

MOPAN
2017-18 ASSESSMENTS

Global Environment Facility (GEF)

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MOPAN Assessments

Global Environment Facility (GEF)

2017-18 Performance Assessment

Preface

ABOUT MOPAN

The Multilateral Organisation Performance Assessment Network (MOPAN) comprises 18 countries¹ that share a common interest in assessing the effectiveness of the major multilateral organisations they fund. These include United Nations agencies, international financial institutions and global funds. The Network generates, collects, analyses and presents relevant and credible information on their organisational and development effectiveness. This knowledge base is intended to contribute to organisational learning within and among the organisations, their direct clients and partners, and other stakeholders. Network members use the reports for their own accountability needs and as a source of input for strategic decision-making.

MOPAN 3.0, first applied in 2015-16, is the latest operational and methodological iteration of how the Network assesses organisations. It builds on the former version, the *Common Approach*, which the Network implemented from 2009 through 2014.

In 2017-18, MOPAN assessed 14 organisations, including the Global Environment Facility (GEF). The other 13 are:

- Asian Development Bank (ADB)
- Food and Agriculture Organization (FAO)
- Global Partnership for Education (GPE)
- International Fund for Agricultural Development (IFAD)
- International Organization for Migration (IOM)
- Office of the United Nations High Commissioner for Human Rights (OHCHR)
- United Nations Educational, Scientific and Cultural Organization (UNESCO)
- United Nations Entity for Gender Equality and the Empowerment of Women (UN Women)
- United Nations High Commissioner for Refugees (UNHCR)
- United Nations Population Fund (UNFPA)
- United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA)
- World Food Programme (WFP)
- World Health Organization (WHO).

Operating principles

MOPAN generates assessments that are credible, fair and accurate. Credibility is ensured through an impartial, systematic and rigorous approach. MOPAN seeks an appropriate balance between coverage and depth of information from a variety of sources and through multiple streams of evidence. The Network gives priority to quality of information over quantity and uses structured tools for enquiry and analysis. An audit trail of findings ensures transparency. MOPAN applies efficient measures of assessment practice through building layers of data, with a view to limiting the burden on organisations assessed. A focus on organisational learning aims to ensure utility of the findings by multiple stakeholders.

Objectives of the MOPAN methodology

MOPAN seeks to provide a diagnostic assessment, or snapshot, of an organisation. It tells the story of an organisation's current performance. MOPAN is guided by framing questions which serve to understand the relevance, efficiency and effectiveness of multilateral organisations, while also garnering a sense of the sustainability of their results. The empirical design of MOPAN is based on a theory of change.

1. Australia, Belgium, Canada, Denmark, Finland, France, Germany, Ireland, Italy, Japan, Korea, Luxembourg, the Netherlands, Norway, Sweden, Switzerland, the United Kingdom and the United States. MOPAN also has two observers, New Zealand and the United Arab Emirates.

The methodology's key elements include a set of five performance areas against which the assessment takes place. The first four cover strategic, operational, relationship and performance management. The fifth area englobes the organisation's contribution to development, humanitarian and normative results. These areas are captured in the MOPAN indicator framework against which performance is measured using three evidence streams – a document review, surveys, and interviews and consultations – brought together in a combined approach.

A MOPAN assessment is not an external audit of an organisation, nor is it an institutional evaluation. MOPAN does not comprehensively assess all operations or all processes of an organisation, nor can it provide a definitive picture of all the organisation's achievements and performance during the time period of the assessment. Neither does MOPAN offer comprehensive documentation or analysis of ongoing organisational reform processes.

Acknowledgements

The MOPAN assessment was finalised under the overall strategic guidance of Suzanne Steensen, Head of the MOPAN Secretariat. It was prepared under the responsibility of Samer Hachem, Policy Advisor. We are very grateful to the MOPAN institutional lead, France, for championing this assessment of Global Environment Facility (GEF) on behalf of the MOPAN membership.

The assessment was conducted with support from IOD PARC, an independent consultancy specialised in assessing performance and managing change in the field of international development. Michael Flint served as Team Lead for the assessment of GEF, with support from Kate Lonsdale and Tom Fredriksson, under the overall leadership of Julian Gayfer. Ipsos MORI administered the partner survey.

The report benefited from a peer review conducted within the MOPAN Secretariat and from the comments of a senior independent advisor, Osvaldo Feinstein, Member of the International Advisory Panel of the UNDP Evaluation Office and professor at the Master in Evaluation of the Universidad Complutense de Madrid. Jill Gaston and Susan Sachs edited the report, and Andrew Esson provided layout and graphic design.

MOPAN is grateful to its Steering Committee representatives for supporting the assessment of GEF. Finally, MOPAN would like to convey appreciation to GEF management and staff for their input and comments at various stages, in particular those staff members who internally co-ordinated the process and provided substantive feedback on the final draft report. .

Table of Contents

| | |
|--|-----------|
| Preface | 1 |
| Acknowledgements | 2 |
| Acronyms and abbreviations | 6 |
| Executive summary | 7 |
| Chapter 1. INTRODUCTION | 12 |
| 1.1. Structure of the report | 12 |
| 1.2. GEF at a glance | 12 |
| Mission and mandate | 12 |
| Governance | 12 |
| Organisational structure | 12 |
| Strategy | 13 |
| Finances | 14 |
| Organisational change initiatives | 14 |
| 1.3. The assessment process | 14 |
| Assessment framework | 14 |
| Applying the MOPAN methodology to GEF | 14 |
| Lines of evidence | 15 |
| Limitations | 16 |
| Chapter 2. DETAILED ASSESSMENT OF GEF PERFORMANCE | 18 |
| 2.1. Organisational effectiveness | 18 |
| PERFORMANCE AREA: STRATEGIC MANAGEMENT | 18 |
| PERFORMANCE AREA: OPERATIONAL MANAGEMENT | 21 |
| PERFORMANCE AREA: RELATIONSHIP MANAGEMENT | 24 |
| PERFORMANCE AREA: PERFORMANCE MANAGEMENT | 27 |
| 2.2. Development effectiveness | 31 |
| PERFORMANCE AREA: RESULTS | 31 |
| Chapter 3. OVERALL PERFORMANCE OF GEF | 36 |
| 3.1. Current standing against the requirements of an effective organisation | 36 |
| Is GEF future facing? | 36 |
| Is GEF making best use of what it has? | 36 |
| Is GEF a well-oiled machine? | 37 |
| Is GEF making a difference? | 37 |
| 3.2. Performance journey | 39 |

| | |
|--|-----|
| Annex 1. EVIDENCE TABLE | 42 |
| Methodology for scoring and rating | 42 |
| Strategic Management | 46 |
| KPI 1: Organisational architecture and financial framework enable mandate implementation and achievement expected results | 46 |
| KPI 2: Structures and mechanisms in place and applied to support the implementation of global frameworks for cross-cutting issues at all levels | 49 |
| Operational Management | 53 |
| KPI 3: Operating model and human/financial resources support relevance and agility | 53 |
| KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency/accountability | 56 |
| Relationship Management | 61 |
| KPI 5: Operational planning and intervention design tools support relevance and agility (within partnerships) | 61 |
| KPI 6: Works in coherent partnerships directed at leveraging and/or ensuring relevance and catalytic use of resources | 67 |
| Performance Management | 75 |
| KPI 7: Strong and transparent results focus, explicitly geared to function | 75 |
| KPI 8: Evidence-based planning and programming applied | 80 |
| Results | 89 |
| KPI 9: Achievement of development and humanitarian objectives and results e.g. at the institutional/corporate wide level, at the regional/corporate wide level and at the regional/country level, with results contributing to normative and cross-cutting goals | 89 |
| KPI 10: Relevance of interventions to the needs and priorities of partner countries and beneficiaries, and extent to which the organisation works towards results in areas within its mandate | 92 |
| KPI 11: Results delivered efficiently | 93 |
| KPI 12: Sustainability of results | 95 |
| Annex 2. LIST OF DOCUMENTS | 97 |
| Annex 3. RESULTS OF MOPAN'S PARTNER SURVEY | 100 |
| Response profile | 100 |
| Staffing | 101 |
| Managing financial resources | 102 |
| Interventions (programmes, projects, normative work) | 103 |
| Interventions (cross-cutting issues) | 106 |
| Interventions (cross-cutting issues, organisational performance) | 107 |
| Managing relationships | 108 |
| Performance management | 112 |
| Evidence base for planning and programming | 113 |

Boxes

| | |
|--|----|
| Box 1: Preventing sexual exploitation, abuse and harassment | 13 |
| Box 2: Performance areas and key performance indicators | 15 |
| Box 3: Main strengths and areas for improvement from the 2014 Fifth Overall Performance Study evaluation | 38 |
| Box 4: Main strengths identified in the MOPAN 2017-18 assessment | 39 |
| Box 5: Main areas for improvement identified in the MOPAN 2017-18 assessment | 40 |

Acronyms and abbreviations

| | | | |
|--------------|---|---------------|--|
| AMAT | Adaptation Monitoring and Assessment Tool | NAPA | National adaptation programme of action |
| AMR | Annual Monitoring Review | NGI | Non-grant instrument |
| APMR | Annual Portfolio Monitoring Report | NPFE | National Portfolio Formulation Exercise |
| CBD | Convention on Biological Diversity | OECD | Organisation for Economic Co-operation and Development |
| CCM | Climate change mitigation | OPS | Overall Performance Study |
| CEO | Chief Executive Officer | PA | Protected area |
| COP | Conference of the parties | PIF | Project information form |
| CSO | Civil society organisation | PMIS | Project Management Information System |
| DO | Development objectives | RBM | Results-based management |
| ECG | Evaluation Cooperation Group | SAER | Semi-Annual Evaluation Report |
| GEAP | Gender Equality Action Plan | SCCF | Special Climate Change Fund |
| GEF | Global Environment Facility | SGP | Small Grants Programme |
| GEFTF | Global Environment Facility Trust Fund | STAP | Scientific and Technical Advisory Panel |
| GHG | Greenhouse gas | STAR | System for Transparent Allocation of Resources |
| IAP | Integrated approach pilot | UN | United Nations |
| IEO | Independent Evaluation Office | UNCCD | United Nations Convention to Combat Desertification |
| IPAG | Indigenous Peoples Advisory Group | UNEG | United Nations Evaluation Group |
| KM | Knowledge management | UNFCCC | United Nations Framework Convention on Climate Change |
| KPI | Key performance indicator | USD | United States dollar |
| LDCF | Least Developed Countries Fund | | |
| LDFA | Land Degradation Focal Area | | |
| MAR | Management Action Record | | |
| MEA | Multilateral environmental agreement | | |
| MI | Micro-indicator | | |

Executive summary

In 2017-18, MOPAN, the Multilateral Organisation Performance Assessment Network, assessed the performance of the Global Environment Facility (GEF). The assessment looked at GEF's organisational effectiveness (strategic, operational, relationship and performance aspects) and the results it achieved against its objectives. This was the first MOPAN assessment of GEF.

CONTEXT

Part of the context in which the GEF operates is very supportive of delivery of its mandate. There is increasing recognition and determination among most governments and much of the private sector that the degradation of the global environment has to be addressed. However, part of the operating environment is more challenging. In particular, there is a growing mismatch between the supply and demand for environmental funding as donor funding becomes less available and raising resources from new sources becomes ever more difficult. While the changing financial landscape for environmental activities offers the potential of additional sources of finance, the challenges to multilateral mechanisms and approaches evident today pose a further risk.

KEY FINDINGS

GEF recently agreed its seventh replenishment period, or GEF-7, covering 2018-22. While the USD 4 billion pledged is slightly lower than for GEF-6, this latest replenishment confirms the unique and important role GEF plays in supporting more than 140 developing countries to meet their obligations to 5 multilateral environmental agreements.

