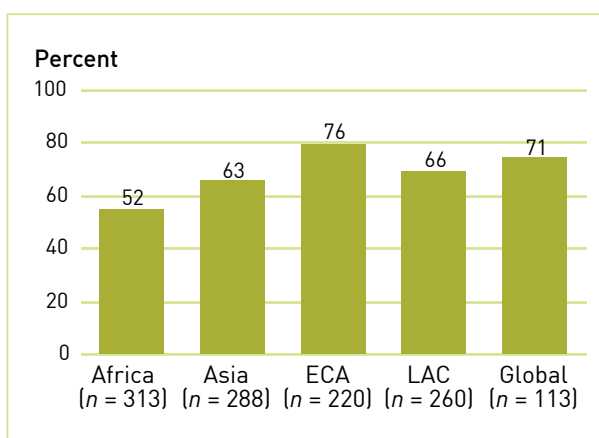
63 percent of the completed GEF project portfolio (figure 5.6); the APR 2017 cohort exceeded this average by more than 10 percentage points. Ratings are notably higher than average for projects approved in GEF-4, with 73 percent of these rated in the satisfactory range. This demonstrates improvements in M&E design over time.

**Of the GEF portfolio overall, and of the APR 2017 cohort, 64 percent of projects are rated in the satisfactory range for M&E implementation.** A slightly higher percentage of GEF-4 projects were so rated (68 percent), showing an improvement in performance over the preceding periods. This improvement continues in GEF-5 (figure 5.7).

**There are regional variations in M&E implementation ratings.** These range from 52 percent for projects in Africa to 76 percent in Europe and Central Asia. However, projects implemented in Africa show more substantial improvement than other regions over time. Among GEF Agencies, the M&E implementation ratings for World Bank projects from GEF-3 and GEF-4 periods are lower than those of the other Agencies.

**Projects implemented in Africa are more likely to collect disaggregated gender data.** As shown in figure 5.8, 22 percent of projects in the Africa region collected data disaggregated by gender, compared to 14 percent in both Asia and Europe and Central

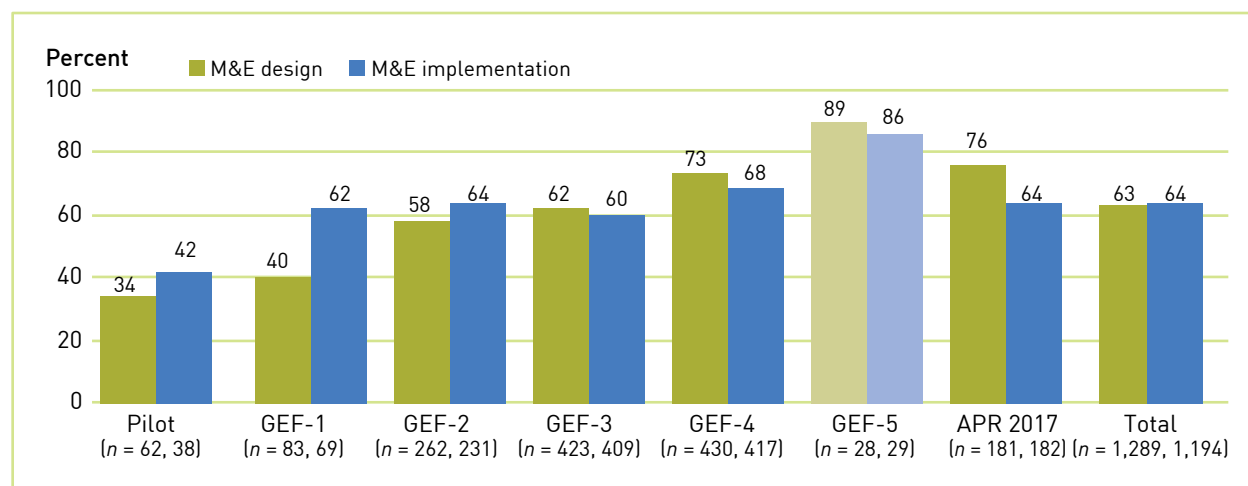
**FIGURE 5.7** Projects with M&E implementation rated in the satisfactory range by region



**SOURCE:** GEF IEO terminal evaluation review data set.

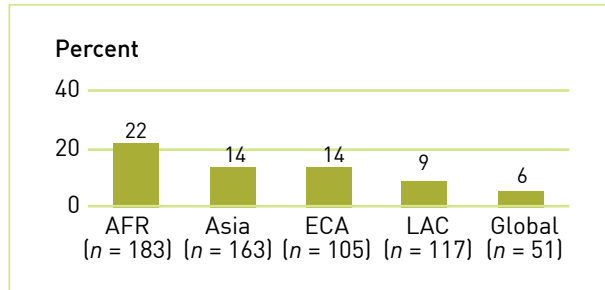
**NOTE:** ECA = East and Central Africa; LAC = Latin America and the Caribbean.

**FIGURE 5.6** Projects with M&E design/implementation rated in the satisfactory range by GEF replenishment period



**SOURCE:** GEF IEO terminal evaluation review data set.

**FIGURE 5.8** Projects collecting gender-disaggregated data by region



**SOURCE:** GEF IEO terminal evaluation review data set.

**NOTE:** ECA = East and Central Africa; LAC = Latin America and the Caribbean.

Asia, 9 percent in Latin America and the Caribbean, and 6 percent of global projects. This is consistent with findings from the GEF IEO's 2018 Evaluation of Gender Mainstreaming in the GEF, which assigned the highest weighted gender rating score to the Africa region, based on a review of completed projects (GEF IEO 2018b).

# 6: Terminal evaluation reporting

Terminal evaluations are an important source of information on completed projects. They provide information on project results, implementation experience, and lessons learned. The aggregated information from the reports helps in the identification of patterns and trends within the GEF portfolio and highlights areas for improvement. Thus, it is essential that terminal evaluations for GEF projects are submitted in a timely manner, and provide reliable and useful information. This chapter assesses gaps in the submission of terminal evaluation reports and presents findings on their quality.

## 6.1 Submission of terminal evaluations

A terminal evaluation is required for all completed GEF projects. The original three GEF Implementing Agencies (UNDP, UNEP, and the World Bank) stated in 1994 that the preparation of terminal evaluations for GEF projects was part of their internal M&E requirements (GEF 1994, Annex on Implementing Agencies' Information Policies). Subsequently, several policy-related documents approved by the Council—including “GEF Project Cycle” (GEF 1995) and “Framework and Work Program for GEF's Monitoring, Evaluation and Dissemination Activities” (GEF 1996)—established the requirement for preparation of a terminal evaluation for completed projects. Nonetheless, some terminal evaluations have still not been submitted that should have been completed by now, particularly for projects approved in GEF-3 or earlier.

Overall, from the pilot phase to GEF-2, the percentage of projects for which terminal evaluations have been submitted is relatively high, but the percentage is lower for GEF-3. While some GEF-3 projects are still under implementation, the gap in submission of completed terminal evaluations is larger than expected, particularly for MSPs implemented by UNDP (table 6.1). Follow-up inquiries suggest that the gap is primarily due to nonsubmission of terminal evaluations for child projects developed under programmatic approaches. UNDP's GEF-3 terminal evaluation submissions for MSPs vary by region: ranging from 41 percent in Latin America and the Caribbean, to 45 percent in Asia, 58 percent in Africa, and 88 percent in Europe and Central Asia. Significant submission gaps were not observed for World Bank- and UNEP-implemented projects.

## 6.2 Quality of terminal evaluation reports

The quality of terminal evaluation reports received by the GEF IEO remains high, with 83 percent of all terminal evaluations rated in the satisfactory range ( $n = 1,356$ ). Trends in terminal evaluation quality ratings from 2010 to 2017—based on year of terminal evaluation completion—shows little change (figure 6.1).

By agency, the quality of terminal evaluations submitted by UNDP and UNEP do not differ for FSPs or MSPs (figure 6.2). However, the quality of World

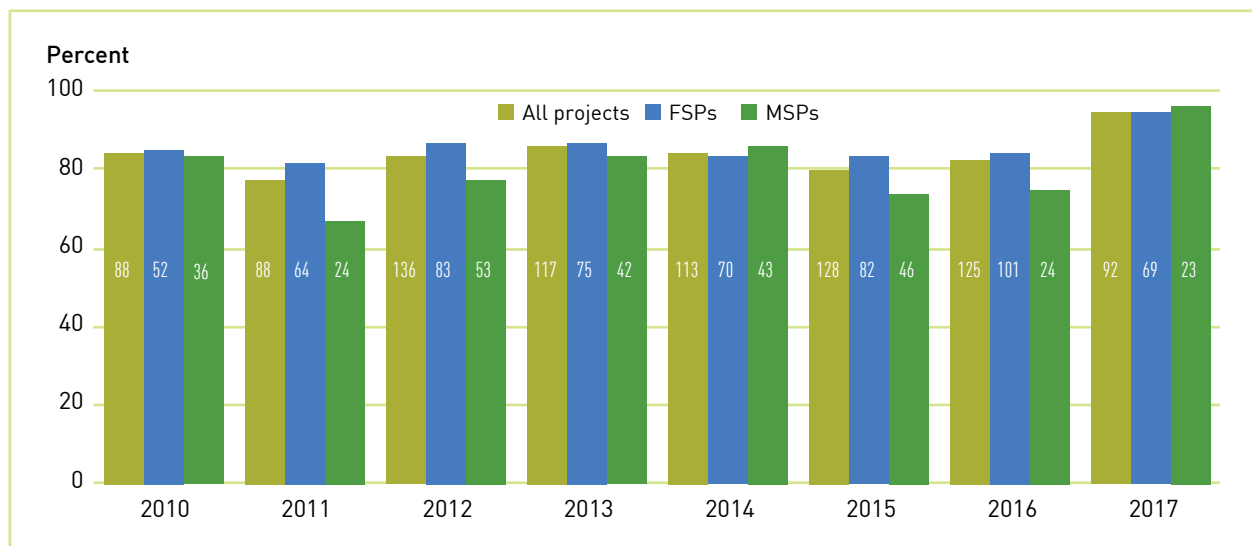


**TABLE 6.1** Submission of terminal evaluation reports by GEF Agency, project size, and replenishment period

Agency	Project size	Pilot phase		GEF-1		GEF-2		GEF-3	
		% of reports submitted	No. of projects funded	% of reports submitted	No. of projects funded	% of reports submitted	No. of projects funded	% of reports submitted	No. of projects funded
UNDP	FSP	83	54	86	51	86	66	83	120
	MSP	n.a.	n.a.	100	3	89	61	57	123
UNEP	FSP	100	1	80	5	100	17	82	34
	MSP	n.a.	n.a.	75	4	94	33	87	46
World Bank	FSP	96	45	98	48	92	77	86	133
	MSP	n.a.	n.a.	100	3	92	61	88	34
Joint	FSP	100	4	89	19	100	23	78	36
	MSP	n.a.	n.a.	n.a.	n.a.	100	6	71	7
Others	FSP	0	1	0	0	100	1	84	19
	MSP	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	60	5
All	FSP	89	105	91	123	92	184	84	342
	MSP	0	0	90	10	91	161	69	215
Total		89	105	91	133	92	345	78	557

SOURCE: GEF IEO terminal evaluation review data set.