This MOPAN assessment concludes that overall GEF is a relevant, capably managed and effective facility. Its strategies, plans and programmes are rigorously discussed and reviewed every four years based on comprehensive evaluations. These have concluded that GEF is achieving its mandate and objectives and continues to play a unique role as a financial mechanism for multilateral environmental agreements. They also concluded that GEF has a strong track record in delivering relevant results, even if sustainability and efficiency remain areas of weaker performance. The GEF has strong operational management processes and financial controls, benefiting from the underlying World Bank infrastructure.

At the same time, areas for improvement remain. Despite improvements, GEF does not yet have sufficiently comprehensive and reliable systems and frameworks covering the entire project cycle and the complete portfolio. Also, much of GEF's rich knowledge is fragmented, difficult to access and underutilised. Finally, the evolution of the relationship and balance of responsibility between the Secretariat and implementing agencies is a question that continues to be addressed.

More globally, GEF is challenged by the mismatch between the available resources and the scale of the global environmental challenges. In responding to the challenge, it is attempting to maximise the impact of its resources to influence transformational change, through better engagement with the private sector and shifting its programming towards addressing the drivers of environmental degradation in addition to responding to environmental pressures. This ambitious and complex agenda does not come without risks and will require appropriate management and skills to succeed.

The assessment identifies three main **strengths** of GEF:

- 1. GEF is a unique, effective, capably managed and highly relevant partnership** of governments, implementing Agencies, civil society organisations and the private sector.
- 2. GEF's policies, programmes and priorities are effectively evaluated, discussed and updated** every four years as part of the replenishment process for the GEF Trust Fund.
- 3. GEF has a strong track record in delivering environmental results at the project level.** The overwhelming majority of projects for which terminal evaluations are available have achieved satisfactory outcomes.

This assessment also identifies four major **areas for improvement**:

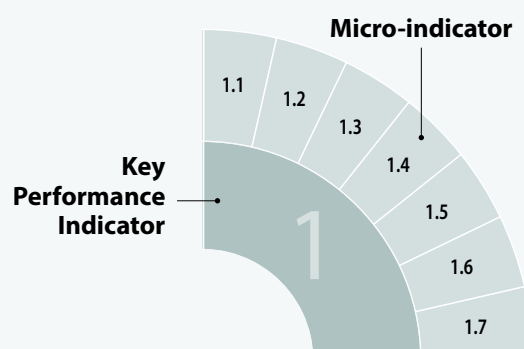
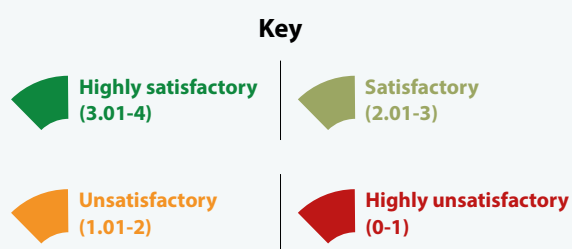
- 1. Focusing limited resources.** The mismatch between limited and declining resources available to GEF and the increasing severity of global environmental problems within its mandate requires a strategic response. Along with general improvements in efficiency and effectiveness, GEF will need to continue its efforts to play a catalytic and convening role in pursuit of transformational change, and to achieve a sharper focus on the most damaging drivers of environmental degradation.
- 2. Private sector engagement.** Engagement with the private sector as the key actor alongside governments and, to a lesser extent, as a source of finance, needs to be prioritised. The GEF-7 replenishment process has also identified this as a priority. Affecting private sector sourcing and production practices through research, dialogue and regulatory reforms is fundamental to achieving significant environmental progress.
- 3. Systems and frameworks for monitoring and reporting on corporate, programme and project results and performance.** Results-based management is improving, and a new information system was launched in July 2018. But GEF does not yet have sufficiently comprehensive and reliable systems and frameworks covering the entire project cycle and the complete portfolio.
- 4. Knowledge management.** Synthesising, accessing, using and disseminating knowledge and lessons learned from GEF's extensive range and history of projects and programmes can be improved. Much of GEF's knowledge is fragmented, difficult to access and underutilised.

METHODS OF ANALYSIS

The assessment of performance focuses on the organisation of the GEF headquarters (the Secretariat) and how GEF, in the context of its partnership structure, engages at the global, regional and country levels. The assessment addresses organisational systems, practices and behaviours, as well as results achieved during the period from 2016 to mid-2018. It relies on two lines of evidence: a review of 91 documents and interviews with 32 staff members individually and in small groups. An online survey of GEF partners did not generate a sufficient body of responses, so this evidence source was not used in the analysis.

The MOPAN 3.0 methodology entails a framework of 12 key performance indicators and associated micro-indicators. It comprises standards that characterise an effective multilateral organisation. MOPAN conducted the assessment with support from IOD PARC, a consulting company located in the United Kingdom that specialises in results-based performance assessment in international development. France acted as the institutional lead country, representing MOPAN members in this assessment process.

GEF PERFORMANCE RATING SUMMARY (2017-18)





1. INTRODUCTION

Chapter 1. Introduction

1.1 STRUCTURE OF THE REPORT

This report has three chapters and two annexes. Chapter 1 introduces the Global Environment Facility (GEF) and the MOPAN 3.0 assessment process. Chapter 2 presents the main findings of the assessment in relation to each performance area. Chapter 3 provides the conclusions of the assessment. Annex 1 summarises the evidence gathered against each indicator with the detailed scores. Annex 2 lists the documents used for the analysis. Finally, Annex 3 provides an overview of the results of MOPAN's partner survey.

1.2 GEF AT A GLANCE

Mission and mandate: The Global Environment Facility is an international mechanism operated by a partnership of governments, international institutions, civil society and the private sector to achieve global environmental benefits. It serves as the financial mechanism for five global conventions: the Convention on Biological Diversity, the United Nations Framework Convention on Climate Change, the Stockholm Convention on Persistent Organic Pollutants, the United Nations Convention to Combat Desertification and the Minamata Convention on Mercury.

The mission of GEF is to help developing countries to address global environmental challenges, achieve global environmental benefits and meet their convention commitments.

Governance: The governing structure of GEF is composed of the Assembly, the Council, the Secretariat, the GEF agencies, the Scientific and Technical Advisory Panel (STAP), and the Independent Evaluation Office (IEO). The Council is its principal governing body, and its 32 members are appointed by the constituencies of GEF member countries. The Council meets bi-annually and is responsible for developing, adopting and evaluating the operational policies for GEF-financed activities and for reviewing and approving the work programme. The Council is chaired by the Chief Executive Officer (CEO) of the GEF Secretariat. The Council functions under the guidance of the GEF Assembly, which is composed of all 183 member countries. The conferences of the parties of the global conventions also provide strategic guidance to the Council.

Organisational structure: The Secretariat is the principal administrative body of GEF and is located in Washington, DC. It is headed by the CEO and currently has a staff of around 65. The Secretariat co-ordinates the overall implementation of GEF activities and provides services and reports to the Assembly and the Council.

GEF projects and programmes are designed and implemented by 1 or more of the 18 GEF implementing Agencies² working with governments and other stakeholders. Each GEF member country designates government officials, known as GEF focal points, who are responsible for GEF activities.

The STAP advises GEF in accordance with its mandate to provide objective, strategic scientific and technical advice on policies, operational strategies, projects and programmes. The STAP is supported by a Secretariat provided by the United Nations Environmental Programme.

2. These agencies are the Asian Development Bank, African Development Bank, West African Development Bank, Development Bank of Latin America, Conservation International, Development Bank of Southern Africa, European Bank for Reconstruction and Development, Food and Agriculture Organization, Foreign Economic Cooperation Office of the People's Republic of China (hereafter China), Brazilian Biodiversity Fund - FUNBIO, Inter-American Development Bank, International Fund for Agricultural Development, International Union for Conservation of Nature, United Nations Development Programme, United Nations Environment Programme, United Nations Industrial Development Organization, World Bank, and World Wildlife Fund-US.

The IEO is responsible for undertaking independent evaluations, ensuring the quality of monitoring and evaluation systems, and sharing evaluative evidence within GEF. The IEO works independently of the Secretariat and reports directly to the Council.

Strategy: GEF's current strategy, which covers the 2014-20 period, outlines five strategic priorities to address global environmental challenges:

- address the drivers of environmental degradation
- deliver integrated solutions
- enhance resilience and adaptation
- ensure complementarity and synergies
- choose the right influencing model.

Programming priorities and intended results are developed every four years as part of the GEF Trust Fund replenishment process. The most recent GEF-7 replenishment period (2018-22) aims to further emphasise the focus on tackling the major drivers of environmental degradation.

Box 1: Preventing sexual exploitation, abuse and harassment³

GEF works through 18 implementing Agencies. To be accredited, each agency must meet social and environmental safeguards and fiduciary standards. It also must have in place independent grievance redress mechanisms to address issues and concerns that may arise. The GEF Conflict Resolution Commissioner also receives complaints and concerns of all kinds, and complaints received from outside GEF are summarised on the organisation's website. In the past six years, 18 complaints and concerns have been received and acted upon through this function. None of these involved allegations of sexual exploitation and abuse.

The Secretariat is in the process of updating the GEF policy on environmental and social safeguards.⁴ This will set minimum standards for implementing Agencies' policies, procedures, systems and capabilities to identify, assess and prevent adverse gender-related impacts, including gender-based violence and sexual exploitation and abuse.

GEF Secretariat and IEO staff (including consultants and interns) are contractually staff of the World Bank, subject to and protected by World Bank policies and procedures on ethics, conflict of interest, anti-corruption, integrity and protection from harassment. Staff have full rights to engage the World Bank's Internal Justice System in the event an incident may arise. Under this system, the GEF Secretariat has two Respectful Workplace Advisors who are available to staff on a confidential basis at all times and are trained to help them understand their full rights of recourse under World Bank policies. Minimum core safeguard standards relating to all GEF-financed projects and operations for beneficiaries and volunteers, and a well-established two-tier system for external complainants to seek recourse and redress, ensure a safe and trusted environment internally at GEF and among its external contacts.

The World Bank recently introduced mandatory training on preventing sexual harassment that all staff, including GEF Secretariat staff, were required to receive by 30 September 2018.

3. The 2017-18 MOPAN assessment does not assess the organisation's performance with regard to preventing sexual exploitation and abuse and sexual harassment (SEAH). This topic may become an area of assessment in future cycles. In the meantime, the assessment team simply collected key facts related to SEAH safeguarding as self-reported by the organisation but did not verify the actual implementation of the instruments outlined by the organisation.

4. An updated policy on environmental and social safeguards was approved by the GEF Council in December 2018.

GEF serves the five international conventions by financing the activities that developing countries undertake to fulfil their commitments under these conventions. GEF supports developing countries by providing grants or concessional funding to meet the incremental costs of measures that generate benefits to the global environment in five focal areas: biodiversity, climate change, land degradation, international waters, and chemicals and waste.

Finances: GEF is the world's largest public funder of projects and programmes that aim to benefit the global environment. The GEF Trust Fund is the primary source for grants made by GEF. This is replenished every four years through contributions from donor countries. GEF also administers two smaller trust funds.⁵ As of June 2018, GEF has provided a total of USD 17.9 billion since 1992 through these trust funds.

The agreed replenishment for GEF-7 (2018-22) is USD 4.1 billion. This compares with USD 4.4 billion and USD 4.3 billion for GEF-6 (2014-18) and GEF-5 (2010-14), respectively. Foreign exchange volatility during GEF-6 led to a 15% shortfall in available financial resources, with consequent declines in country allocations.

Organisational change initiatives: The most significant recent organisational change was the increase in the number of GEF agencies from 10 to 18 between GEF-5 and GEF-6. A shift towards organising teams by region, rather than by so-called technical siloes within the Secretariat, took place during GEF-6. But in other respects, organisational change has been incremental. No major organisational change initiatives are in process or planned.

1.3. THE ASSESSMENT PROCESS

Assessment framework

This MOPAN 3.0 assessment covers the period from 2016 to mid-2018 in line with the MOPAN 3.0 methodology, which can be found on MOPAN's website.⁶ The assessment addresses organisational systems, practices and behaviours, as well as results achieved. It focuses on the five performance areas presented in Box 2. The first four relate to organisational effectiveness, and each has two key performance indicators (KPIs). The fifth performance area relates to effectiveness of development, humanitarian and normative work and is comprised of four KPIs.