Note: n.a. = not applicable.

**FIGURE 6.1** Percentage of terminal evaluation reports rated in the satisfactory range by year of terminal evaluation completion

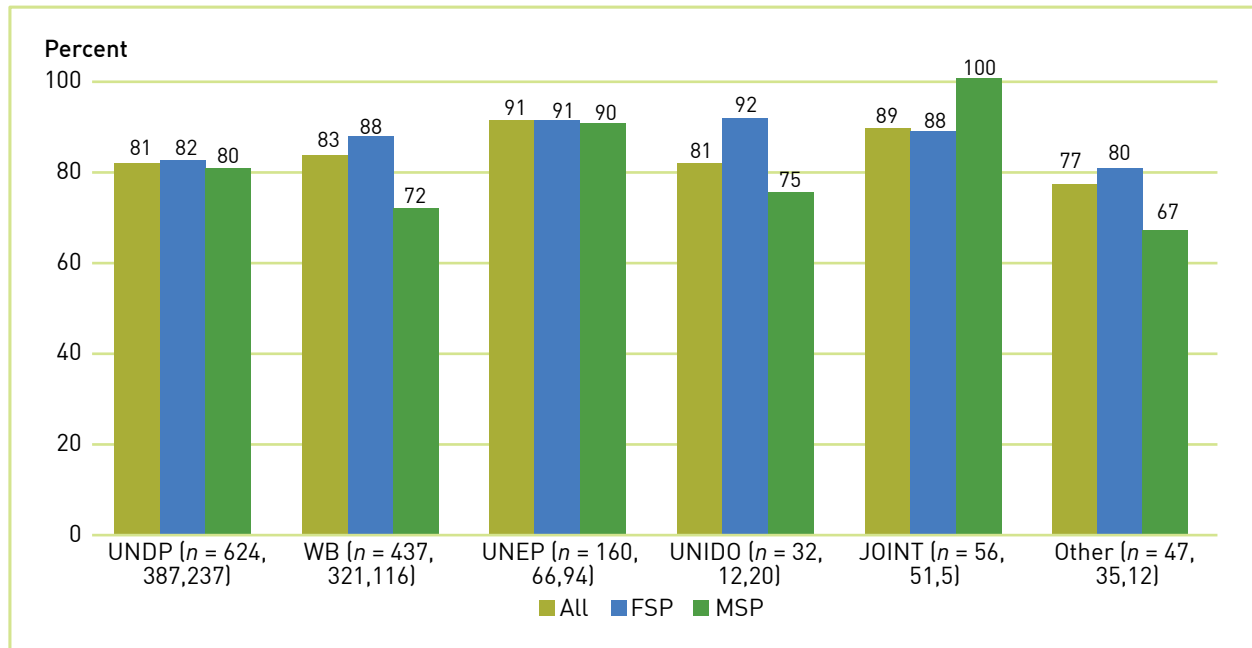
SOURCE: GEF IEO terminal evaluation review data set.

Bank terminal evaluations for MSPs is lower than for FSPs. For the other Agencies, the number of observations is still too small to draw strong inferences.

Thirty-three percent of the terminal evaluations assessed in depth include gender-relevant information ( $n = 619$ ). There has been an improvement over time in this regard, beginning with 21 percent

of GEF-2 projects ( $n = 67$ ) including gender-relevant information, to 35 percent of GEF-3 projects ( $n = 226$ ), and 55 percent of GEF-4 projects ( $n = 281$ ). There has also been a sharp increase in the percentage of projects with gender-related information since the adoption of the GEF Gender Mainstreaming Policy in May 2011: from 18 percent prior to the policy to 57 percent after its adoption.

**FIGURE 6.2** Quality of terminal evaluations rated in the satisfactory range, by GEF Agency



SOURCE: GEF IEO terminal evaluation review data set.

# 7: Management Action Record 2017

The GEF management action record tracks the level of adoption of GEF Council decisions that are based on GEF IEO evaluation recommendations. These recommendations are implemented by the GEF Secretariat and/or the GEF partner Agencies, which are together referred to as GEF management. The MAR serves two purposes:

(1) to provide Council a record of its decisions based on the evaluation reports presented by the GEF IEO, the proposed management actions, and the actual status of these actions; and (2) to increase the accountability of GEF Management regarding Council decisions on monitoring and evaluation issues. (GEF IEO 2005, 1)

MAR 2017 reports on the level of adoption of four decisions from the following evaluations:

- *Annual Country Portfolio Evaluation Report 2012* (GEF IEO 2012)
- “Semi-Annual Evaluation Report of the GEF Independent Evaluation Office: June 2015,” section on the Joint GEF-UNDP Small Grants Programme Evaluation (GEF IEO 2015b)
- *Evaluation of the GEF–Civil Society Organization Network* (GEF IEO 2016a)
- *Annual Performance Report 2015* (GEF IEO 2017c)

In 2017 the GEF Council endorsed all 58 GEF IEO recommendations presented in the May and November 2017 Semi-Annual Evaluation Reports. These recommendations have not been included

for tracking in MAR 2017, to allow for implementation. They are listed in annex A of the MAR 2017 (GEF IEO 2018f) along with a timeline for their future tracking.

The November 2017 Council decision regarding the Semi-Annual Evaluation Report also took note of the OPS6 recommendations and advised the GEF Secretariat to address them in the programming for GEF-7. These recommendations will not be tracked in the MAR because they are at a strategic level and have been reflected in the GEF-7 policy agenda and programming directions.

## 7.1 Ratings approach

For each tracked decision, self-ratings are provided by GEF management on the level of adoption, along with commentary as necessary. Ratings and commentary on tracked decisions are also provided by the GEF IEO for verification. The rating categories on progress of adoption of Council decisions were agreed upon by the GEF IEO, the GEF Secretariat, and the GEF Agencies through a consultative process. The categories are as follows:

- **High**—fully adopted and fully incorporated into policy, strategy, or operations
- **Substantial**—largely adopted but not fully incorporated into policy, strategy, or operations as yet

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

Council decisions may be graduated or retired from the MAR for one or more of the following reasons:

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

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

## 7.2 Findings

### COUNCIL DECISION WITH A SUBSTANTIAL LEVEL OF ADOPTION

Adoption of the decision on the evaluation of the GEF-CSO Network was rated to be substantial by both the IEO and GEF management. The decision led to the establishment of an ad hoc working group of Council members to develop an updated

vision of the relationship between the GEF and civil society in consultation with relevant stakeholders, and encouraged the CSO Network to establish a working group to interact with the Council Working Group on an updated vision for the network. The Ad-hoc Council Working Group on Civil Society presented an “Updated Vision to Enhance Civil Society Engagement with the GEF” at the GEF Council’s 53rd meeting. At the same meeting, the Secretariat presented an updated Policy on Stakeholder Engagement with the GEF. The Council requested the GEF Secretariat to present a progress report on implementation of the vision to the 55th Council in the fall of 2018.

### COUNCIL DECISIONS WITH A MEDIUM LEVEL OF ADOPTION

The GEF IEO rated the level of adoption of three decisions as medium.

- The **first decision** was based on the Annual Country Portfolio Evaluation Report of 2012, and requested the Secretariat to reduce the burden of monitoring requirements for multifocal area projects. The GEF is moving its results-based management system toward tracking 11 core indicators and 25 subindicators from GEF-7 onward, which should reduce the burden of tracking for all project types. As the decision is no longer relevant, it has been retired from the MAR.
- The **second decision** relates to the burden of monitoring requirements reported in the 2015 Annual Performance Report. The decision endorsed the recommendation that the GEF needs to reassess its approach to tracking tools for GEF-7 and should also assess the burden and utility of its biodiversity tracking tools and other alternatives. GEF management rated the level of adoption as substantial, as a revised results-based management approach

is under development by the Secretariat. The IEO rated the level of adoption as medium, as an alternative to the tracking tools is still under development.

- The **third decision** relates to the review of the Joint GEF-UNDP Small Grants Programme Evaluation, with a recommendation for the Secretariat and UNDP to continue upgrading the Small Grants Programme Country Program, and to revisit the criteria for selecting countries for upgrading. The level of adoption is rated as medium by both management and IEO.

Management reported that UNDP and the Central Program Management Team, in consultation with the GEF Secretariat and relevant stakeholders, will revisit the upgrading criteria in GEF 7. The program will focus on consolidating and scaling up successful on-the-ground actions in the existing 15 upgraded country programs for community-based landscape planning and management in GEF-7.



# Annex A: APR 2017 project cohort

GEF ID	Name	Agency	Country	GEF funding (mil. \$)	Focal area	Fund	GEF period	Rating		
								Out-come	Sustain-ability	Source
6	Hydrogen Fuel Cell Buses for Urban Transport	UNDP	Brazil	12.27	CC	GET	GEF-2	MS	ML	IAEO
12	Hybrid Solar Thermal Power Plant	WB	Mexico	49.35	CC	GET	GEF-2	U	MU	IAEO
71	In-Situ Conservation of Genetic Biodiversity	WB	Turkey	5.10	BD	GET	Pilot	S	UA	IAEO
614	Demonstrations of Innovative Approaches to the Rehabilitation of Heavily Contaminated Bays in the Wider Caribbean	UNDP	Regional	6.91	IW	GET	GEF-2	MS	L	IAEO
1025	In Situ/On Farm Conservation and Use of Agricultural Biodiversity (Horticultural Crops and Wild Fruit Species) in Central Asia	UNEP	Regional	5.72	BD	GET	GEF-3	HS	L	IAEO
1156	Mainstreaming Conservation and Sustainable Use of Medicinal Plant Diversity in Three Indian States	UNDP	India	4.94	BD	GET	GEF-3	MS	MU	IAEO
1199	Removal of Barriers to Biomass Power Generation, Part I	UNDP	India	5.65	CC	GET	GEF-3	NR	U	IAEO
1322	Conservation of Biodiversity in the Central Zagros Landscape Conservation Zone	UNDP	Iran, Islamic Rep.	3.80	BD	GET	GEF-3	U	MU	IAEO
1356	Forest Sector Development Project	WB	Vietnam	9.00	BD	GET	GEF-3	MS	ML	IAEO
1505	Namibia Coast Biodiversity Conservation and Management (NACOMA)	WB	Namibia	4.90	BD	GET	GEF-3	S	MU	IAEO
1607	Increased Access to Electricity Services	WB	Zambia	4.50	CC	GET	GEF-3	MS	MU	IAEO