Applying the MOPAN methodology to GEF

The MOPAN 3.0 methodology was applied with a minor adjustment to reflect the realities of GEF's mandate and operating systems. GEF is a multilateral mechanism operated by an international partnership of 18 implementing Agencies, its 183 member governments and others. It is not a multilateral organisation. This makes it challenging to apply some parts of the MOPAN methodology.

This assessment of performance covers the GEF mechanism and falls in the mid-years of the GEF 2020 strategy running from 2014. It references policy documents dating from before this period where necessary, but with a focus on the central part of the GEF structure – the Secretariat, STAP and IEO – and the policies, practices and results of GEF as reported and evaluated centrally. While GEF sets minimum standards for the implementing Agencies, each agency has its own policies, staff and practices. It was not feasible to assess the implementing Agencies, governments or other partners as part of this MOPAN assessment. In common with other MOPAN assessments, the governance of GEF was not covered, although full use was made of Council documents.

Several other features of GEF required some interpretation of the MOPAN 3.0 methodology. First, environmental sustainability and climate change is a core part of the mandate and so was not assessed as a cross-cutting issue

5. These are the Least Developed Countries Fund and the Special Climate Change Fund.

6. MOPAN 3.0 Methodology Manual, 2017-18 Assessment Cycle, www.mopanonline.org/ourwork/ourapproachmopan30/.

Box 2: Performance areas and key performance indicators

| Aspect | Performance area | Key performance indicator (KPI) |
|------------------------------|-------------------------|--|
| Organisational effectiveness | Strategic management | KPI 1: The organisational architecture and the financial framework enable mandate implementation and achievement of expected results |
| | | KPI 2: Structures and mechanisms support the implementation of global frameworks for cross-cutting issues at all levels |
| | Operational management | KPI 3: The operating model and human and financial resources support relevance and agility |
| | | KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency and accountability |
| | Relationship management | KPI 5: Operational planning and intervention design tools support relevance and agility within partnerships |
| | | KPI 6: Partnership working is coherent and directed at leveraging and/or ensuring relevance and the catalytic use of resources |
| | Performance management | KPI 7: The focus on results is strong, transparent and explicitly geared towards function |
| | | KPI 8: The organisation applies evidence-based planning and programming |
| Development effectiveness | Results | KPI 9: Development and humanitarian objectives are achieved, and results contribute to normative and cross-cutting goals |
| | | KPI 10: Interventions are relevant to the needs and priorities of partner countries and beneficiaries, and the organisation works towards results in areas within its mandate |
| | | KPI 11: Results are delivered efficiently |
| | | KPI 12: Results are sustainable |

(Micro-indicator [MI] 2.1b). Second, most GEF-supported projects and programmes aim to produce environmental benefits and do not have target groups (MI 10.1). To the extent that there are identifiable beneficiaries, accountability rests with the implementing Agencies rather than with GEF. MI 6.7 has been considered as non-applicable for this reason. Third, as GEF by definition operates as a partnership, some of the partnership indicators were considered to be non-applicable (MIs 6.5 and 6.8). Every GEF funded activity can be considered a partnership between GEF, the relevant

Implementing Agency and the national government of the host country. MIs 6.5 and 6.8 have been considered as non-applicable to this assessment as they cover areas which are deemed as a central part of the GEF operating model.

Lines of evidence

This assessment relies on two lines of evidence: a document review and staff interviews. The assessment team collected and analysed these in a sequenced approach, whereby each layer of evidence was informed by, and built on, the previous one, wherever possible. An online survey of partners also was conducted, but the response rate was too low to provide a body of reliable information.

- The assessment team collected and reviewed a significant body of evidence. Annex 2 includes a list of the 91 documents utilised as part of the GEF assessment, though more than this were screened for inclusion. Results documentation includes eight independent evaluations commissioned or conducted by GEF – including the fifth and sixth comprehensive evaluations in the Overall Performance Study (OPS) series, OPS5 and OPS6 – and eight internally-produced results reports.

- Interviews and consultations were carried out in Washington, DC, in May 2018 with 31 Secretariat staff, 2 Independent Evaluation Office (IEO) staff, 1 representative of the STAP Secretariat, 1 World Bank Trustee, 2 World Bank Human Resources staff, and staff of 2 implementing Agencies. Staff at a further three implementing Agencies were interviewed remotely.

Discussions were held with the institutional lead of the GEF assessment as part of the analytical process and to gather insights on current priorities for the organisation from the perspective of MOPAN member countries.

General information about the sequence and details related to these evidence lines, the overall analysis, and the scoring and rating process, as applied to GEF, can be found in the MOPAN 3.0 methodology.

Limitations

The overall limitation of this assessment is therefore that it is heavily based on central documentation and opinion. It was not feasible to assess the implementing Agencies, governments or other partners as part of this MOPAN assessment. More evidence from the Agencies, and particularly from the countries themselves, would have improved this assessment. It was not possible to review more than a very small sample of recent intervention designs. The comprehensive coverage of the IEO OPS5 and OPS6 evaluations goes a substantial way to offsetting this and other limitations. However, the 91 documents reviewed still include a relatively small proportion of IEO evaluations.

It was not feasible to review a representative sample of GEF intervention designs as part of this assessment. However, the MOPAN assessment team reviewed a purposive sample of five recent project identification forms, selected to represent the variety of GEF projects, and evaluation reports for findings relating to intervention design.

No documentary or interview evidence was found for a small number of the assessment elements, in part because no individual project/programme reports/evaluations were reviewed. These elements were marked as “no evidence” (N/E) and not included in the ratings.

Finally, the interview evidence is largely derived from the Secretariat and the IEO. Only a limited number of interviews were carried out with the STAP and the implementing Agencies. No interviews were carried out with other partners, notably member governments, civil society organisations or the private sector. The fact that the online survey did not generate usable evidence is a further limitation.



2. DETAILED ASSESSMENT OF GEF PERFORMANCE

Chapter 2. Detailed assessment of GEF performance

The performance is assessed on four dimensions of organisational effectiveness – strategic, operational, relationship and performance management – and on the results achieved by the organisation. These findings are constructed against the organisation's own strategic plan and performance indicators.

In this way, organisational effectiveness relates to a blended assessment of intent, effort and response. Organisational intent is expressed through commitments, strategies, policies and plans. The organisational effort is that which the organisation puts behind a particular agenda for performance and improvement including guidance issued. The organisational response is its reaction to the effects of this effort in relation to changing organisational direction, practice and behaviour.

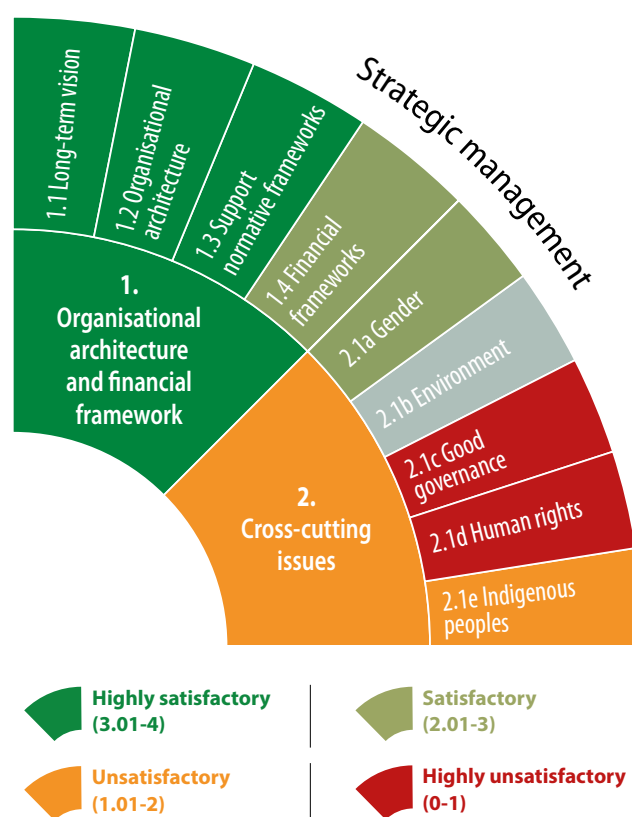
Organisational effectiveness is juxtaposed alongside development effectiveness. The latter refers to the extent to which the organisation is making a difference in ways that reflect its strategic objectives and mandate.

2.1. ORGANISATIONAL EFFECTIVENESS

PERFORMANCE AREA: STRATEGIC MANAGEMENT

Clear strategic direction geared to key functions, intended results and integration of relevant cross-cutting priorities.

The combination of the 2020 Strategy and the plans produced as part of each four-year replenishment process provides a clear and considered strategic framework for the Global Environment Facility (GEF) that is consistent with its mandate to provide enabling support to five multilateral environmental agreements (MEAs). The organisational architecture and operating model have evolved over time and are regularly reviewed and currently appropriate. However, funding for GEF is constrained, declining and, given the scale of global environmental challenges, inadequate. GEF has prioritised gender and indigenous peoples as cross-cutting issues, although there is room for further improvement. Good governance and human rights, except in relation to indigenous peoples, have not been prioritised in GEF standards.



KPI 1: The organisational architecture and the financial framework enable mandate implementation and achievement of expected results.

This KPI focuses on the extent to which GEF has articulated a coherent and strategic vision of how and for what purpose it has organised its human activity and capital assets to deliver both long- and short-term results.

The combination of the 2020 Strategy and the plans produced every four years as part of the replenishment process provides a clear and well-considered strategic framework that reflects the comparative advantage of GEF.

The GEF 2020 Strategy produced in 2014 outlines a vision for GEF and five strategic priorities. The most significant of these priorities is a strategic focus on the drivers of environmental degradation. The programming documents and results framework for the sixth replenishment period (GEF-6), covering 2014-18, and now for GEF-7, covering 2018-22, constitute four-year strategic plans consistent with the GEF 2020 Strategy. The extensive discussions among participants⁷ during the replenishment process for the GEF Trust Fund ensure that the strategic plans remain relevant and build on emerging implementation experience. The plans also show evidence of evolving in line with changes in GEF's comparative advantage, notably its unique position as a financing mechanism for MEAs. This is shown by the reduced financial allocation to the climate change focal area in GEF-7 in response to the operationalisation of the Green Climate Fund.

GEF's organisational architecture and operating model are appropriate to support the multilateral environmental agreements within its mandate. GEF provides financial support to enable compliance with five MEAs: the Convention on Biological Diversity (CBD), the United Nations Framework Convention on Climate Change (UNFCCC), the United Nations Convention to Combat Desertification (UNCCD), the Stockholm Convention on Persistent Organic Pollutants (POPs) and the Minamata Convention on Mercury. GEF's organisational architecture allows it to respond to the respective priorities of these conventions. It also has evolved over time, with the most significant change being the expansion in the number of implementing Agencies from 3 to 18 over the 1991-2015 period to increase access and choice for underserved countries.⁸

Resource allocation is comprehensively discussed every four years, reviewed annually and transparent at the macro level. GEF faces multiple demands on its limited resources. The detailed debate over allocation of resources that takes place every four years as part of the replenishment process is therefore necessary and valuable. The system of country allocations as determined via the System for Transparent Allocation of Resources (STAR) is another strength of GEF. The STAR formula is reviewed as part of each replenishment and revised to reflect the views of participants. Revisions to the STAR formula in GEF-6 increased the share of resources for least developed countries (LDCs) and small island developing states (SIDSs).⁹

The resources available to GEF are inadequate given the scale of global environmental challenges covered by the MEAs that GEF serves. As emphasised in the 2020 Strategy and in the comprehensive evaluations of GEF carried out during its Fifth and Sixth Overall Performance Studies (OPS5 and OPS6), the global environment continues to deteriorate. Limited GEF resources are spread over multiple focal areas, 5 MEAs and more than 140 countries. Donor commitments to GEF-7 are lower in cash terms, and even lower in real terms, than in GEF-5 or GEF-6.¹⁰ This combination – a degrading global environment, multiple mandates and focal areas, a requirement that GEF provide

7. Invited participants are existing and potential Contributing Participants; four representatives from non-donor recipient countries representing Africa, Asia, Eastern Europe and Central Asia, and Latin America and the Caribbean; two NGO/CSO representatives, each representing a donor country-based NGO/CSO, and another representing a recipient country, two representatives of the private sector, and representatives of GEF Agencies and the conventions for which GEF serves as a financial mechanism.