GEF ID	Name	Agency	Country	GEF funding (mil. \$)	Focal area	Fund	GEF period	Rating		
								Out-come	Sustain-ability	Source
1900	Large Scale Renewable Energy Development Project	WB	Mexico	25.00	CC	GET	GEF-3	S	ML	IAEO
1904	Small Scale Hydro Power Development in Haiti	UNDP	Haiti	0.98	CC	GET	GEF-4	U	L	IAEO
2000	Environmental Business Finance Program (EBFP)	WB	Global	20.00	MF	GET	GEF-3	MS	UA	GEFIEO
2108	Philippines Sustainable Energy Finance Program	WB	Philippines	5.30	CC	GET	GEF-3	S	ML	GEFIEO
2132	WB-GEF MED Neretva and Trebisnjica Management Project—under Investment Fund for the Mediterranean Sea LME Partnership	WB	Regional	8.00	MF	GET	GEF-3	MS	ML	IAEO
2139	SIP: Transboundary Agro-Ecosystem Management Programme for the Kagera River Basin (Kagera TAMP)	FAO	Regional	6.36	LD	GET	GEF-4	MS	ML	GEFIEO
2354	Forest Protection and Reforestation	WB	Kazakhstan	5.00	LD	GET	GEF-3	MS	MU	IAEO
2355	Agricultural Productivity and Sustainable Land Management	WB	Kenya	10.00	LD	GET	GEF-3	MU	U	IAEO
2369	PRC-GEF Partnership: An IEM Approach to the Conservation of Biodiversity in Dryland Ecosystems—under the PRC-GEF Partnership on Land Degradation in Dryland Ecosystem Program	IFAD	China	4.55	MF	GET	GEF-4	S	L	GEFIEO
2379	Sustainable Management of Arid and Semi-arid Ecosystems to Combat Desertification in Patagonia (resubmission)	UNDP	Argentina	5.18	LD	GET	GEF-3	MS	UA	IAEO
2450	Rio Grande Do Sul Biodiversity Conservation	WB	Brazil	5.00	BD	GET	GEF-4	S	ML	IAEO
2472	Strengthening Capacity to Control the Introduction and Spread of Alien Invasive Species	UNDP	Sri Lanka	1.83	BD	GET	GEF-4	MS	MU	IAEO
2555	Promotion of a Wind Power Market	WB	Jordan	6.00	CC	GET	GEF-3	MS	L	IAEO
2596	Ghana Urban Transport	WB	Ghana	7.00	CC	GET	GEF-3	U	MU	IAEO
2611	Integrated Energy Services for Small Localities of Rural Mexico	WB	Mexico	15.00	CC	GET	GEF-3	MU	MU	IAEO



GEF ID	Name	Agency	Country	GEF funding (mil. \$)	Focal area	Fund	GEF period	Rating		
								Out-come	Sustain-ability	Source
2613	Supporting Country Early Action on Protected Areas (resubmission from Feb 2006 IWP)	UNDP	Global	9.40	BD	GET	GEF-3	HS	UA	IAEO
2641	Sustainable Cerrado Initiative	WB	Brazil	13.00	BD	GET	GEF-3	MU	MU	IAEO
2687	Improvement of Management Effectiveness in the Maya Biosphere Reserve (MBR)	IDB	Guatemala	3.66	BD	GET	GEF-4	MU	U	GEFIEO
2690	SFM Improving the Conservation of Biodiversity in Atlantic Forest of Eastern Paraguay	WB	Paraguay	4.50	MF	GET	GEF-4	MS	ML	IAEO
2699	Pacific Islands Greenhouse Gas Abatement through Renewable Energy Project (PIGGAREP)	UNDP	Regional	5.23	CC	GET	GEF-3	MU	MU	IAEO
2754	Biodiversity Conservation in Productive Forestry Landscapes	WB	Argentina	7.00	BD	GET	GEF-3	MU	ML	IAEO
2820	Supporting the Development and Implementation of Access and Benefit Sharing Policies in Africa	UNEP	Regional	1.18	BD	GET	GEF-4	MS	ML	IAEO
2844	Energy Efficiency Improvements in the Indian Brick Industry	UNDP	India	0.70	CC	GET	GEF-4	MU	MU	IAEO
2881	Integrated Management of Marine and Coastal Resources in Puntarenas	IDB	Costa Rica	3.00	BD	GET	GEF-4	MU	MU	GEFIEO
2929	Reducing Conflicting Water Uses in the Artibonite River Basin through Development and Adoption of a Multi-focal Area Strategic Action Programme	UNDP	Regional	3.08	MF	GET	GEF-4	S	MU	IAEO
2934	SFM Catalyzing the Contribution of Indigenous Lands to the Conservation of Brazil's Forest Ecosystems	UNDP	Brazil	6.00	BD	GET	GEF-4	S	MU	IAEO
2939	Solar Water Heating Market Transformation and Strengthening Initiative, Phase 1	UNDP	Global	12.00	CC	GET	GEF-3	MS	ML	IAEO
2942	Promote Energy Efficiency in Buildings	UNDP	Turkey	2.62	CC	GET	GEF-4	NR	UA	IAEO
2948	Biodiversity Conservation Project	WB	Sierra Leone	5.00	BD	GET	GEF-3	MS	MU	IAEO

GEF ID	Name	Agency	Country	GEF funding (mil. \$)	Focal area	Fund	GEF period	Rating		
								Out-come	Sustain-ability	Source
2950	Lighting the “Bottom of the Pyramid”	WB	Regional	5.40	CC	GET	GEF-3	UA	ML	GEFIEO
2970	DBSB: Integrated Nutrient Pollution Control Project—under the WB-GEF Investment Fund for Nutrient Reduction in the Danube River and Black Sea	WB	Romania	5.50	IW	GET	GEF-2	MS	ML	IAEO
2972	WB/GEF POL: Liaoning Medium Cities Infrastructure—under WB/GEF Partnership Investment Fund for Pollution Reduction in the LME of East Asia	WB	China	5.00	IW	GET	GEF-3	MS	MU	IAEO
3000	SFM: Sustainable Management of the Miombo Woodland Resources of Western Tanzania	UNDP	Tanzania	2.75	MF	GET	GEF-4	S	ML	IAEO
3021	Mainstreaming Biodiversity Conservation into the Operation of the Tourism and Fisheries Sectors in the Archipelagos of Panama	UNDP	Panama	1.73	BD	GET	GEF-4	U	MU	IAEO
3091	Market Transformation of Energy-Efficient Bricks and Rural Buildings (MTEBRB)	UNDP	China	7.00	CC	GET	GEF-4	S	L	IAEO
3103	Climate-resilient Infrastructure in Northern Mountain Province of Viet Nam	ADB	Vietnam	3.40	CC	SCCF	GEF-4	MU	ML	IAEO
3159	Adaptation to Climate Change Impacts on the Coastal Wetlands	WB	Mexico	4.50	CC	SCCF	GEF-4	MS	ML	IAEO
3218	Integrating Climate Change into the Management of Priority Health Risks	UNDP	Ghana	1.72	CC	SCCF	GEF-4	MU	ML	IAEO
3223	WB/GEF POL: Shanghai Agricultural and Non-Point Pollution Reduction project (SANPR)—under WB/GEF Strategic Partnership Investment Fund for Pollution Reduction in the LME of East Asia	WB	China	4.79	IW	GET	GEF-4	MS	ML	IAEO
3232	CACILM: Partnership Framework—Land Improvement Project	ADB	Uzbekistan	3.00	LD	GET	GEF-3	MS	ML	GEFIEO

GEF ID	Name	Agency	Country	GEF funding (mil. \$)	Focal area	Fund	GEF period	Rating		
								Out-come	Sustain-ability	Source
3234	CACILM: Rural Development Project under CACILM Partnership Framework, Phase I	ADB	Tajikistan	3.50	LD	GET	GEF-3	MU	MU	GEFIEO
3241	Sustainable Urban Transport Project	WB	India	22.50	CC	GET	GEF-4	MS	ML	IAEO
3263	Strengthening Institutions, Regulations and Enforcement Capacities for Effective and Efficient Implementation of the National Implementation Plan (NIP) in China	UNIDO	China	5.41	Chem	GET	GEF-4	S	ML	GEFIEO
3269	Environmentally Sound Management and Disposal of PCBs in Argentina	UNDP	Argentina	3.40	Chem	GET	GEF-4	MS	ML	IAEO
3276	Promoting Sustainable Land Management in Las Bambas	UNDP	Peru	4.00	LD	GET	GEF-4	S	MU	IAEO
3287	Community Based Adaptation to Climate Change through Coastal Afforestation	UNDP	Bangladesh	3.30	CC	LDCF	GEF-4	HS	L	IAEO
3321	Mainstreaming Groundwater Considerations into the Integrated Management of the Nile River Basin	UNDP	Regional	1.00	IW	GET	GEF-4	U	MU	IAEO
3359	Promoting Renewable Energy in Mae Hong Son Province	UNDP	Thailand	2.71	CC	GET	GEF-4	MU	ML	IAEO
3362	SIP: Catchments and Landscape Management	IFAD	Eritrea	4.35	LD	GET	GEF-4	MS	MU	GEFIEO
3364	SIP: Sustainable Land Management Pilot Project	UNDP	Eritrea	1.82	LD	GET	GEF-4	MU	MU	IAEO
3370	SIP: Mainstreaming Sustainable Land Management in Agropastoral Production Systems of Kenya	UNDP	Kenya	3.03	LD	GET	GEF-4	S	ML	IAEO
3396	SIP: Improving Policy and Practice Interaction through Civil Society Capacity Building	UNDP	Regional	1.74	LD	GET	GEF-4	MS	U	IAEO
3408	Implementing NAPA Priority Interventions to Build Resilience in the most Vulnerable Coastal Zones in Djibouti	UNEP	Djibouti	2.07	CC	LDCF	GEF-4	MU	U	IAEO

GEF ID	Name	Agency	Country	GEF funding (mil. \$)	Focal area	Fund	GEF period	Rating		
								Out-come	Sustain-ability	Source
3445	SFM: Integrated Community-based Forest and Catchment Management through an Ecosystem Service Approach [CBFCM]	UNDP	Thailand	1.76	MF	GET	GEF-4	MU	MU	IAEO
3517	Catalyzing Sustainability of Thailand's Protected Area System	UNDP	Thailand	3.36	BD	GET	GEF-4	MS	ML	IAEO
3539	Pakistan Sustainable Transport Project	UNDP	Pakistan	4.80	CC	GET	GEF-4	MU	ML	IAEO
3543	Environmentally Sound Management and Disposal of PCBs	UNIDO	Azerbaijan	2.12	Chem	GET	GEF-4	MS	MU	GEFIEO
3548	Marine and Coastal Biodiversity Conservation	IDB	Ecuador	4.00	BD	GET	GEF-4	U	U	GEFIEO
3554	IND: Improving Energy Efficiency in the Indian Railway System—under the Programmatic Framework for Energy Efficiency	UNDP	India	5.20	CC	GET	GEF-4	MU	L	IAEO
3599	Promoting and Strengthening an Energy Efficiency Market in the Industry Sector	IDB	Chile	2.64	CC	GET	GEF-4	MS	ML	GEFIEO
3603	Removing Barriers Hindering PA Management Effectiveness in Viet Nam	UNDP	Vietnam	3.54	BD	GET	GEF-4	S	ML	IAEO
3607	Application of a Regional Approach to the Management of Marine and Coastal Protected Areas in Cuba's Southern Archipelagos	UNDP	Cuba	5.71	BD	GET	GEF-4	S	L	IAEO
3608	PRC-GEF Partnership: Sustainable Development in Poor Rural Areas	WB	China	4.27	MF	GET	GEF-4	MS	MU	IAEO
3611	PRC-GEF Partnership: Mainstreaming Biodiversity Protection within the Production Landscapes and Protected Areas of the Lake Aibi Basin	WB	China	2.98	MF	GET	GEF-4	S	ML	IAEO
3616	Establishing a Financially Sustainable National Protected Areas System	UNDP	Haiti	2.63	BD	GET	GEF-4	MU	MU	IAEO
3619	CTI Strategies for Fisheries Bycatch Management	FAO	Regional	3.00	IW	GET	GEF-4	MS	L	GEFIEO

GEF ID	Name	Agency	Country	GEF funding (mil. \$)	Focal area	Fund	GEF period	Rating		
								Out-come	Sustain-ability	Source
3626	PAS: The Micronesia Challenge : Sustainable Finance Systems for Island Protected Area Management—under the GEF Pacific Alliance for Sustainability	UNEP	Regional	5.45	BD	GET	GEF-4	S	ML	IAEO
3637	SFM Transforming Management of Biodiversity-rich Community Production Forests through Building National Capacities for Market-based Instruments—under the Sustainable Forest Management Program	UNDP	Mexico	6.90	BD	GET	GEF-4	S	ML	IAEO
3643	BS Completion and Strengthening of the Cuban National Biosafety Framework for the Effective Implementation of the Cartagena Protocol	UNEP	Cuba	0.90	BD	GET	GEF-4	S	L	IAEO
3658	RUS: Transforming the Market for Efficient Lighting	UNDP	Russian Fed.	7.02	CC	GET	GEF-4	S	ML	IAEO
3664	PAS: Prevention, Control and Management of Invasive Alien Species in the Pacific Islands	UNEP	Regional	3.03	BD	GET	GEF-4	S	L	IAEO
3687	Madagascar’s Network of Managed Resource Protected Areas	UNDP	Madagascar	6.00	BD	GET	GEF-4	S	ML	IAEO
3694	Increasing Resilience of Coastal Areas and Community Settlements to Climate Change	UNDP	Tuvalu	3.30	CC	LDCF	GEF-4	MU	MU	IAEO
3700	Promoting Energy Efficient Room Air Conditioners (PEERAC) Project	UNDP	China	6.26	CC	GET	GEF-4	S	L	IAEO
3703	Increased Resilience and Adaptation to Adverse Impacts of Climate Change in Guinea’s Vulnerable Coastal Zones	UNDP	Guinea	2.97	CC	LDCF	GEF-4	MU	MU	IAEO
3709	Environmentally Sound Management and Disposal of PCBs	UNIDO	Peru	2.58	Chem	GET	GEF-4	S	ML	GEFIEO
3724	Transforming the Market for Efficient Lighting	UNDP	Ukraine	6.50	CC	GET	GEF-4	MS	MU	IAEO
3725	WB/GEF MED: Coastal Cities Pollution Control (APL 2)	WB	Croatia	6.40	IW	GET	GEF-3	S	L	IAEO

GEF ID	Name	Agency	Country	GEF funding (mil. \$)	Focal area	Fund	GEF period	Rating		
								Out-come	Sustain-ability	Source
3732	Demonstration of BAT and BEP in Fossil Fuel-fired Utility and Industrial Boilers in Response to the Stockholm Convention on POPs	UNIDO	Regional	4.00	Chem	GET	GEF-4	MS	ML	GEFIEO
3733	Strengthening Adaptive Capacities to Address Climate Change Threats on Sustainable Development Strategies for Coastal Communities in Haiti	UNDP	Haiti	3.50	CC	LDCF	GEF-4	S	MU	IAEO
3736	Mainstreaming Agro-biodiversity Conservation into the Farming Systems of Ethiopia	UNDP	Ethiopia	3.86	BD	GET	GEF-4	MS	ML	IAEO
3737	Namibia Protected Landscape Conservation Areas Initiative (NAM PLACE)	UNDP	Namibia	4.50	BD	GET	GEF-4	S	ML	IAEO
3745	Improving the Coverage and Management Efficiency of Protected Areas in the Steppe Biome of Russia	UNDP	Russian Fed.	5.30	BD	GET	GEF-4	S	ML	IAEO
3747	Improving Energy Efficiency in Industry	UNDP	Turkey	5.90	CC	GET	GEF-4	MS	ML	IAEO
3753	Sustainable Financing of the Protected Area System in Mozambique	UNDP	Mozambique	4.85	BD	GET	GEF-4	MS	ML	IAEO
3760	SPWA-BD: Integrating the Sustainable Management of Faunal Corridors into Niger's Protected Area System	UNDP	Niger	1.77	BD	GET	GEF-4	MS	MU	IAEO
3764	Strengthening the Operational and Financial Sustainability of the National Protected Area System	UNDP	Jamaica	2.77	BD	GET	GEF-4	MU	U	IAEO
3770	SPWA-BD: Incorporation of Sacred Forests into the Protected Areas System of Benin	UNDP	Benin	0.95	BD	GET	GEF-4	MS	MU	IAEO
3772	CBSP Forest and Nature Conservation Project	WB	Congo, Dem. Rep.	6.00	BD	GET	GEF-4	U	U	IAEO
3773	Support to the Madagascar Foundation for Protected Areas and Biodiversity (through Additional Financing to the Third Environment Support Program Project (EP3)	WB	Madagascar	10.00	BD	GET	GEF-4	MU	U	IAEO

GEF ID	Name	Agency	Country	GEF funding (mil. \$)	Focal area	Fund	GEF period	Rating		
								Out-come	Sustain-ability	Source
3776	Enhancing Adaptive Capacity and Resilience to Climate Change in the Agriculture Sector in Mali	UNDP	Mali	2.34	CC	LDCF	GEF-4	S	ML	IAEO
3781	SPWA-BD: Evolution of PA systems with regard to climate change in the West Africa Region	UNEP	Regional	3.54	BD	GET	GEF-4	MS	U	IAEO
3791	Energy Efficiency Standards and Labels in Peru	UNDP	Peru	2.00	CC	GET	GEF-4	S	ML	IAEO
3794	SPWA-CC: Promoting Energy Efficiency in Residential and Public Sector in Nigeria	UNDP	Nigeria	2.68	CC	GET	GEF-4	S	ML	IAEO
3796	SPWA-CC: Integration of Greenhouse Gas Emission Reductions in Niger's Rural Energy Service Access Program	UNDP	Niger	1.77	CC	GET	GEF-4	MU	MU	IAEO
3804	Less Burnt for a Clean Earth: Minimization of Dioxin Emission from Open Burning Sources	UNDP	Nigeria	4.15	Chem	GET	GEF-4	S	ML	IAEO
3807	Project for Ecosystem Services (ProEcoServ)	UNEP	Global	6.30	BD	GET	GEF-4	S	ML	IAEO
3819	PAS: Forestry and Protected Area Management	FAO	Regional	6.28	BD	GET	GEF-4	MS	ML	GEFIEO
3824	Sino-Singapore Tianjin Eco-City Project (SSTCEP)	WB	China	6.16	CC	GET	GEF-4	MS	U	IAEO
3829	Sustainable Financing of Ecuador's National System of Protected Areas (SNAP) and Associated Private and Community-managed PA Subsystems	UNDP	Ecuador	6.40	BD	GET	GEF-4	MU	MU	IAEO
3844	Sustainable Rural Biomass Energy	UNDP	Bhutan	1.70	CC	GET	GEF-4	S	MU	IAEO
3855	Strengthening the Implementation of Access to Genetic Resources and Benefit-Sharing Regimes in Latin America and the Caribbean	UNEP	Regional	0.85	BD	GET	GEF-4	S	L	IAEO
3857	Adapting Water Resource Management in Comoros to Increase Capacity to Cope with Climate Change	UNDP	Comoros	3.74	CC	LDCF	GEF-4	MS	ML	IAEO

GEF ID	Name	Agency	Country	GEF funding (mil. \$)	Focal area	Fund	GEF period	Rating		
								Out-come	Sustain-ability	Source
3859	CTI: Partnerships for Biodiversity Conservation: Mainstreaming in Local Agricultural Landscapes	UNDP	Philippines	4.50	BD	GET	GEF-4	MU	MU	IAEO
3860	Save Our Species	WB	Global	4.90	BD	GET	GEF-4	U	MU	IAEO
3863	Mainstreaming Biodiversity Management into Fisheries and Tourism Activities carried out in Coastal/Marine Ecosystems	UNDP	El Salvador	2.35	BD	GET	GEF-4	MU	ML	IAEO
3865	Strengthening the Marine and Coastal Protected Areas System	UNDP	Venezuela, RB	7.45	BD	GET	GEF-4	MS	MU	IAEO
3867	Improving Effectiveness of Protected Areas to Conserve Biodiversity in Burundi	UNDP	Burundi	0.86	BD	GET	GEF-4	MU	U	IAEO
3875	Promoting Sustainable Energy in the Bahamas	IDB	Bahamas	1.000	CC	GET	GEF-4	MU	ML	GEFIEO
3883	Safe PCB Management Programme in Morocco, Pillar II	UNIDO	Morocco	2.44	Chem	GET	GEF-4	MS	ML	GEFIEO
3888	The Global Fuel Economy Initiative	UNEP	Global	0.98	CC	GET	GEF-4	MS	L	IAEO
3890	Vulnerability Assessment and Adaptation Programme for Climate Change in the Coastal Zone of Cambodia Considering Livelihood Improvement and Ecosystems	UNEP	Cambodia	1.64	CC	LDCF	GEF-4	S	MU	IAEO
3891	Sustainable Energy Framework for Barbados	IDB	Barbados	1.000	CC	GET	GEF-4	MS	MU	GEFIEO
3897	PAS: Phoenix Islands Protected Area (PIPA)	UNEP	Kiribati	0.87	BD	GET	GEF-4	MS	L	IAEO
3907	Technology Needs Assessments	UNEP	Global	8.18	CC	SCCF	GEF-4	S	L	IAEO
3932	Mainstreaming Biodiversity in Silvo-Pastoral and Rangeland Landscapes in the Pockets of Poverty of Jordan	IFAD	Jordan	1.00	BD	GET	GEF-4	MS	ML	GEFIEO
3934	Reducing Disaster Risks from Wildfire Hazards Associated with Climate Change	UNDP	South Africa	3.54	CC	SCCF	GEF-4	MS	ML	IAEO
3945	Catalyzing Financial Sustainability of Armenia's Protected Areas System	UNDP	Armenia	0.99	BD	GET	GEF-4	MU	ML	IAEO