8. Most GEF funds are still concentrated on a small number of implementing Agencies. In December 2018, the Council decided to set up a working group to address this issue.

9. This trend continued with further amendments to the STAR formula approved by the Council in June 2018.

10. Real values depend on the exchange rate used. As of June 2018, the GEF-7 envelope was valued at USD 4,068 million and the GEF-6 envelope at USD 3.995 billion. This compares with reported replenishments of USD 4.433 billion and USD 4.250 billion for GEF-6 and GEF-5, respectively.

funding for most member countries, and an inadequate and declining level of funding – is a considerable strategic challenge for GEF. The changing environmental financial landscape (e.g. the Climate Investment Funds, Green Climate Fund and the new multilateral development banks) potentially provide additional sources of finance.

KPI 2: Structures and mechanisms support the implementation of global frameworks for cross-cutting issues at all levels.

This KPI looks at the articulation and positioning within GEFs structures and mechanisms of the cross-cutting priorities to which the organisation is committed, in pursuit of its strategic objectives.

GEF sets minimum standards for some, but not all, internationally recognised cross-cutting issues. Minimum standards relating to the environment, gender and indigenous peoples (IPs) have a long history at GEF. Standards relating to governance and human rights (except with respect to IPs) have not been viewed as equivalent priorities. This may change as a result of the current review of the Minimum Standards on Environmental and Social Safeguards.

The policies, structures and mechanisms for the cross-cutting issue of gender equality have improved but require further action. GEF first published a policy on gender mainstreaming in 2012, and evaluations have found some improvement in gender performance since then. A post of Gender and Social Issues Coordinator within the Secretariat and a Gender Partnership involving the GEF agencies have been beneficial. However, OPS6 found that only a small minority of projects include a gender analysis at the design stage. GEF produced a revised gender policy in 2017. Further, one outcome of the GEF-7 discussions was an agreement that a strategy and action plan to support the effective implementation of that gender policy was required.¹¹

The treatment of indigenous peoples as a cross-cutting issue is a well-established requirement. Pressure from civil society partners has ensured that indigenous peoples have been a long-standing cross-cutting issue at GEF. Obligations for implementing Agencies are clearly specified. Adherence to minimum standards relating to IPs is checked as part of the agency accreditation and project approval processes. However, OPS6 noted that subsequent monitoring and reporting are limited. As in the case of gender, additional practical guidance on policy implementation and monitoring would be beneficial.¹²

GEF has not made good governance and human rights central priorities. GEF has not put in place particular policies, structures or mechanisms for these cross-cutting issues (except in relation to indigenous peoples). This does not necessarily mean that these issues are inadequately covered by GEF Agencies, which may have their own standards and policy on these issues, or in GEF-supported projects and programmes. The MOPAN team did not assess coverage of these issues by implementing Agencies. It simply reflects the fact that the GEF has not centrally prioritised these cross-cutting issues or provided its own guidance and policy to the extent it has for gender issues or the rights of indigenous peoples.

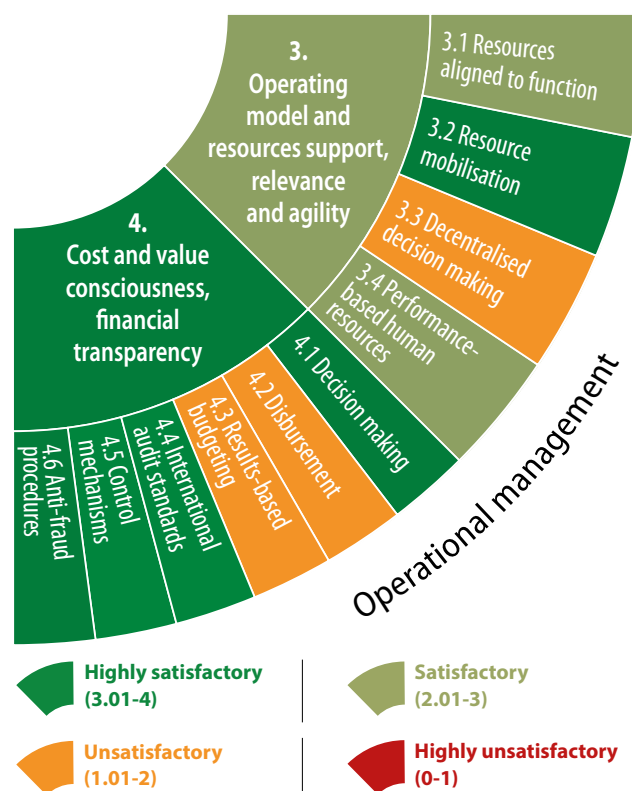
11. A new implementation strategy on gender was approved by the Council in June 2018.

12. GEF-7 project and programme templates have been updated to enable systematic capture of information related to gender, stakeholder engagement and indigenous peoples.

PERFORMANCE AREA: OPERATIONAL MANAGEMENT

Assets and capacities organised behind strategic direction and intended results, to ensure relevance, agility and accountability.

The MOPAN assessment team rated as satisfactory GEF's alignment of structures and staffing, resource mobilisation efforts, and human resources systems and policies. A wider skill base may be required in the GEF Secretariat and the Scientific and Technical Advisory Panel (STAP) in line with the challenges presented by the 2020 Strategy and integrated programming. Decentralised decision-making on resource allocation and programming is limited, and replenishment participants have recommended some increase in country-level flexibility for GEF-7. Programming decisions are decentralised to countries but within centrally agreed priority areas and subject to central technical approval. Decision-making on resource allocation at the macro level is rated as highly satisfactory. Overall allocations to priority areas, and country allocations via the STAR, are extensively discussed and revised every four years as part of the replenishment process. The MOPAN assessment team has high confidence in GEF's financial procedures and standards. More effective engagement with the private sector is a recognised priority.



KPI 3: The operating model and human and financial resources support relevance and agility.

This KPI focuses on how key operational functions (e.g. human resources, resource generation and programming) are continuously geared to support strategic direction and deliver results.

The Secretariat structure has evolved to match the 2020 Strategy and current priorities. Interviews indicate that the Secretariat has evolved towards a stronger regional/country orientation and away from technical silos. This is in line with the greater emphasis on country priorities and on multi-focal area, integrated programming in GEF-6 and GEF-7.

Human resources systems and policies are robust. GEF Secretariat and Independent Evaluation Office staff are contractually World Bank staff and subject to the same high standards of human resources management. Safeguarding policies and procedures are rigorous, and all staff are required to take further compulsory training (Box 1). These findings correspond to the satisfactory rating given to the World Bank's human resources systems and policies in the 2015-16 MOPAN Institutional Assessment Report for the World Bank.

Social science expertise in both the GEF Secretariat and the STAP is relatively limited. The 2020 Strategy identified the need to address the drivers of environmental degradation as a strategic priority. These drivers are largely social, economic and political in origin and substantially derive from actions, both large-scale and small-scale, of the private sector. This is well recognised in three impact programmes identified for GEF-7: food systems, land use and restoration; sustainable cities; and sustainable forest management.

A focus on non-technical drivers creates new and different demands not yet adequately reflected in the disciplinary structure and composition of the Secretariat and STAP.

Programming decisions are appropriately decentralised to countries but are within centrally agreed priority areas and subject to central technical approval. As is the case in many organisations and mechanisms, there is very evident tension in GEF between the need for central strategic direction, programme quality control and accountability on one hand, and the benefits of decentralised decision-making to ensure local ownership and relevance on the other. The balance between centralised and decentralised decision-making is the subject of periodic review as part of the replenishment process. An example of such review is the recommendation for some increase in country-level flexibility that emerged from discussions around GEF-7.¹³ This reflected a perception in some quarters that the level of decision-making autonomy available to countries was insufficient.

The GEF operating model ensures country-level relevance but remains slow. The operating model of GEF, whereby projects are designed by partners at the country level and are responsive to national priorities, ensures a high level of relevance. OPS6 concluded that GEF focal area interventions are strongly aligned with country priorities. However, GEF is more operationally relevant than agile. OPS5 heavily criticised its slow project cycle, noting that half of approved project concepts take more than two and a half years to reach project concepts implementation. OPS6 reported only some improvement. GEF-7 discussions agreed that there is further scope to accelerate the project cycle and to improve the monitoring of operational progress.¹⁴

GEF has a strong record on project co-financing, but it has struggled to increase the overall level of financial resources available to the Trust Fund. OPS6 reported that co-financing commitments for GEF-6 projects exceed the target set by the GEF co-financing policy. However, the availability of contributions from GEF is constrained by the total size of the replenishment, which is declining in cash terms and is heavily dependent on the same core set of donors. Within that overall constraint, resource allocation decisions and systems within GEF, such as the STAR, are effective at ensuring relevance to both the MEAs and countries.

More effective engagement with the private sector is a recognised priority. The GEF-7 replenishment negotiations reiterated the need for a broader and deeper engagement with the private sector that encompasses improvements in the enabling environments, dialogue, partnerships and financing. As the OPS5 evaluation observed, achieving behaviour change in the private sector – as well as wider society – is crucial to ensuring that environmental threats are removed. Significant environmental progress requires significant behaviour change by the private sector.

The OPS6 evaluation reached a similar conclusion regarding the potential of GEF to affect private sector practices via research and regulatory reforms. Operational restrictions (e.g. project cycle processes and timelines) have resulted in a misalignment with private sector expectations and approaches, and only 43% of respondents to an IEO survey on financing and governance agreed that GEF's ability to engage with the private sector was its comparative advantage. As recognised by the Secretariat, the success of GEF requires a much broader and more effective engagement beyond financing. A private sector advisory group is being established, and a private sector strategy is to be developed by 2019.

13. Modifications to the performance-based resource allocation framework, including greater flexibility for countries to programme funds across the three STAR focal areas, were approved by the Council in June 2018.

14. A comprehensive set of remedial measures was approved by the Council in December 2018.

KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency and accountability.

This KPI examines how GEF uses its external and internal control mechanisms to meet the standards it sets on financial management and transparency.

Financial allocations are strategically driven and, at a macro level, transparent. Decision-making on resource allocation is rated as highly satisfactory. Overall allocations among focal areas are extensively discussed, reviewed and revised every four years as part of the replenishment process. For example, the recent GEF-7 discussions led to a significant reallocation of funds from the climate change focal area to other focal areas, albeit with the expectation of no reduction in climate impacts since these instead would be derived from integrated programming. Country allocations are transparently determined through the STAR, whose formula is also periodically reviewed and transparent.

There is a perception that the final financial allocation stage – project approval – is insufficiently transparent. According to some interview and evaluation evidence, the final decision as to which projects are approved, and when they are approved, is seen as insufficiently transparent. This was a particular issue when the funding shortfall arose in GEF-6, leading to some uncertainty over whether and when projects that were technically approved would be financially approved. This perception is consistent with the wider OPS6 finding that only half of stakeholder respondents to a survey on GEF governance believed that operational decision-making was appropriately transparent.

While financial disbursements are tracked, no explicit disbursement targets at the corporate level exist. Programming allocations by focal area, region and country are tracked and reported in the Corporate Scorecard. Project-level disbursements are monitored by implementing Agencies, and any significant divergence from the replenishment plan is reported annually and/or at the mid-term review. The time between Chief Executive Officer (CEO) approval of a project and the first disbursement is also tracked and reported. However, there are no disbursement targets as such.