GEF ID	Name	Agency	Country	GEF funding (mil. \$)	Focal area	Fund	GEF period	Rating		
								Out-come	Sustain-ability	Source
3949	Ensuring Sufficiency and Predictability of Revenues for the Protected Areas Systems	UNDP	Georgia	1.00	BD	GET	GEF-4	MS	ML	IAEO
3953	Wind Hybrid Power Generation (WHyPGen) Marketing Development Initiatives	UNDP	Indonesia	2.16	CC	GET	GEF-4	MU	ML	IAEO
3955	Enhancing the Prevention, Control and Management of Invasive Alien Species in Vulnerable Ecosystems	UNDP	Cuba	5.02	BD	GET	GEF-4	S	ML	IAEO
3956	Consolidating Costa Rica's Marine Protected Areas (MPAs)	UNDP	Costa Rica	1.21	BD	GET	GEF-4	S	MU	IAEO
3957	Removing Barriers to Invasive Species Management in Production and Protection Forests in SE Asia	UNEP	Regional	3.08	BD	GET	GEF-4	S	ML	IAEO
3965	Strengthening the Protected Area Network in Southern Tanzania: Improving the Effectiveness of National Parks in Addressing Threats to Biodiversity	UNDP	Tanzania	5.30	BD	GET	GEF-5	MS	MU	IAEO
3967	Integrating Climate Change in the Implementation of the Plan Maroc Vert Project	WB	Morocco	4.35	CC	SCCF	GEF-4	MS	MU	IAEO
3973	Armenia Energy Efficiency Project	WB	Armenia	1.82	CC	GET	GEF-4	HS	ML	IAEO
3978	MED: Regional Coordination on Improved Water Resources Management and Capacity Building Horizontal Adaptable Programmatic Programme (H-APL)(TA)	WB	Global	5.64	IW	GET	GEF-4	S	ML	IAEO
3991	MED: Enhanced Water Resources Management	WB	Egypt, Arab Rep.	6.68	IW	GET	GEF-4	S	MU	IAEO
3992	CBPF: Strengthening the Effectiveness of the Protected Area System in Qinghai Province	UNDP	China	5.35	BD	GET	GEF-4	S	ML	IAEO
3997	Improving Coverage and Management Effectiveness of Marine and Coastal Protected Areas	UNDP	Albania	0.95	BD	GET	GEF-4	MS	ML	IAEO

GEF ID	Name	Agency	Country	GEF funding (mil. \$)	Focal area	Fund	GEF period	Rating		
								Out-come	Sustain-ability	Source
3999	Third National Communication to the UNFCCC	UNDP	Brazil	5.72	CC	GET	GEF-4	S	L	IAEO
4013	Sustainable Transport in the City Of Almaty	UNDP	Kazakhstan	4.89	CC	GET	GEF-4	MS	ML	IAEO
4023	PAS: Implementing the Island Biodiversity Programme of Work by Integrating the Conservation Management of Island Biodiversity	UNEP	Regional	1.74	BD	GET	GEF-4	S	L	IAEO
4092	WB/GEF POL: Huai River Basin Marine Pollution Reduction	WB	China	5.00	IW	GET	GEF-4	U	U	IAEO
4097	LGGE Improving Energy Efficiency in the Residential Building Sector	UNDP	Turkmenistan	2.52	CC	GET	GEF-4	S	L	IAEO
4099	Removal of Barriers to Solar PV Power Generation in Mauritius, Rodrigues and the Outer Islands	UNDP	Mauritius	2.01	CC	GET	GEF-4	S	ML	IAEO
4100	PCB Management and Disposal Project	WB	Nigeria	6.30	Chem	GET	GEF-4	HU	U	IAEO
4109	China Energy Efficiency Promotion in Industry	WB	China	4.00	CC	GET	GEF-4	MS	ML	IAEO
4129	TT-Pilot (GEF-4)- Green Truck Demonstration Project	WB	China	4.20	CC	GET	GEF-4	MS	L	IAEO
4133	SPWA-CC: Energy Efficiency Project	WB	Burundi	1.82	CC	GET	GEF-4	MS	MU	IAEO
4134	Market Development and Promotion of Solar Concentrators based Process Heat Applications in India	UNDP	India	4.40	CC	GET	GEF-4	S	MU	IAEO
4135	Mechanism for Voluntary Mitigation of Greenhouse Gas Emissions in Colombia	IDB	Colombia	2.70	CC	GET	GEF-4	S	ML	GEFIEO
4138	Catalytic Investments for Geothermal Power	IDB	Colombia	2.73	CC	GET	GEF-4	S	ML	GEFIEO
4152	Rural Electrification Phase II	WB	Lao PDR	1.82	CC	GET	GEF-4	MS	ML	GEFIEO
4156	Eco-Transport in City Clusters: Model Development & Pilots	WB	China	4.80	CC	GET	GEF-4	S	ML	IAEO

GEF ID	Name	Agency	Country	GEF funding (mil. \$)	Focal area	Fund	GEF period	Rating		
								Out-come	Sustain-ability	Source
4163	TT-Pilot (GEF-4): Piloting of Concentrating Solar Power Technology Transfer for Electricity Generation in Namibia (NAM CSP TT)	UNDP	Namibia	1.72	CC	GET	GEF-4	MU	ML	IAEO
4164	TT-Pilot (GEF-4): Technology Transfer for Grid-Connected Rooftop Photovoltaic Systems	UNDP	Seychelles	1.16	CC	GET	GEF-4	HS	L	IAEO
4166	LGGE Promotion of Energy Efficient Lighting in Kazakhstan	UNDP	Kazakhstan	3.40	CC	GET	GEF-4	S	ML	IAEO
4188	Technology Need Assessment on Climate Change	WB	China	5.00	CC	GET	GEF-4	MS	ML	IAEO
4191	Promoting Ecotourism to Strengthen the Financial Sustainability of the Guatemalan Protected Areas System (SIGAP)	UNDP	Guatemala	1.30	BD	GET	GEF-4	S	ML	IAEO
4194	Biogas Generation from Animal Manure Pilot Project	WB	Moldova	0.98	CC	GET	GEF-4	MS	ML	GEFIEO
4222	Promoting Autonomous Adaptation at the community level in Ethiopia	UNDP	Ethiopia	5.31	CC	LDCF	GEF-4	HS	ML	IAEO
4224	GEO: Turkey Geofund	WB	Turkey	10.00	CC	GET	GEF-3	U	MU	GEFIEO
4255	To Promote the Implementation of National and Transboundary Integrated Water Resource Management that is Sustainable and Equitable Given Expected Climate Change.	UNDP	Swaziland	1.67	CC	SCCF	GEF-4	S	ML	IAEO
4257	The GEF Earth Fund: IFC Earth Fund Platform	WB	Global	30.00	MF	GET	GEF-4	S	UA	GEFIEO
4260	The GEF Earth Fund: Public-Private Funding Mechanisms for Watershed Protection	WB	Regional	5.00	BD	GET	GEF-4	S	ML	GEFIEO
4261	Integrating climate change risks into water and flood management by vulnerable mountainous communities in the Greater Caucasus region of Azerbaijan	UNDP	Azerbaijan	2.70	CC	SCCF	GEF-4	MU	MU	IAEO

GEF ID	Name	Agency	Country	GEF funding (mil. \$)	Focal area	Fund	GEF period	Rating		
								Out-come	Sustain-ability	Source
4330	Strengthening National Frameworks for IAS Governance—Piloting in Juan Fernandez Archipelago	UNDP	Chile	4.00	BD	GET	GEF-5	MS	ML	IAEO
4415	Capacity Building for the Early Entry into Force of the Protocol on Access and Benefit Sharing	UNEP	Global	0.94	BD	GET	GEF-5	S	ML	IAEO
4431	Increasing Climate Change Resilience of Maldives through Adaptation in the Tourism Sector	UNDP	Maldives	1.65	CC	LDCF	GEF-5	MS	MU	IAEO
4442	NIP Update, Integration of POPs into National Planning and Promoting Sound Healthcare Waste Management in Kazakhstan	UNDP	Kazakhstan	3.40	Chem	GET	GEF-5	S	ML	IAEO
4669	Namibian Coast Conservation and Management Project	WB	Namibia	1.93	MF	GET	GEF-5	S	MU	IAEO
4799	Implementing Integrated Measures for Minimizing Mercury Releases from Artisanal Gold Mining	UNIDO	Regional	1.00	MF	GET	GEF-5	MS	MU	GEFIEO
4842	Strengthening the Institutional and Financial Sustainability of the National Protected Area System	UNDP	Croatia	4.95	BD	GET	GEF-5	S	ML	IAEO
4844	Improving the Coverage and Management Effectiveness of PAs in the Central Tian Shan Mountains	UNDP	Kyrgyz Republic	0.95	BD	GET	GEF-5	S	L	IAEO
4962	Pilot project on the development of a mercury inventory in China	UNEP	China	1.00	Chem	GET	GEF-5	S	L	IAEO
5002	Strengthening Climate Information and Early Warning Systems in Western and Central Africa for Climate Resilient Development and Adaptation to Climate Change	UNDP	Benin	4.00	CC	LDCF	GEF-5	MS	ML	IAEO
5101	Strengthened Environmental Management Information System for Coastal Development to Meet Rio Convention Objectives	UNDP	Côte d'Ivoire	0.55	MF	GET	GEF-5	S	ML	IAEO

GEF ID	Name	Agency	Country	GEF funding (mil. \$)	Focal area	Fund	GEF period	Rating		
								Out-come	Sustain-ability	Source
5114	Securing Energy Efficiency in the Ecuadorian Residential and Public Sectors (SECURE)	UNDP	Ecuador	1.78	CC	GET	GEF-5	S	ML	IAEO
5145	GEF UNIDO Cleantech Programme for SMEs	UNIDO	Armenia	0.55	CC	GET	GEF-5	MS	ML	GEFIEO
5160	The Development and Production of Natural Dyes in the Choco Region of Colombia for the Food, Cosmetics and Personal Care Industries Under the Provisions of the Nagoya Protocol	UNDP	Colombia	0.98	BD	NPIF	GEF-5	S	L	IAEO
5216	Improve the Health and Environment of Artisanal Gold Mining Communities in the Philippines by Reducing Mercury Emissions	UNIDO	Philippines	0.55	Chem	GET	GEF-5	S	ML	GEFIEO
5236	Strengthening Capacity for an Environmental Information Management and Monitoring System in Tajikistan	UNDP	Tajikistan	0.70	MF	GET	GEF-5	MS	ML	IAEO
5323	Reduce Exposure of Mercury to Human Health and the Environment by Promoting Sound Chemical Management in Mongolia	UNIDO	Mongolia	0.60	Chem	GET	GEF-5	S	ML	GEFIEO
5496	Preparatory Project to Facilitate the Implementation of the Legally Binding Instrument on Mercury (Minamata Convention) in Argentina to Protect Health and the Environment	UNIDO	Argentina	0.35	Chem	GET	GEF-5	S	UA	GEFIEO
5656	Parks, People, Planet: Protected Areas as Solutions to Global Challenges	UNDP	Global	1.83	BD	GET	GEF-5	S	ML	IAEO
6982	Enhancing Capacity to Develop Global and Regional Environmental Projects in the Pacific	UNDP	Regional	1.00	MF	GET	GEF-6	MS	ML	IAEO

**SOURCES:** GEF Project Management Information System; GEF IEO terminal evaluation review data set.

**NOTE:** *Agencies:* FAO = Food and Agriculture Organization of the United Nations; WB = World Bank. *Focal areas:* BD = biodiversity, Chem = chemicals, CC = climate change, IW = international waters, LD = land degradation, MF = multifocal. *Fund:* GET = GEF Trust Fund; LDCF = Least Developed Countries Fund; NPIF = Nagoya Protocol Implementation Fund; SCCF = Special Climate Change Fund. *Outcome ratings:* HS = highly satisfactory, S = satisfactory, MS = moderately satisfactory, MU = moderately unsatisfactory, U = unsatisfactory, HU = highly unsatisfactory, NR = not rated. *Sustainability ratings:* L = likely, ML = moderately likely, MU = moderately unlikely, U = unlikely, UA = unable to assess. *Rating sources:* GEFIEO = GEF Independent Evaluation Office; IAEO = Implementing Agency evaluation office.

# Annex B: Terminal evaluation report review guidelines

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

## B.1 Criteria for outcome ratings

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

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

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

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

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

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

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

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

The calculation of the overall outcomes score of projects will consider all three criteria, of which the relevance criterion will be applied first: the overall outcome achievement rating may not be higher than unsatisfactory. The second constraint applied is that the overall outcome achievement rating may not be higher than the effectiveness rating. The third constraint applied is that the overall rating

may not be higher than the average score of the effectiveness and efficiency criteria calculated using the following formula:

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

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

## B.2 Impacts

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

## B.3 Criteria for sustainability ratings

Sustainability will be understood as the likelihood of continuation of project benefits after completion of project implementation (GEF 2000). To assess sustainability, the terminal evaluation reviewer will identify and assess the key risks that could undermine continuation of benefits at the time of the evaluation. Some of these risks might include the absence of or inadequate financial resources, an enabling legal framework, commitment from key

stakeholders, and enabling economy. The following four types of risk factors will be assessed by the terminal evaluation reviewer to rate the likelihood of sustainability of project outcomes: financial, sociopolitical, institutional framework and governance, and environmental.

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

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

construction of a dam in a protected area could inundate a sizable area and thereby neutralize the biodiversity-related gains made by the project.

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

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

#### B.4 Criteria for assessment of quality of project M&E systems

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



**a. M&E design.** Projects should have a sound M&E plan to monitor results and track progress in achieving project objectives. An M&E plan should include a baseline (including data, methodology, and so on), SMART (specific, measurable, achievable, realistic, and timely) indicators and data analysis systems, and evaluation studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified. The questions to guide this assessment include: In retrospect, was the M&E plan at entry practicable and sufficient (sufficient and practical indicators identified; timely baseline; targets created; effective use of data collection; analysis systems including studies and reports; practical organization and logistics in terms of what, who, and when for M&E activities)?

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

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

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

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

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

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

**Rating on the quality of the project  
M&E system = b**

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

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

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

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

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

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

$$\text{Quality of the terminal evaluation report} = 0.3 \times (a + b) + 0.1 \times (c + d + e + f)$$

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

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

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

terminal evaluation on key causal linkages of these factors:

- a. Cofinancing and project outcomes and sustainability.** If there was a difference in the level of expected cofinancing and actual cofinancing, what were the reasons for it? To what extent did materialization of cofinancing affect project outcomes and/or sustainability? What were the causal linkages of these effects?
- b. Delays and project outcomes and sustainability.** If there were delays, what were the reasons for them? To what extent did the delay affect project outcomes and/or sustainability? What were the causal linkages of these effects?
- c. Country ownership and sustainability.** Assess the extent to which country ownership has affected project outcomes and sustainability. Describe the ways in which it affected outcomes and sustainability highlighting the causal links.

# Annex C: Regression analysis

**TABLE C.1** Outcomes: ordinary least squares models

Variable	Model 1	Model 2	Model 3	Model 4	Model 5	Model 6
Quality of implementation	0.444*** (0.0489)	0.448*** (0.0488)	0.405*** (0.0577)	0.440*** (0.0420)	0.435*** (0.0448)	0.441*** (0.0444)
Quality of execution	0.383*** (0.0498)	0.385*** (0.0498)	0.395*** (0.0578)	0.350*** (0.0427)	0.313*** (0.0464)	0.314*** (0.0452)
Large GEF portfolio	0.0313 (0.0238)					
LDC		0.0202 (0.0249)				
SIDS			-0.0424 (0.0396)			
Africa				0.00207 (0.0210)		
< 50% materialized cofinancing					-0.0954*** (0.0348)	
≥100% materialized cofinancing						0.0506** (0.0197)
<b>Variables included for control</b>						
Focal area	yes	yes	yes	yes	yes	yes
GEF funding	yes	yes	yes	yes	yes	yes
Year of CEO endorsement	yes	yes	yes	yes	yes	yes
Project preparation grant	yes	yes	yes	yes	yes	yes
Observations	861	861	647	1,117	968	980
R-squared	0.525	0.524	0.469	0.484	0.475	0.464

**NOTE:** Robust standard errors in parentheses. \*\*\* =  $p < 0.01$ ; \*\* =  $p < 0.05$ ; \* =  $p < 0.1$ . CEO = Chief Executive Officer.

TABLE C.2 Outcomes: probit models

Variable	Model 1	Model 2	Model 3	Model 4	Model 5	Model 6
Quality of implementation	1.586*** (0.151)	1.610*** (0.152)	1.422*** (0.174)	1.570*** (0.132)	1.578*** (0.144)	1.573*** (0.140)
Quality of execution	1.357*** (0.153)	1.369*** (0.154)	1.378*** (0.175)	1.245*** (0.131)	1.133*** (0.147)	1.131*** (0.143)
Large GEF portfolio	0.242 (0.175)					
LDC		0.126 (0.161)				
SIDS			-0.246 (0.200)			
Africa				0.00804 (0.128)		
<50% materialized cofinancing					-0.479*** (0.163)	
≥100% materialized cofinancing						0.285** (0.117)
<b>Variables included for control</b>						
Focal area	yes	yes	yes	yes	yes	yes
GEF funding	yes	yes	yes	yes	yes	yes
Year of CEO endorsement	yes	yes	yes	yes	yes	yes
Project preparation grant	yes	yes	yes	yes	yes	yes
Observations	861	861	647	1,117	968	980

**NOTE:** Robust standard errors in parentheses. \*\*\* =  $p < 0.01$ ; \*\* =  $p < 0.05$ ; \* =  $p < 0.1$ . CEO = Chief Executive Officer.

TABLE C.3 Outcomes: additional variables

Variable	OLS model 1	OLS model 2	OLS model 3	OLS model 4	Probit model 1	Probit model 2	Probit model 3	Probit model 4
Quality of implementation	0.603*** (0.0582)	0.643*** (0.0588)	0.529*** (0.0544)	0.551*** (0.0577)	2.223*** (0.212)	2.561*** (0.258)	1.870*** (0.181)	1.982*** (0.203)
Quality of execution	0.266*** (0.0585)	0.253*** (0.0575)	0.302*** (0.0549)	0.295*** (0.0588)	1.205*** (0.230)	1.318*** (0.242)	1.210*** (0.191)	1.225*** (0.213)
Country support level	0.0563 (0.0396)	0.0417 (0.0361)			0.415 (0.253)	0.329 (0.259)		
Delays during implementation			-0.0518** (0.0250)	-0.0314 (0.0258)			-0.329* (0.189)	-0.182 (0.202)
Indicators included for all results in project design		0.0663 (0.0622)		0.0253 (0.0711)		0.725* (0.396)		0.208 (0.449)
Stakeholders consulted in design		0.0313 (0.0353)		0.0113 (0.0363)		0.321 (0.333)		0.0642 (0.283)

Variable	OLS model 1	OLS model 2	OLS model 3	OLS model 4	Probit model 1	Probit model 2	Probit model 3	Probit model 4
Key risks taken into account		-0.0104 (0.0496)		-0.0394 (0.0444)		0.321 (0.362)		-0.138 (0.333)
<b>Variables included for control</b>								
Focal area	yes	yes	yes	yes	yes	yes	yes	yes
GEF funding	yes	yes	yes	yes	yes	yes	yes	yes
Year of CEO endorsement	yes	yes	yes	yes	yes	yes	yes	yes
Project preparation grant	yes	yes	yes	yes	yes	yes	yes	yes
Observations	460	422	543	495	460	422	543	495
R-squared	0.641	0.666	0.547	0.573				

**NOTE:** Robust standard errors in parentheses. \*\*\* =  $p < 0.01$ ; \*\* =  $p < 0.05$ ; \* =  $p < 0.1$ . CEO = Chief Executive Officer; OLS = ordinary least squares.

**TABLE C.4 Sustainability of outcomes: ordinary least squares models**

Variable	Model 1	Model 2	Model 3	Model 4	Model 5	Model 6	Model 7
Quality of implementation	0.173*** (0.0529)	0.172*** (0.0531)	0.185*** (0.0627)	0.185*** (0.0625)	0.178*** (0.0452)	0.180*** (0.0487)	0.166*** (0.0481)
Quality of execution	0.268*** (0.0537)	0.262*** (0.0537)	0.233*** (0.0601)	0.233*** (0.0599)	0.263*** (0.0453)	0.225*** (0.0501)	0.241*** (0.0489)
Large GEF portfolio	0.198*** (0.0387)						
LDC		-0.171*** (0.0421)					
SIDS			0.0621 (0.0537)	0.0661 (0.0536)			
Africa					-0.116*** (0.0329)		
<50% materialized cofinancing						-0.105** (0.0464)	
≥100% materialized cofinancing							0.0723** (0.0311)
Climate change focal area	0.0933*** (0.0326)	0.0950*** (0.0324)	0.0458 (0.0390)		0.0760** (0.0297)	0.0946*** (0.0320)	0.0951*** (0.0317)
<b>Variables included for control</b>							
GEF funding	yes	yes	yes	yes	yes	yes	yes
Year of CEO endorsement	yes	yes	yes	yes	yes	yes	yes
Project preparation grant	yes	yes	yes	yes	yes	yes	yes
Observations	840	840	629	629	1,092	948	957
R-squared	0.148	0.146	0.109	0.107	0.138	0.115	0.115

**NOTE:** Robust standard errors in parentheses. \*\*\* =  $p < 0.01$ ; \*\* =  $p < 0.05$ ; \* =  $p < 0.1$ . CEO = Chief Executive Officer.