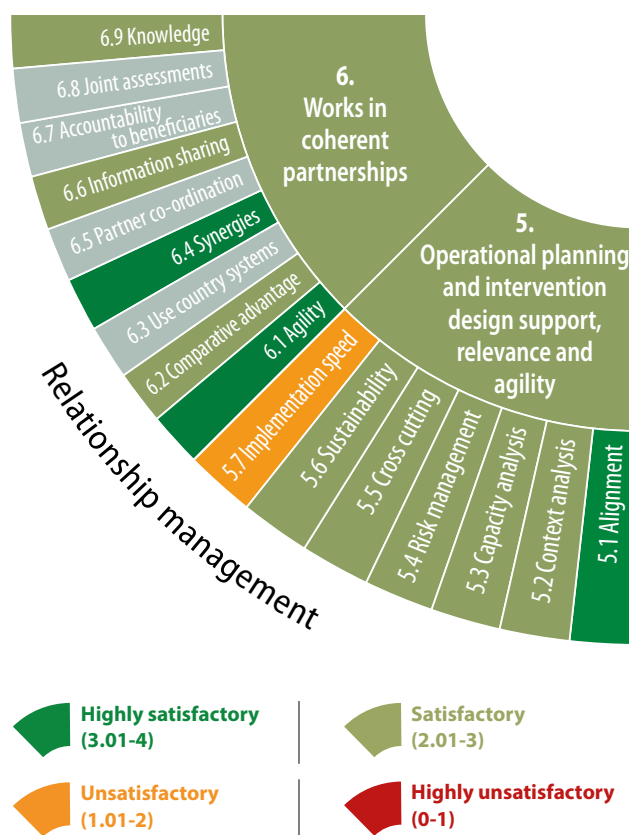
GEF is very value-conscious but does not use results-based budgeting. GEF is clear in its ambition to provide greater results for the global environment and improved value for money, and more so in GEF-7 than in GEF-6. GEF-7 results targets exceed those for GEF-6, for a lower total budget. However, while financial resources and intended results are clearly presented, they are presented separately and are not linked. For example, projected GEF-7 results for the 11 core results indicators are clearly presented, as are the resources for each focal area and impact programme, but the resources by result are not presented. As most projects and programmes contribute to more than one type of result and programming decisions are decentralised, it is acknowledged doing so may not be feasible or relevant.

There is high confidence in the financial procedures and standards of GEF. External audits and internal procedures all comply with international standards. World Bank policies and procedures effectively prevent any financial irregularities, and there are clear policies and processes for handling and reporting any concerns that arise. These findings are consistent with the 2015-16 MOPAN Performance Assessment of the World Bank, which concluded that its accountability and internal control architecture was highly developed and effective. The GEF Minimum Fiduciary Standards clearly specify what is required of implementing Agencies in terms of financial procedures and controls. This assessment, however, did not extend to the implementing Agencies.

PERFORMANCE AREA: RELATIONSHIP MANAGEMENT

Engaging in inclusive partnerships to support relevance, to leverage effective solutions and to maximise results (in line with Busan Partnerships commitments).

GEF is by definition a partnership organisation. The breadth and depth of the GEF partnership, and its engagement in the policy and programming discussions that inform each four-year replenishment of the GEF Trust Fund, is a significant strength. The alignment of interventions with national priorities is rated as highly satisfactory, although some concern has been expressed about transparency in decision-making within the partnership. Capacity analysis, risk management, some cross-cutting analysis and sustainability measures were rated as satisfactory. Improvements in project cycle efficiency have been slow, although GEF recently approved additional measures to accelerate the preparation of projects and programmes. GEF recognises it needs to improve knowledge and information management.



KPI 5: Operational planning and intervention design tools support relevance and agility within partnerships.

This KPI focuses on the scope and robustness of GEF's processes and practice to support timely, flexible and responsive planning and intervention design for partnerships.

The micro-indicators that make up KPI 5 are not entirely applicable to the GEF operating model. GEF is responsible for disbursing funds to its implementing Agencies, and these agencies are responsible for operational planning and intervention design. The intervention design process followed by the Agencies must adhere to GEF minimum standards and is subject to a robust review and revision process by the GEF Secretariat.

The MOPAN team did not assess any full intervention designs as part of this review. For the purposes of this assessment of KPI 5, the GEF templates, requirements and review process for intervention design were examined.

Interventions are strongly aligned with national priorities. All project concepts developed by GEF implementing Agencies are prepared at the request of and in consultation with the relevant national institutions. To ensure alignment with national priorities, the GEF Project and Programme Cycle Policy requires all GEF-funded activities to have the endorsement of the relevant operational focal point (typically a minister or senior government official), which is submitted as part of the project identification form (PIF) process. The review process conducted by the GEF Secretariat following PIF submission also is required to consider whether the project is consistent with national strategies and priorities. The OPS6 evaluation found that GEF-funded focal area activities and country programmes were strongly aligned to national priorities.

Risk management, some cross-cutting analysis and sustainability measures are satisfactory but with some limitations. The sixth replenishment period (GEF-6) PIF template requires a project description that covers several factors related to the operating context, among them the global environmental problem, root causes and barriers, the

baseline scenario, additional or incremental cost reasoning, and expected global environmental benefits. A review of five completed PIFs for the GEF-6 period suggests that, in practice, PIFs contain a suitable level of information on the operating context. This review also suggests that while the PIF template does not explicitly require information on governance issues, governance issues are conveyed as necessary.¹⁵

The PIF requires information on whether the project will consider gender equality and women's empowerment and a description of how these issues are to be mainstreamed into the project. The 2017 report *Evaluation of Gender Mainstreaming in the GEF* found that 43 of the 281 projects completed since OPS4 should have considered gender but did not. The report recommended the GEF Secretariat explore a more systematic way to determine the gender relevance of projects. The PIF requires information on whether a project design will include the participation of relevant stakeholders from civil society and indigenous peoples. If appropriate, the PIF requires the identification of key stakeholders and a description of their engagement in the project's design and preparation. The PIF requires no analysis on issues relating to good governance.

The PIF template requires a sufficient analysis of potential risks in project design and the identification, where possible, of mitigation measures. The OPS6 evaluation noted that the GEF Secretariat's ability to maintain an overview of the level of risk across its project portfolio could be improved. Currently, the Secretariat is informed of potential risks and impacts ex ante; risks are not systematically tracked at the portfolio level.

The importance of sustainability is emphasised in all GEF-funded activities. The PIF requires a project description that includes, inter alia, innovation, sustainability and potential for scaling up. A review of five PIFs completed for the GEF-6 period suggests that, in practice, issues pertaining to sustainability are analysed in detail.

The GEF process of PIF submission and review is, on paper, less rigorous in its requirements pertaining to capacity analysis. The GEF-6 PIF template does not explicitly require a formal capacity analysis of any kind. It is noted, however, that the MOPAN review found no examples of reviews or evaluations that highlight an insufficient level of capacity analysis within the design of GEF-funded activities.

Progress on enhancing the speed of implementation has been limited. GEF monitors and reports on the efficiency of the GEF programme cycle in moving from PIF submission to approval, and it benchmarks this information from one replenishment period to the next. Further, GEF set an 18-month target for moving projects from Council approval to CEO endorsement. Benchmarking has found that the pace of moving projects from submission to approval slowed from GEF-5 to GEF-6 due to the GEF-6 funding shortfall. In response, GEF issued new guidelines for programme and project cycle management in 2017 and made adjustments to the cancellation policy. It is too early to assess the effect of all these changes, although the Secretariat reports that the revised cancellation policy has led to improvement.

KPI 6: Partnership working is coherent and directed at leveraging and/or ensuring relevance and the catalytic use of resources.

This KPI looks at how GEF engages in partnerships to maximise the effect of its investment resources and its wider engagement.

GEF operates collaboratively and recognises the importance of locating synergies and points of leverage. Collaborative working and the exploitation of synergies are central to how GEF operates. GEF's stated aim is to only fund the additional, or incremental, costs of activities that generate benefits to the global environment. The 2020 Strategy recognises the importance of leveraging synergies, describing the need for GEF to ensure maximum

15. All templates have been updated for GEF-7.

complementarity with other players and instruments. Co-financing is key to how GEF operates. It also is required for all full-sized and medium-sized projects and programmatic approaches. The co-financing policy, which became operational in GEF-6, targets a 6:1 level of co-financing across the portfolio.¹⁶

One focus of the planning and programming of the GEF-7 replenishment period is on advancing opportunities for greater synergies. An important tool in this regard is the newly introduced impact programmes. These aim to concentrate resources on the areas in which GEF can have the greatest impact and to help countries to achieve greater levels of transformational change with the resources available through integrated and holistic approaches. The impact programmes build on lessons learned from previous experience with multi-focal area projects and the integrated approach pilots.

Some concern has been expressed about transparency in decision-making within the GEF partnership. As noted in the findings on KPI 4, the OPS6 evaluation found that GEF is a transparent organisation in terms of governance but that a significant number of stakeholders believe operational decision-making is not sufficiently transparent. Stakeholders have expressed concerns around the clarity and communication of programming decisions, project review criteria, project selection, the initial preparation of the integrated approach pilots in GEF-6 and the early stages of development of the GEF-7 impact programmes. OPS6 found that STAR has generally enhanced transparency in resource allocation, although some implementing Agencies have requested greater transparency on how project approval decisions are made, such as when a technically approved project does not receive funding.

Information is lacking on the extent to which implementing Agencies take up knowledge products to inform action or advocacy. GEF makes clear in its organisational documentation that it considers the knowledge it generates to be a primary asset and essential to it making a lasting impact. In a study conducted for the OPS6 evaluation, respondents expressed satisfaction with the utility of GEF knowledge products; two-thirds of respondents have used these products in the drafting of technical and strategy documents, project design, awareness raising, and the formulation of new policy and regulations. Apart from this survey, little information is available on the uptake and use of knowledge produced by GEF.

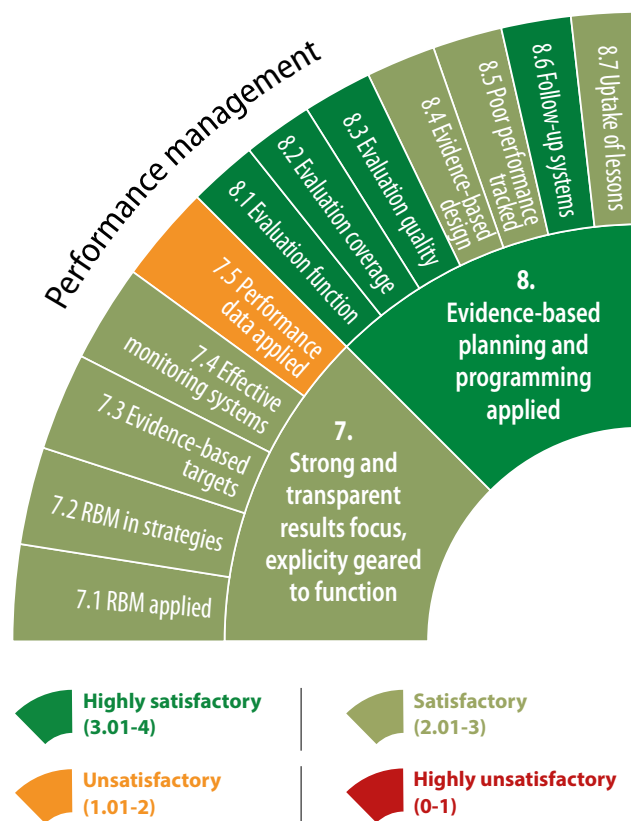
GEF recognises there is a need to improve knowledge and information management. The OPS6 found that GEF produces useful knowledge but that inconsistent storage practices limit its uptake and use. GEF project knowledge is difficult to access due to its fragmentation. The GEF Secretariat has limited resources assigned to knowledge management, with only one full-time post currently assigned to this area. Participants in the recent GEF-7 replenishment negotiations made note of GEF efforts in GEF-6 to improve knowledge management systems and practices and to increase focus on learning and knowledge exchange. A new information management portal was launched in July 2018.