TABLE C.5 Sustainability of outcomes: probit models

Variable	Model 1	Model 2	Model 3	Model 4	Model 5	Model 6
Quality of implementation	0.472*** (0.141)	0.472*** (0.141)	0.494*** (0.164)	0.484*** (0.119)	0.481*** (0.126)	0.444*** (0.125)
Quality of execution	0.733*** (0.145)	0.716*** (0.145)	0.633*** (0.158)	0.712*** (0.121)	0.603*** (0.131)	0.644*** (0.129)
Large GEF portfolios	0.651*** (0.143)					
LDC		-0.490*** (0.119)				
SIDS			0.191 (0.169)			
Africa				-0.334*** (0.0921)		
<50% materialized cofinancing					-0.308** (0.129)	
≥100% materialized cofinancing						0.216** (0.0889)
Climate change focal area	0.286*** (0.102)	0.293*** (0.101)	0.142 (0.120)	0.233** (0.0922)	0.288*** (0.0996)	0.290*** (0.0983)
<b>Variables included for control</b>						
GEF funding	-0.0118 (0.00966)	0.000741 (0.00973)	0.00993 (0.0113)	0.00283 (0.00786)	-0.00237 (0.00881)	-0.00317 (0.00880)
Year of CEO endorsement	0.0103 (0.00987)	0.0156 (0.00995)	0.0608*** (0.0194)	0.0202** (0.00890)	0.0201** (0.00984)	0.0216** (0.00964)
Project preparation grant	0.118 (0.107)	0.0742 (0.107)	0.0950 (0.116)	0.0985 (0.0907)	0.111 (0.0995)	0.146 (0.0984)
Observations	840	840	629	1,092	948	957

NOTE: Robust standard errors in parentheses. \*\*\* =  $p < 0.01$ ; \*\* =  $p < 0.05$ ; \* =  $p < 0.1$ . CEO = Chief Executive Officer.

TABLE C.6 Sustainability of outcomes: additional variables

Variable	Regression model 1	Regression model 2	Regression model 3	Probit model 1	Probit model 2	Probit model 3
Quality of implementation	0.228*** (0.0661)	0.237*** (0.0665)	0.209*** (0.0687)	0.621*** (0.177)	0.660*** (0.181)	0.575*** (0.184)
Quality of execution	0.170** (0.0722)	0.176** (0.0730)	0.189** (0.0746)	0.476** (0.196)	0.503** (0.201)	0.533*** (0.202)
Country support level	0.181*** (0.0627)	0.216*** (0.0653)	0.175*** (0.0654)	0.516*** (0.171)	0.627*** (0.182)	0.506*** (0.181)
Indicators included for all results in project design			0.0400 (0.1000)			0.149 (0.300)

Variable	Regression model 1	Regression model 2	Regression model 3	Probit model 1	Probit model 2	Probit model 3
Stakeholders consulted in design			-0.107 (0.0696)			-0.355 (0.247)
Key risks taken into account			0.0807 (0.0786)			0.272 (0.228)
Government cofinancing given		-0.0882 (0.0656)			-0.298 (0.218)	
Variables included for control						
Focal area	yes	yes	yes	yes	yes	yes
GEF funding	yes	yes	yes	yes	yes	yes
Year of CEO endorsement	yes	yes	yes	yes	yes	yes
Project preparation grant	yes	yes	yes	yes	yes	yes
Observations	443	428	407	443	428	407
R-squared	0.175	0.191	0.181			

**NOTE:** Robust standard errors in parentheses. \*\*\* =  $p < 0.01$ ; \*\* =  $p < 0.05$ ; \* =  $p < 0.1$ . CEO = Chief Executive Officer.



# Annex D: GEF regions

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

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

■ **Asia.** Afghanistan, American Samoa, Bangladesh, Bhutan, Cambodia, China, Fiji, India, Indonesia, Iraq, Islamic Republic of Iran, Kiribati, Democratic People's Republic of Korea, Lao People's Democratic Republic, Malaysia, Maldives, Marshall Islands, Federated States of Micronesia, Mongolia, Myanmar, Nepal, Palau, Pakistan, Papua New Guinea, the Philippines,

Samoa, Solomon Islands, Sri Lanka, Thailand, Timor-Leste, Tuvalu, Tonga, Vanuatu, Vietnam, Republic of Yemen

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

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

# Annex E: Sustainability study cohort

GEF ID	Name	Agency	Country	GEF funding (mil. \$)	Focal area	Period	Rating	
							Outcome	Sustainability
15	Programme for Phasing Out Ozone Depleting Substances	UNDP	Tajikistan	0.9	Chem	GEF-2	MS	MU
18	Lewa Wildlife Conservancy	WB	Kenya	0.7	BD	GEF-2	S	L
49	Coastal Wetlands Management	WB	Ghana	7.2	BD	Pilot	MS	ML
50	Tana River National Primate Reserve Conservation Project	WB	Kenya	6.2	BD	Pilot	MU	U
54	Bwindi Impenetrable National Park and Mgahinga Gorilla National Park Conservation	WB	Uganda	4.0	BD	Pilot	NR	NR
57	Biodiversity Conservation	WB	Bolivia	4.5	BD	Pilot	NR	NR
59	Ship-Generated Waste Management	WB	Regional	12.5	IW	Pilot	MS	ML
64	Demand Side Management Demonstration	WB	Jamaica	3.8	CC	Pilot	MU	MU
69	Danube Delta Biodiversity	WB	Romania	4.5	BD	Pilot	MS	ML
71	In-Situ Conservation of Genetic Biodiversity	WB	Turkey	5.1	BD	Pilot	S	UA
74	Ozone Depleting Substance Consumption Phase-out (first tranche)	WB	Russian Fed.	8.6	Chem	GEF-1	NR	NR
76	Alternate Energy	WB	India	26.0	CC	Pilot	NR	NR
84	India Ecodevelopment	WB	India	20.0	BD	GEF-1	MS	ML
90	Biodiversity Conservation	WB	Russian Fed.	20.1	BD	GEF-1	S	ML
93	Ozone Depleting Substances Phase-out Project	WB	Bulgaria	10.5	Chem	GEF-1	NR	NR
94	Technical Support and Investment Project for the Phaseout of Ozone Depleting Substances	WB	Hungary	6.9	Chem	GEF-1	NR	NR
100	Danube Delta Biodiversity	WB	Ukraine	1.5	BD	Pilot	S	U
105	Caribbean Planning for Adaptation to Global Climate Change (CARICOM)	WB	Regional	6.3	CC	GEF-1	NR	NR
107	Ozone Depleting Substances Phaseout Project	WB	Ukraine	23.2	Chem	GEF-1	MS	L
112	Photovoltaic Market Transformation Initiative (IFC)	WB	Global	30.0	CC	GEF-1	MU	NR
114	Phaseout of Ozone Depleting Substances (second tranche)	WB	Russian Fed.	25.7	Chem	GEF-1	S	ML
115	Phaseout of Ozone Depleting Substances	WB	Poland	6.2	Chem	GEF-1	NR	NR

GEF ID	Name	Agency	Country	GEF funding (mil. \$)	Focal area	Period	Rating	
							Outcome	Sustainability
134	Cape Peninsula Biodiversity Conservation Project	WB	South Africa	12.3	BD	GEF-1	HS	L
192	Integrated Management of Jigme Dorji National Park	UNDP	Bhutan	1.5	BD	GEF-1	MS	ML
292	Capacity Building to Reduce Key Barriers to Energy Efficiency in Russian Residential Buildings and Heat Supply	UNDP	Russian Fed.	3.0	CC	GEF-1	S	ML
325	Coal Bed Methane Capture and Commercial Utilization	UNDP	India	9.2	CC	GEF-1	MS	L
344	Lithuania Phase out of Ozone Depleting Substances	UNDP	Lithuania	4.4	Chem	GEF-1	S	L
351	A Dynamic Farmer-Based Approach to the Conservation of African Plant Genetic Resources	UNDP	Ethiopia	2.5	BD	Pilot	S	L
358	Sustainable Development and Management of Biologically Diverse Coastal Resources	UNDP	Belize	3.0	BD	Pilot	MS	MU
370	Development of High Rate BioMethanation Processes as Means of Reducing Greenhouse Gas Emissions	UNDP	India	5.5	CC	Pilot	S	ML
386	Optimizing Development of Small Hydel Resources in Hilly Areas	UNDP	India	7.5	CC	Pilot	MS	MU
404	Energy Efficiency	WB	India	5.0	CC	GEF-1	S	L
445	Barrier Removal for the Widespread Commercialization of Energy-Efficient CFC-Free Refrigerators in China	UNDP	China	9.6	CC	GEF-1	HS	ML
446	Renewable Energy Development	WB	China	35.0	CC	GEF-1	S	L
593	Programme for Phasing Out Ozone Depleting Substances	UNDP	Turkmenistan	0.4	Chem	GEF-2	MU	U
631	Conservation and Sustainable Use of Medicinal Plants	WB	Ethiopia	1.8	BD	GEF-2	S	ML
643	Renewable Energy for Agriculture	WB	Mexico	8.9	CC	GEF-2	S	ML
769	Programme for Phasing Out Ozone Depleting Substances	UNDP	Kazakhstan	5.4	Chem	GEF-2	MU	MU
784	Methane Capture and Use (Landfill Demonstration Project)	WB	Mexico	6.0	CC	GEF-2	S	L
818	Conservation of Globally Threatened Species in the Rainforests of Southwest Sri Lanka	UNDP	Sri Lanka	0.7	BD	GEF-2	S	ML
837	Conservation and Sustainable Use of the Mesoamerican Barrier Reef	WB	Regional	11.0	BD	GEF-2	S	MU
878	Protected Areas and Wildlife Conservation Project	WB	Sri Lanka	10.2	BD	GEF-2	S	L
885	Reversing Environmental Degradation Trends in the South China Sea and Gulf of Thailand	UNEP	Regional	16.4	IW	GEF-2	S	ML
941	Demonstration of Fuel Cell Bus Commercialization in China (Phase II-Part I)	UNDP	China	5.8	CC	GEF-2	MS	L
945	National Protected Areas System	WB	Ecuador	8.0	BD	GEF-2	S	ML

GEF ID	Name	Agency	Country	GEF funding (mil. \$)	Focal area	Period	Rating	
							Outcome	Sustainability
1058	Pacific Islands Renewable Energy Programme (PIREP)	UNDP	Regional	0.7	CC	GEF-2	MS	L
1084	Caribbean: Mainstreaming Adaptation to Climate Change	WB	Regional	5.0	CC	GEF-2	MS	ML
1124	Integrated Participatory Ecosystem Management In and Around Protected Areas, Phase I	UNDP	Cabo Verde	3.6	BD	GEF-3	S	MU
1544	Rio de Janeiro Integrated Ecosystem Management in Production Landscapes of the North-Northwestern Fluminense	WB	Brazil	6.8	MF	GEF-3	MU	ML
1682	Facilitating and Strengthening the Conservation Initiatives of Traditional Landholders and their Communities to Achieve Biodiversity Conservation Objectives	UNDP	Vanuatu	0.7	BD	GEF-3	NR	ML
1872	Community Agriculture and Watershed Management	WB	Tajikistan	4.5	MF	GEF-3	MS	ML
2767	LAC Regional Sustainable Transport and Air Quality Project	WB	Regional	20.8	CC	GEF-3	MS	MU
3510	LDC/SIDS Portfolio Project: Capacity Building for Sustainable Land Management in Sierra Leone	UNDP	Sierra Leone	0.5	LD	GEF-3	NR	NR

**SOURCES:** GEF Project Management Information System; GEF IEO terminal evaluation review data set.

**NOTE:** *Agencies:* WB = World Bank. *Focal areas:* BD = biodiversity, Chem = chemicals, CC = climate change, IW = international waters, LD = land degradation, MF = multifocal. *Outcome ratings:* HS = highly satisfactory, S = satisfactory, MS = moderately satisfactory, MU = moderately unsatisfactory, U = unsatisfactory, HU = highly unsatisfactory, NR = not rated. *Sustainability ratings:* L = likely, ML = moderately likely, MU = moderately unlikely, U = unlikely, UA = unable to assess. All projects listed are funded by the GEF Trust Fund.

# Annex F: Outcome ratings tables

**TABLE F.1** Projects with satisfactory outcomes

Criterion	Pilot		GEF-1		GEF-2		GEF-3		GEF-4		GEF-5		FY17		Total	
	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.
<b>Focal area</b>																
Biodiversity	76	45	82	57	81	147	84	171	84	143	100	10	74	65	83	573
Chemicals	0	0	60	5	78	9	73	15	86	36	100	7	92	13	82	72
Climate change	61	18	76	29	76	83	79	107	78	133	100	6	72	71	77	376
Int'l waters	88	8	80	10	75	40	68	44	81	36	0	0	80	10	75	138
Land degradation	0	0	0	0	0	0	72	47	77	31	100	1	73	11	75	79
Multifocal	0	0	100	3	79	14	81	43	85	54	100	5	93	15	84	120
<b>Region</b>																
Africa	75	24	79	28	70	63	70	120	78	113	100	5	72	46	74	353
Asia	63	19	85	27	82	71	82	91	84	120	100	6	77	53	82	335
ECA	78	9	72	18	77	53	83	86	88	78	100	5	86	28	83	249
LAC	75	16	83	18	81	83	81	84	79	85	100	6	70	47	80	292
Global	100	3	77	13	87	23	87	46	78	37	100	7	91	11	84	129
<b>GEF Agency</b>																
UNDP	64	33	76	41	83	104	85	177	81	249	100	14	72	89	81	619
World Bank	81	36	81	48	77	133	66	149	83	65	100	1	74	46	75	432
UNEP	100	2	100	6	80	41	90	62	85	54	100	5	94	17	87	170
UNIDO	0	0	0	0	0	0	67	3	95	21	100	8	100	10	94	32
Joint	0	0	78	9	50	14	85	20	86	14	100	1	86	7	76	58
Other	0	0	0	0	100	1	94	16	70	30	0	0	69	16	79	47
<b>Country groups</b>																
SIDS	56	9	50	4	72	18	68	25	71	42	100	1	73	22	69	100
LDCs	58	12	69	13	71	28	66	53	75	80	100	2	68	31	71	188
Fragile states	50	8	63	8	60	10	81	26	71	21	0	0	80	5	70	73
Lg. GEF portfolio	88	8	100	15	80	40	82	50	91	58	100	2	82	33	87	173
<b>Project size</b>																
FSP	73	71	79	96	76	166	76	285	82	249	100	6	75	153	78	873
MSP	0	0	88	8	82	127	85	142	82	184	100	23	81	32	84	485
<b>Scope</b>																
National	73	59	80	74	78	222	77	305	81	343	100	21	73	153	79	1,024
Regional	67	9	82	17	75	48	83	78	87	54	100	1	90	21	82	208
Global	100	3	77	13	87	23	86	44	81	37	100	7	91	11	85	127
<b>Total</b>	<b>73</b>	<b>71</b>	<b>80</b>	<b>104</b>	<b>78</b>	<b>293</b>	<b>79</b>	<b>427</b>	<b>82</b>	<b>433</b>	<b>100</b>	<b>29</b>	<b>76</b>	<b>185</b>	<b>80</b>	<b>1,358</b>

**SOURCE:** GEF IEO terminal evaluation review data set.

**NOTE:** ECA = Europe and Central Asia; LAC = Latin America and the Caribbean.

Ratings based on postcompletion field verification were lower than those based on terminal evaluations. For example, compared to 88 percent of projects that were rated as having satisfactory outcomes at completion, 77 percent were so rated at postcompletion verification (table F.2). This finding pertains even though (1) most projects either sustained or enhanced their outcomes, and (2) for

more projects, the status for outcome achievement increased than decreased across the two periods. These seemingly contradictory findings are largely due to differences in rating sources. The postcompletion verification reports prepared by evaluation offices are likely to be more candid than the terminal evaluation reports prepared or commissioned by project management.

**TABLE F.2** Comparison of completion and postcompletion outcome ratings

		Outcome ratings at postcompletion verification					
		Satisfactory		Unsatisfactory		All rated projects	
		%	No.	%	No.	%	No.
Outcome ratings at completion	Satisfactory	73	38	15	8	88	46
	Unsatisfactory	4	2	8	4	12	6
	All rated projects	77	40	23	12	100	52

**SOURCE:** GEF IEO terminal evaluation review data set.

# Annex G: Correlation between project design attributes and outcomes and sustainability

Project design attribute	Projects with outcomes in satisfactory range		Projects with outcome sustainability in likely range	
	No.	%	No.	%
Quality of M&E design satisfactory	807	86	779	68
Quality of M&E design unsatisfactory	473	69	451	51
Pilots an approach	309	78	291	64
Does not pilot an approach	268	79	254	63
Replicates an approach	68	72	66	64
Does not replicate an approach	509	80	479	63
Scales up an approach	48	73	45	69
Does not scale up an approach	529	79	500	63
Mainstreams an approach	45	82	44	77
Does not mainstream an approach	532	79	501	62
Promotes new technology	58	83	55	65
Does not promote a new technology	519	78	490	63
Is a follow-up to a GEF project	60	80	55	62
Is not a follow-up to a GEF project	517	79	490	64
Includes activities to develop legal/regulatory measures	242	79	233	64
Does not inc. activities to develop legal/regulatory measures	335	79	312	63
Includes activities to influence legal/regulatory environment	334	79	320	63
Does not inc. activities to influence legal/regulatory environ.	243	78	225	65
Inc. activities aimed at improving administration/enforcement	410	78	384	63
Does not inc. activities aimed at improving admin./enforcement	167	80	161	66
Key stakeholders consulted during project preparation	456	79	433	64
Key stakeholders not consulted during project preparation	121	80	112	61
Plans consultations w. key stakeholders during implementation	486	79	461	63
Does not plan consultations w. key stakeholders during impl.	91	80	84	64
Design addresses a gender concern id'ed in gender analysis	65	82	61	67
Design does not address any gender concerns	512	79	484	63
Measures included to address key risks	458	78	432	65
Measures not included to address key risks	119	82	113	58
Extensive consultations with CSOs for project preparation	205	77	193	61

Project design attribute	Projects with outcomes in satisfactory range		Projects with outcome sustainability in likely range	
	No.	%	No.	%
Some consultations with CSO	178	78	169	64
No consultations with CSOs or unable to assess	166	81	156	67
Cofinancing by the recipient country (national projects)	430	80	416	65
No cofinancing by rec. country (nat'l projects) or unable to assess	59	71	55	65
Funds committed by recipient country for follow-up	96	88	93	82
Funds not committed by recipient country for follow-up	294	74	284	60
Experienced start up delays	286	78	270	63
Did not experience start up delays	257	80	248	64
Project was a low priority for at least some crucial government tiers/agencies/departments	97	60	93	45
Project was a priority for crucial government tiers/agencies/departments	421	84	405	68

SOURCE: GEF IEO terminal evaluation review data set.



# Annex H: Project classification based on level of attention to gender

Projects were classified using the following categories to designate their level of attention to gender concerns, as per annex B of GEF IEO (2018b):

- **Not gender relevant.** Gender plays no role in the planned intervention.
- **Gender blind.** Project does not demonstrate awareness of the roles, rights, responsibilities, and power relations associated with being male or female. Gender is not mentioned in project documents beyond an isolated mention in the context description, gender is not tracked by the tracking tools and monitoring and evaluation instruments, no gender analysis took place, and no gender action plan or gender strategy was developed for the project.
- **Gender aware.** Project recognizes the economic/social/political roles, rights, entitlements, responsibilities, obligations, and power relations socially assigned to men and women, but might work around existing gender differences and inequalities, or does not sufficiently show how it addresses gender differences and promotes gender equality. Gender is mentioned in the project document, but how gender equality is being promoted is unclear. One or two gender-disaggregated indicators might be present, but whether and how that data informs project management is unclear. Gender might be mentioned in a social assessment, but what is done with that information is unclear. No gender action plan or gender strategy was developed for the project.
- **Gender sensitive.** Project adopts gender-sensitive methodologies to address gender differences and promote gender equality. A gender analysis or social analysis with gender aspects is undertaken, gender-disaggregated data are collected, gender-sensitive indicators are integrated in monitoring and valuation, and the data collected inform project management. But the gender focus is only apparent in a limited number of project activities.
- **Gender mainstreamed.** Project ensures that gender perspectives and attention to the goal of gender equality are central to most, if not all, activities. It assesses the implications for women and men of any planned action, including legislation, policies, or programs, in any area and at all levels. Like the gender-sensitive category, but gender-relevant components are present in most, if not all, activities.
- **Gender transformative.** Project goes beyond gender mainstreaming and facilitates a “critical examination” of gender norms, roles, and relationships; strengthens or creates systems that support gender equity; and/or questions and changes gender norms and dynamics. Like the gender-mainstreamed category, but the way gender is addressed might result in behavioral changes toward gender norms and dynamics in the systems targeted by and systems beyond the project.

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