16. An updated policy on co-financing, which further raised the level of ambition, was approved by Council in June 2018.

PERFORMANCE AREA: PERFORMANCE MANAGEMENT

Systems geared to managing and accounting for development and humanitarian results and the use of performance information, including evaluation and lesson learning.

There is a clear commitment to results-based management (RBM) in GEF, and the RBM system has played a strong role in accountability and reporting. However, until recently, the system has been under-resourced, which has limited its role in supporting evidence-based decision-making and learning. The Independent Evaluation Office's comprehensive OPS evaluations have been particularly valuable, but there is scope to improve lesson learning from successful and unsuccessful practice and to strengthen knowledge management more generally. A new information technology platform – the GEF Portal –, introduced in July 2018, is intended to improve accuracy and quality assurance of results data. A case can be made for an articulated theory of change to assist in the tracking of outcomes and impact as well as for a clearer and more comprehensive multi-level results framework for each replenishment period.



KPI 7: The focus on results is strong, transparent and explicitly geared towards function.

This KPI looks at how GEF transparently interprets and delivers an organisation-wide focus on results.

There is a clear commitment to results-based management in GEF, although, until recently, the system had been under-resourced and understaffed. Despite the central place of RBM in the GEF 2020 Strategy, until the GEF-6 period, the resources allocated to deliver it were inadequate in terms of people, training and finances. There is evidence from OPS6 that this is being addressed. Greater resources have been made available in the form of a strengthened RBM team and the introduction of the Corporate Scorecard in May 2016. An RBM specialist was also brought on board to lead the team in September 2016. It is too early to tell whether this increase in resourcing is adequate. A strong incentive to use the RBM approach in project planning is that GEF projects will not be approved unless they make a clear link to key objectives in the GEF results frameworks, including focal area frameworks. The GEF RBM team remains small and despite significant efforts to build staff capacity, resource gaps remain for monitoring and evaluation and for knowledge management.

Recent streamlining efforts are intended to reduce the previously complex reporting burden. The GEF 2020 Strategy details a more streamlined and effective system for results management that focuses on a set of core indicators designed to improve managing for results. For GEF-6, there has been streamlining at the corporate level with reporting only on core targets, but improvements can still be made at the project level. The proliferation of indicators which occurred during GEF-4 and GEF-5 in response to stakeholder demands was considered a serious delaying factor. The GEF-5 Project Management Information System was considered inadequate and resulted in data gaps and poor quality information for several focal areas; most tracking tools were simplified after OPS5.

Improvements have focused on simplifying the results architecture with fewer, more reliable indicators and clearer technical definitions better suited to busy agency staff with limited time to report. However, ongoing GEF-4 and

GEF-5 projects still must report against the indicators in the lengthy tracking tools. The GEF-7 replenishment resource allocation scenarios indicate that GEF intends to further strengthen results-based management. The recent GEF-7 Programming Directions and Policy Framework outlines a new high-level results framework for the new replenishment period. The aim of the new GEF Portal launched in July 2018 is to improve accuracy and quality assurance of results data by replacing the manual uploading of files with online reporting.

The four-year replenishment cycle regularly updates results targets. Results targets are reviewed every four years as part of the replenishment process. Baselines are a mandatory element of the project implementation form (PIF). The programme indicators are closely linked to conventions and there is clear guidance on setting these results targets and indicators. Monitoring and reporting are currently done at three levels: at the project level and focal area level and for an overall replenishment cycle. Performance results are discussed with the GEF Council via the Annual Portfolio Monitoring Report (APMR), the Annual Performance Report from the IEO and the Corporate Scorecard.

A case can be made for an articulated theory of change to assist in the tracking of outcomes and impact. The OPS6 evaluation cited a lack of a clear, overall theory of change as a GEF weakness. This results in inconsistency in the expression of global environmental benefit targets, hampering programme-level monitoring and evaluation. The more consistent theories of change to be developed for the impact programmes should help to more clearly articulate the programmes' outcome and output level results. GEF is in line with other organisations in terms of the indicators tracked and reported at the corporate level. However, no indicators for long-term impacts and trends exist. This is exacerbated by the lack of an overarching GEF theory of change and is likely to constrain future impact assessments for GEF. Currently, the corporate, focal area and project levels are connected: results at the project level contribute to focal area and corporate results within a replenishment cycle, while tracking tools effectively link project results with focal area and corporate results. However, an agreed theory of change could better articulate these causal linkages.

GEF has not had a clear and comprehensive multi-level results framework for each replenishment period. The 2020 Strategy presents a summary of the global environmental trends. GEF-6 and GEF-7 had corporate-level outcome targets, now simplified to 11 core indicators for the GEF-7 results framework. Starting in GEF-6, a Corporate Scorecard has tracked these outcome targets along with programming and a number of efficiency and effectiveness indicators. A single strategic results framework that links these three levels – global environmental trends, GEF outcomes, and GEF efficiency and effectiveness – would bring GEF in line with good multilateral practice and facilitate reporting, evaluation and strategic discussion.

Incorporation of results in reporting and planning is limited by the long approval process and duration of projects in implementation. The APMR is the most important tool for annual reporting to the Council and the GEF conventions and provides some commentary on progress over time and areas of strong performance. The Corporate Scorecard was developed to help management make informed decisions. However, the focus in GEF is on planned results, with limited reporting of actual, achieved results. For example, there are no GEF-6 replenishment reports on results achieved. The GEF-5 RBM framework was considered a delaying factor by OPS5, with the GEF approval system crippled by too many elements, indicators and measurements. While OPS6 reported that such issues were addressed in the corporate results framework for GEF-6, the long feedback loop between project initiation and completion means that data are not available in a timely fashion. Incorporating results into reporting and planning remains a challenge that is likely to continue for some time.

Historically, GEF has not been able to adjust interventions based on performance data because staff lacked the necessary level of detail and saw this as the role of implementing Agencies. Information generated through the RBM system is not being used for strategy development and decision-making to the extent it could be. The extended time spent under implementation limits reporting on actual results against targets and thus the use of results data in planning processes. Going forward, focus on focal area portfolios will increase, and low scores will prompt discussion with the technical team.

A greater focus on the application of learning from successful and unsuccessful practice is required. Reporting has centred more on presenting successes and less on analysis and challenges encountered, reflecting an overall reluctance to address what did not work. The results data are adequate for accountability purposes but not for learning lessons from practice. Too many data points are still being tracked, and the system does not provide useful feedback on the performance of agencies. The GEF Secretariat does not get results data on the majority of GEF-funded projects as terminal reports have not been provided for a significant proportion of the projects. The role of the GEF RBM system in supporting evidence-based decision-making has been limited, relative to its role in accountability, communications and reporting.

KPI 8: The organisation applies evidence-based planning and programming.

This KPI focuses on the evaluation function, its positioning within the GEF structure, attention to quality, accountability and putting learning into practice.

The Independent Evaluation Office (IEO) ensures the quality and focus of GEF's monitoring and evaluation systems.

The IEO's role is to ensure the quality and focus of monitoring and evaluation systems, conduct independent evaluations, and share evaluative evidence within GEF. The independence of the IEO's evaluation function and budget guarantees that data gathering, analysis and judgments on criteria, findings and recommendations are not influenced by conflicts of interest or undue interference by management at any level. The IEO reports directly to the GEF Council by providing annual and semi-annual summaries of evaluation findings for a given period. Evaluation in GEF is guided by internationally recognised professional standards. The IEO Evaluation Policy guides the implementation of different categories of evaluation, and the IEO also provides guidelines to GEF partner agencies on the preparation of terminal evaluations. A four-year work programme and budget present the strategy, evaluations and other work of IEO for a given replenishment period, notably the comprehensive OPS evaluations conducted every four years to inform the next replenishment.

Project evaluations are variable in quality and are often not shared with IEO. Project evaluations are the responsibility of the implementing Agencies, although such evaluations must meet GEF standards. These project evaluations vary in quality and independence, depending on the policies and abilities of the agency in question. The GEF IEO establishes appropriate quality assurance mechanisms for its major evaluations in line with international evaluation standards. The IEO also has co-developed, with GEF agencies' evaluation offices, a sound quality assurance mechanism for project evaluation reports, but it does not often challenge their findings.

Performance data on completed projects are available on fewer than half the projects financed by the GEF.

As of December 2016, 1 184 terminal evaluations have been received by the IEO. This number compares with the total of more than 4 000 projects that were funded by GEF as of mid-2017. The low number of terminal evaluations is partly related to the long implementation period for GEF. For example, only 1% of GEF-5 (2010-14) projects had been completed when OPS6 was being written. There are also gaps in submission as acknowledged in IEO's 2017 Annual Performance report (APR), although it was noted the gap between expected and actual submissions for the GEF-3 period has reduced in 2018. Another explanation for the partial coverage is that terminal evaluations are not required for all projects, in particular enabling activities. This may explain some of the different coverage figures. Thus, while terminal evaluations are available on fewer than half of all the projects completed from GEF-1 (1994-98), GEF-2 (1998-2002) and GEF-3 (2002-06)¹⁷, the coverage for these cycles as indicated in the 2017 APR of those projects for which a terminal evaluation is required is respectively 91%, 92% and 78%. In general however, the coverage of terminal evaluations remains incomplete both in number and grant amount¹⁸, and varies by implementing agency. Measuring the impact of the GEF at the global level is thus a major challenge in terms of both methodology and data availability.

17. Terminal evaluations are available for 873 of the 1 995 projects funded during these replenishment periods.

18. As of December 2017, grant amounts covered by terminal evaluations represented respectively 42%, 53%, and 67% of total replenishment for GEF-1, GEF-2 and GEF-3.

GEF systems aim to promote lesson learning, but the long duration of projects in implementation can make it challenging to feed lessons from past interventions into new project design. The IEO works with the GEF Secretariat and GEF agencies to establish systems to disseminate lessons learned and best practices emanating from monitoring and evaluation activities. The IEO also provides independent evaluative evidence to the GEF knowledge base. A thorough, independent evaluation and assessment of GEF results and performance informs GEF replenishments. The GEF-6 PIF template includes a formal requirement to demonstrate how lessons from past interventions have been taken into account in the design of new interventions. However, in practice it is challenging to feed such lessons into new intervention designs due to the extended length of time that projects in a particular replenishment period are under implementation.

While the GEF results-based management system has played a strong role in accountability and reporting, its role in supporting evidence-based decision-making and learning has been more limited. Nevertheless, due to the small size of the Secretariat, lessons learned are shared and incorporated into new intervention designs on an informal basis, although, as noted, this is limited by the lack of project terminal evaluations. However, steps are being taken to ensure that a more comprehensive repository will be available on a timelier basis in the future (e.g. through automatic uploading of reports to the GEF Portal).

The OPS5 and OPS6 comprehensive evaluations of GEF highlighted the need to improve knowledge management. In 2015, a new workstream was established to co-ordinate knowledge management across the GEF partnership. New knowledge management activities included self-assessments, a knowledge management road map, country-level Knowledge Days, an online tool, a project-level knowledge exchange handbook and the addition of mandatory questions on knowledge management in project documents. The need for learning at both the project and corporate levels nevertheless remains largely unmet, and GEF implementing Agencies still tend to rely on their own knowledge management systems rather than knowledge generated from other agencies. However, the GEF agency evaluation units are now exchanging their evaluation work plans with the GEF IEO to identify synergies and potential for joint evaluations. There is a need to give equal weight to evaluation for accountability and for learning, which requires improved knowledge management processes.

The system for identifying and monitoring poorly performing projects has limitations. The MOPAN assessment team found little evidence of a system within GEF to identify and monitor poorly performing interventions. However, tracking tools to monitor performance at the project portfolio level have improved from the GEF-5 to the GEF-6 period, and the GEF Corporate Scorecard provides the percentage total of GEF projects that are not performing well. All GEF implementing Agencies apply their own, GEF-compliant systems to identify, monitor and address poorly performing projects. From a fiduciary perspective, the monitoring function detects, assesses and provides information to management about risks related to projects and/or activities, particularly those deemed to be at risk. GEF IEO staff commented that poorly performing projects are not really an IEO concern and accepted that this is a weakness.

Key evaluation messages have not always been available to, or absorbed by, actors in the GEF partnership. A management response is required for all evaluation and performance reports presented to the GEF Council by the IEO. This response must clearly indicate whether, and for what reasons, management either fully accepts, partially accepts or rejects the recommendations. Evaluation recommendations accepted by management and/or the GEF Council are systematically followed up and their implementation periodically reviewed. Council decisions and follow-on actions are compiled in a management action record that is provided to the Council on an annual basis. Despite these procedures, more could be done to ensure that the lessons derived from evaluations are absorbed by key actors within the GEF partnership.

All thematic evaluations undertaken during a year are consolidated in an annual thematic evaluations report that is submitted to the GEF Council and available on the GEF website. Evaluation briefs have enhanced the timely sharing of evaluation findings with country and regional stakeholders. The IEO website is frequently revised to provide new

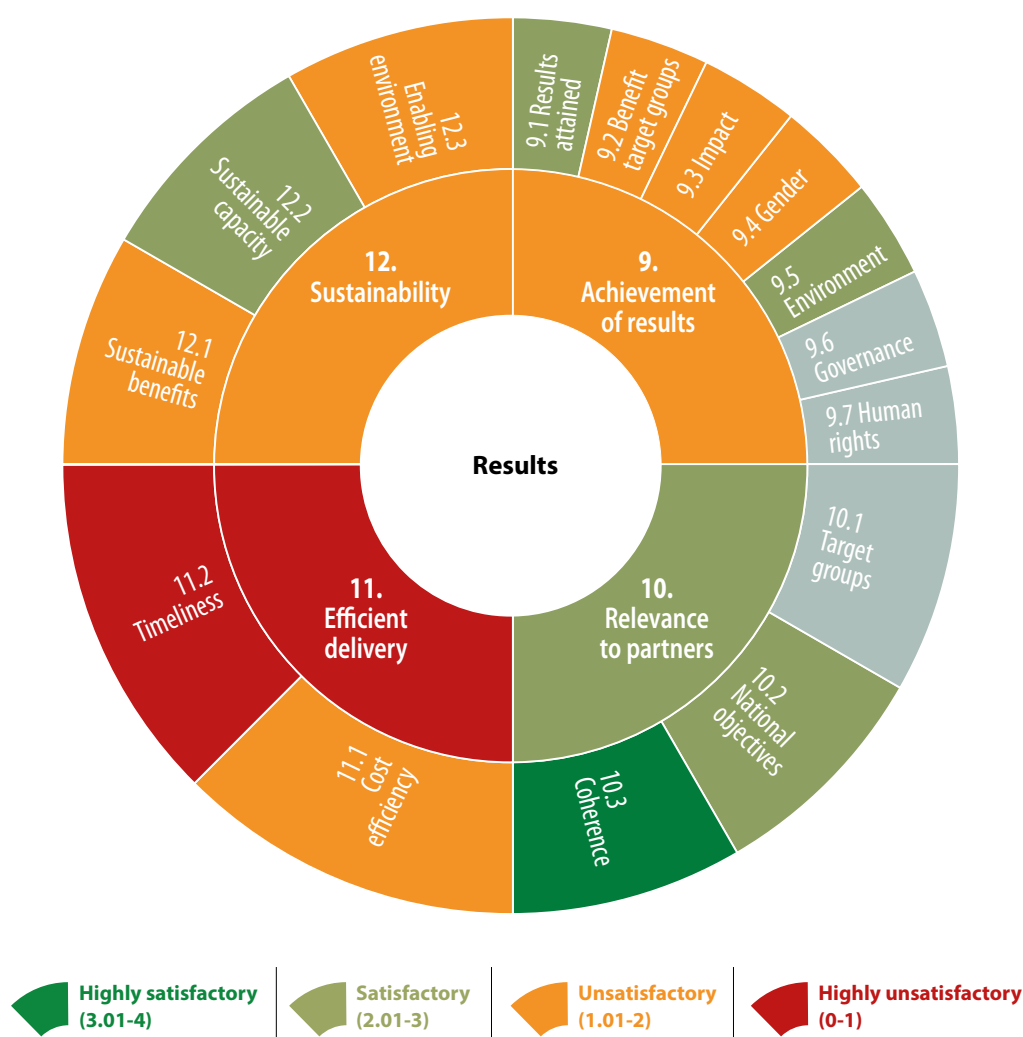
information and opportunities for evaluators and practitioners to learn about priority themes. However, the potential for this learning from evaluation is limited by a lack of face-to-face interactions between the IEO and Council members regarding the IEO work programme and by Council members' time constraints.

2.2. DEVELOPMENT EFFECTIVENESS

PERFORMANCE AREA: RESULTS

Achievement of relevant, inclusive and sustainable contributions to humanitarian and development results in an efficient way.

The MOPAN assessment of GEF results is based on a review of eight results reports and eight independent evaluations, including the OPS5 and OPS6 comprehensive evaluations. At a corporate level, GEF demonstrates strong performance in relation to expected environmental results. Satisfactory environmental outcomes have been achieved by a high percentage of GEF-supported projects for which terminal evaluations are available. Aside from its strong environmental performance, GEF's wider achievement of development results is rated as unsatisfactory. Recent investment reporting is demonstrating some improvement in the consideration of gender equality, but there is no evidence on actual performance in terms of gender outcomes. While GEF interventions are rated as highly relevant, the efficiency of the GEF project cycle has been criticised and is only improving slowly. Evidence on financial efficiency is limited. The sustainability of outcomes has been identified as the greatest challenge in GEF projects but is improving over time. There is also some evidence that GEF has achieved wider adoption of improved practices and policies.



KPI 9: Development and humanitarian objectives are achieved, and results contribute to normative and cross-cutting goals.

This KPI examines the nature and scale of the results GEF is achieving against the targets it sets and its expectations on making a difference.

Available data suggest that a high percentage of GEF-supported projects have achieved satisfactory environmental outcomes. OPS6 reported that 81% of terminal evaluations in the IEO database had satisfactory outcomes and that 59% of GEF projects achieved environmental stress reduction and/or environmental status change at project completion. These ratings confirm the good performance of GEF projects in delivering short-term to medium-term results. Focal area and regional performance varied slightly. For example, biodiversity projects performed better than international waters projects, and those in Africa performed slightly worse than projects in other regions. Outcomes in large countries (Brazil, China, India, Mexico and the Russian Federation) and in landlocked countries were better on average than those in LDCs and in SIDSs. As mentioned above however, this is based on an incomplete coverage of projects and grant amounts.

At a corporate level, GEF demonstrates strong performance in relation to expected environmental results. OPS6 reported that GEF was on track to meet most of the GEF-5 replenishment targets. Aggregated expected results from approved PIFs exceed GEF-6 targets for six out of ten results indicators. The IEO adjusts the expected results from PIF approvals to account for cancellations, implementation failure and resources programmed, but these are still expected rather than actual results. GEF does not report on the actual results achieved from any replenishment. Any estimation of actual results from previous replenishments would need to make some allowance for the majority of projects for which no terminal evaluations are available.

While focused on environmental results and therefore lacking explicit target groups, GEF programmes and projects contribute to the Sustainable Development Goals. GEF activities produce environmental benefits that play a role in achieving the aims of the Sustainable Development Goals (SDGs), particularly SDGs 2, 6, 11, 13, 14 and 15. One of the 11 core results in the updated results architecture for GEF-7 is the “number of direct beneficiaries disaggregated by gender as a co-benefit of GEF investment”. This will provide a better, albeit still limited, picture of direct benefits to people compared to previous replenishments.

Recent investment is demonstrating some improvement in the consideration of gender equality and in the gender mainstreaming performance of completed projects. OPS6 found that gender consideration at project entry has substantially improved since the introduction of the gender policy in 2012. The percentage of gender-blind projects has dropped to 1% from 64% before the policy was put in place. However, only 14% of OPS6 cohort projects included a gender analysis and/or a social assessment with gender elements. There has been only a limited increase in the percentage of projects rated as gender sensitive or gender mainstreamed, while improvement in gender mainstreaming performance in completed projects has been clear but slow. Very little evidence was available in the evaluations reviewed of the actual gender impact of projects during implementation or at completion.

Aside from its strong environmental performance, GEF’s wider achievement of development results is rated as unsatisfactory overall. This reflects a lack of compelling evidence that interventions have realised expected positive benefits for target groups (indigenous, poor and vulnerable people); contributed to significant changes in national development policies and programmes (with the exception of some positive examples); and/or improved gender equality and the empowerment of women. The MOPAN team did not assess GEF contributions to good governance and human rights due to insufficient coverage of these issues in reports and evaluations.

KPI 10: Interventions are relevant to the needs and priorities of partner countries and beneficiaries, and the organisation works towards results in areas within its mandate.

This KPI centres on the relevance of GEF's engagement given the needs and priorities of its partner countries and its results focus.

GEF interventions are highly relevant to its strategic objectives and its mandate to provide support for international environmental conventions. GEF procedures ensure close alignment with its strategic objectives as outlined in the 2020 Strategy and the plans produced as part of each replenishment. Key to these plans is the provision of financial support to developing countries to meet the incremental costs of their obligations towards international environmental conventions. Convention staff rate GEF as fundamental to the delivery of convention obligations and as mostly responsive to convention guidance. According to OPS6, the shift to multi-focal area and integrated programming has raised some concerns among convention secretariats, as these make the links to convention guidance and reporting less clear. The updated results framework for GEF-7 includes a number of sub-indicators that address this concern by facilitating analysis and reporting to the conferences of the parties of the conventions.

GEF is highly relevant and responsive to national priorities. OPS6 concluded that the expansion in the number of GEF agencies has increased the choice available to countries; that focal area interventions were strongly aligned with country priorities; and that the STAR provides access to GEF resources that enable countries to address national priority environmental issues. The increasing share of GEF resources provided to LDCs and SIDSs since GEF-4 – a trend which is due to continue in GEF-7 – has increased the relevance of GEF to these countries.

The greater focus on integrated, multi-focal area programming increases the relevance of GEF. Two of the strategic priorities of the GEF 2020 Strategy are addressing the drivers of environmental degradation and delivering integrated solutions. While there has been, and remains, some concern among the GEF partnership about the shift away from simpler and more identifiable single-focal area projects, integrated programming is assessed to be more relevant to the type and complexity of global environmental challenges. As clearly outlined in the 2020 Strategy, many global environmental challenges are interlinked and share common drivers. Although ambitious, complex and not without risk, the three impact programmes to be supported under GEF-7 are highly relevant.

GEF is relevant to all the partner agencies to some extent but is becoming less relevant to the multilateral development banks. OPS6 found that implementing agencies value GEF for the support it provides. Evaluation and interview evidence suggests that the fragmentation of GEF resources, and the sometimes slow and unpredictable project cycle, have made GEF less attractive as a source of grant finance for the multilateral development banks.

KPI 11: Results are delivered efficiently.

This KPI looks at the extent to which GEF is meeting its own aims and standards on delivering results efficiently.

The efficiency of the GEF project cycle has been criticised and is only improving slowly. OPS5 described the GEF project cycle as "notoriously slow" and said project cycle reform had failed so far. OPS6 was slightly more positive, reporting some efficiency gains during GEF-6 but saying progress in improving the project cycle had been slow. Times improved for moving projects from PIF approval to CEO endorsement, although the majority of projects still did not meet the 18-month standard. Interviewees cited the positive impact of the 2014 Cancellation Policy. The intervals between PIF submission and PIF approval grew longer, primarily due to the GEF-6 funding shortfall. GEF-7 replenishment participants recognise that there is "scope to accelerate the preparation and implementation of GEF projects and programmes".

There is limited evidence on financial efficiency in the evaluations reviewed. Most of the discussion of efficiency in GEF evaluations relates to the duration of the project approval process rather than cost efficiency. However, a slow project approval process contributes to reduced financial efficiency. The 2016 evaluation of the Least Developed Countries Fund found a negative impact on efficiency from a prolonged project approval process as well as from government instability, climate extremes and natural disasters, and co-financing requirements. OPS6 concluded that expansion of the number of agencies increased transaction cost. At the macro level, the higher level of results projected for GEF-7 compared to GEF-6, with a lower total budget, at least points to an ambition of greater financial efficiency.

GEF performs well on co-financing, which is one measure of efficiency. The GEF-6 co-financing policy targeted a 6:1 level of co-financing (i.e. USD 6 of co-financing for every USD 1 of GEF funds). OPS6 reported that commitments mobilised for GEF-6 approvals indicate an 8.8:1 level of co-financing, with approved projects in the major emerging economies mobilising co-financing at an 11:1 level.

Integrated projects may be less efficient in the absence of appropriate management. A conclusion of OPS6 was that multi-focal area, integrated programmes are associated with cost inefficiencies unless they are well managed. Performance and efficiency ratings declined with increasing programme complexity. Secretariat staff who were interviewed expressed the view that such programmes are not inevitably less efficient but do require management that is capable of dealing with complexity and has the capacity to develop and adapt a suitable implementation strategy. These views were consistent with those of IEO staff.

KPI 12: Results are sustainable.

This KPI looks at the degree to which GEF is successful in delivering results that are sustainable in the longer term.

The sustainability of outcomes has been identified as the greatest challenge in GEF projects but is improving over time. OPS6 reported considerable risks to the continuation of benefits in 38% of completed projects for which terminal evaluations were available. Although GEF-4 projects reviewed show some improvement over the previous replenishment period, this may or may not be maintained as more terminal evaluations are received. Implementation quality and country context are key factors, with likely sustainability rated as lower in Africa compared with other regions. While accepting that sustainability represents a challenge for GEF, Secretariat staff who were interviewed questioned whether the likely sustainability rate was actually poor, given the type and difficult context of GEF projects. Some staff also expressed the view that excessive emphasis on sustainability could encourage risk-averse, safe and potentially less appropriate interventions.

There is some evidence that GEF has achieved broader adoption. Governments and other stakeholders can adopt, expand or build on GEF initiatives through mechanisms other than sustaining the original outcomes or interventions. GEF projects have demonstrated transformational impact for mainstreaming and replication but less for scaling-up and market change. Most GEF projects would need additional financing – or wider partnerships with governments and the private sector – to enable scaling-up. OPS6 found that 24% of projects reviewed achieved broader adoption at a large scale and 37% achieved this at a local scale. A further 26% of projects were showing some progress. Evidence from case studies carried out by the IEO show that broader change can take many years after project completion to materialise and also that GEF's role (e.g. in supporting legal, regulatory and policy reform) can sometimes be significant. The risks to broader adoption (e.g. extreme weather or shifting political priorities) also warrant attention by GEF.



3. OVERALL PERFORMANCE OF GEF

Chapter 3. Overall performance of GEF

The performance conclusions first consider four key attributes of an effective organisation: (i) whether it understands future needs and demands; (ii) whether it is organised and makes use of its assets and comparative advantages; (iii) whether it has mandate-oriented systems, planning and operations; and (iv) whether it makes consistent developments according to its resource level and operational context.

Then, the journey of the organisation is mapped against the 2014 Fifth Overall Performance Study (OPS5) of the Global Environment Facility (GEF).

Lastly, the assessment report presents the key findings: the observed strengths and areas for improvement.

3.1. CURRENT STANDING AGAINST THE REQUIREMENTS OF AN EFFECTIVE ORGANISATION

GEF is a highly relevant and generally well-managed partnership. It demonstrates a commitment to continuous improvement and to results-based management, but it could improve its systems for monitoring and reporting on its performance and for lesson learning and knowledge management. A more effective strategic response is required to address the mismatch between the resources available to GEF and the scale of the global environmental challenges faced.

Is GEF future facing?

GEF is fully aware of the scope and scale of the environmental challenges faced by the world, as well as its unique position and potential to make a difference. As stated in the GEF 2020 Strategy and other key documents, the global environment continues to deteriorate. The Programming Directions document prepared for the GEF-7 replenishment displays a comprehensive understanding of the challenges faced in each focal and impact area.

Demand for the finance that GEF provides is increasing faster than supply. Although substantial – at around USD 1 billion per year – GEF resources have to be spread thinly across over more than 140 countries, 5 focal areas and 5 multilateral environmental conventions. The reduction in donor funding for GEF-7 will only make this situation worse.

Within GEF, there is broad understanding of the problem but limited scope for adjustment within the 1994 Instrument that governs its work. Along with becoming more effective and efficient within the confines of its mandate, GEF needs to continue its efforts to play a catalytic and convening role in pursuit of transformational change. Beyond that, greater impact on the global environmental challenges requires either more resources or the ability to focus those resources on the countries and regions where the need and potential are greatest.

In the absence of greater resources and geographical flexibility, GEF has attempted to shift its programming to address the drivers of environmental degradation in addition to responding to environmental pressures. The three impact programmes agreed for GEF-7 – food systems, land use and restoration; sustainable cities; and sustainable forest management – represent a partial shift from the focal areas that remain the central organising framework in the GEF delivery model. There is recognition that addressing the drivers of environmental degradation represents a significantly more ambitious and complex challenge.

Is GEF making best use of what it has?

The breadth and depth of the GEF partnership, and its engagement in the policy and programming discussions that inform each four-year replenishment of the GEF Trust Fund, are great strengths. The resultant programming and policy decisions inevitably represent a compromise between the views of different stakeholders and the diverse interests they represent. The important point is that the compromise is the result of detailed and informed debate.

As noted, significantly changing GEF to make it more effective, within the existing resource envelope, would require a more fundamental review of its mandate and the Instrument. In the absence of this, the quadrennial replenishment cycle, informed by a comprehensive evaluation, is ensuring that GEF uses its assets and comparative advantage to maximum effect. Recent comprehensive evaluations concluded that GEF is achieving its mandate and objectives and continues to play a unique role as a financial mechanism for multilateral environmental agreements (MEAs).

The appropriate balance of responsibilities between the Secretariat and the implementing Agencies is an important issue. Over time, the size of the Secretariat has grown, as have the volume of central policies and guidance and the number of implementing Agencies. Transaction costs have increased. Whether these trends should continue, and how efficiency can be increased over such a large network, are questions that GEF needs to address.

Is GEF a well-oiled machine?

GEF's strategic planning systems are focused around the replenishment discussions that take place every four years. The plans that result are informed by a comprehensive evaluation and by implementation experience, and they do a good job of balancing the competing demands and priorities of a diverse partnership.

GEF's project cycle management is improving but remains slow and inefficient. As in many organisations, there has been a greater focus on project and programme preparation and approval than on monitoring, review and evaluation. Participants in the GEF-7 discussions agreed that better data and information on operational progress and financing are required throughout the project cycle. GEF's information management system has been problematic but should improve with the new information portal launched in July 2018.

Results-based management (RBM) has been prioritised and is improving. A simplified results framework has been introduced for GEF-7. There is scope to bring this results framework more in line with multilateral best practice. This could include MEA-linked environmental trends as an upper results tier and additional performance targets to measure GEF's operational effectiveness and efficiency (e.g. time to first disbursement and submission of terminal evaluations), building on the Corporate Scorecard.

GEF has an effective and structurally independent evaluation office. The Overall Performance Study (OPS) series of evaluations are comprehensive, of high quality and well timed to inform replenishment discussions. The OPS5 evaluation was particularly challenging, addressing the need for strategic focus and a new business model. An explicit analysis of what has changed in response to the findings of the previous OPS evaluation and the priorities agreed in the previous replenishment discussions would further enhance the utility of these performance studies.

Both OPS5 and OPS6 evaluated the Scientific and Technical Advisory Panel (STAP) positively. The consensus is that the STAP provides high-quality expert guidance to GEF and represents one of the strengths of the GEF partnership. This MOPAN assessment agrees with OPS5, and with a number of interviewees, that more social science expertise is required within the STAP in line with the GEF 2020 strategic priority of addressing the drivers of environmental degradation, most of which are social and economic in origin.

Is GEF making a difference?

According to the comprehensive evaluations produced by the Independent Evaluation Office (IEO), GEF has a strong track record in delivering relevant results. The most recent evaluation, OPS6, reported that 81% of the completed projects for which terminal evaluations were available had satisfactory outcomes. Strategies and focal area interventions were strongly aligned with national priorities, mostly responsive to guidance from the MEAs and relevant to the implementing Agencies. GEF programming is on track to produce the expected results specified in GEF-5 and GEF-6.

Sustainability and efficiency remain problematic. Only 63% of the completed projects covered by OPS6 were rated as having outcomes that were likely to be sustained. That said, 93% of the projects covered by OPS5, and 87% of those covered by OPS6, showed some evidence of broader adoption or positive environmental impact. Progress in improving project cycle efficiency has been slow. While one stage of the approval process improved during GEF-6 compared with GEF-5, the performance of another stage was worse. Targets are lacking for other parts of the project cycle, reflecting both a focus on the front end of the project cycle (i.e. approval rather than monitoring and evaluation) and a poor management information system. The latter should improve in GEF-7 with the launch of the new information management system in July 2018.

Much of the results data for GEF are inevitably lagged due to the long project cycle. The project results in OPS6 are largely based on projects approved in GEF-4 (2006-10) or earlier. However, even allowing for the long project cycle, terminal evaluations are only available for fewer than half of the projects funded under GEF-1 to GEF-4. This highlights the need for a picture of GEF results and performance that is more complete and more current than the GEF Secretariat and the IEO now provide.

Box 3: Main strengths and areas for improvement from the 2014 Fifth Overall Performance Study evaluation

Strengths in 2014

- GEF has a unique position as a financial mechanism of MEAs, which allows it to focus on priorities that have been agreed internationally and are acted upon in a catalytic way at national, regional and global levels. GEF is achieving its mandate and objectives.
- To the extent that the overall funding level permits, GEF is relevant to the conventions and to regional and national priorities.
- GEF projects are effective in producing outcomes, with an average score over the GEF-5 period of more than 80% and above international benchmarks.
- Sustainability and progress towards impact are promising. Only 7% of completed projects show no evidence of broader adoption or environmental impact.

Areas for improvement in 2014

- Global environmental trends continue to decline. Resource mobilisation and strategic choices in GEF need to reflect the urgency of global environmental problems.
- The business model of GEF is no longer appropriate and leads to growing inefficiencies. The business model needs a major overhaul in the GEF-6 period.
- The RBM framework has become a delaying factor. It is overburdened with too many elements and too many indicators and needs to be simplified.
- New efforts are required in knowledge management, supported by an integrated knowledge management and capacity development strategy.
- An action plan is required to implement the gender mainstreaming policy. This plan should be adequately resourced.
- The STAP should shift from screening projects to screening programmes and portfolios; have a stronger focus on addressing both natural and social science issues; and focus on learning from an increasingly large portfolio of completed projects.

3.2. PERFORMANCE JOURNEY

This is the first MOPAN assessment of GEF. In the absence of a previous MOPAN assessment, this assessment uses the OPS5 as the baseline against which GEF's performance journey is assessed.

The GEF-6 replenishment discussions in 2014 took account of the OPS5 findings. Rather than recommend a major overhaul of the business model, participants encouraged continued efforts to improve the efficiency and cost effectiveness of the project cycle. The need for an evidence-based approach to decision-making and strong RBM systems was stressed. Participants agreed on the need to provide more resources to least developed countries (LDCs) and small island developing states (SIDSs); to enhance engagement with the private sector; and to develop an action plan and the capacity to advance gender mainstreaming.

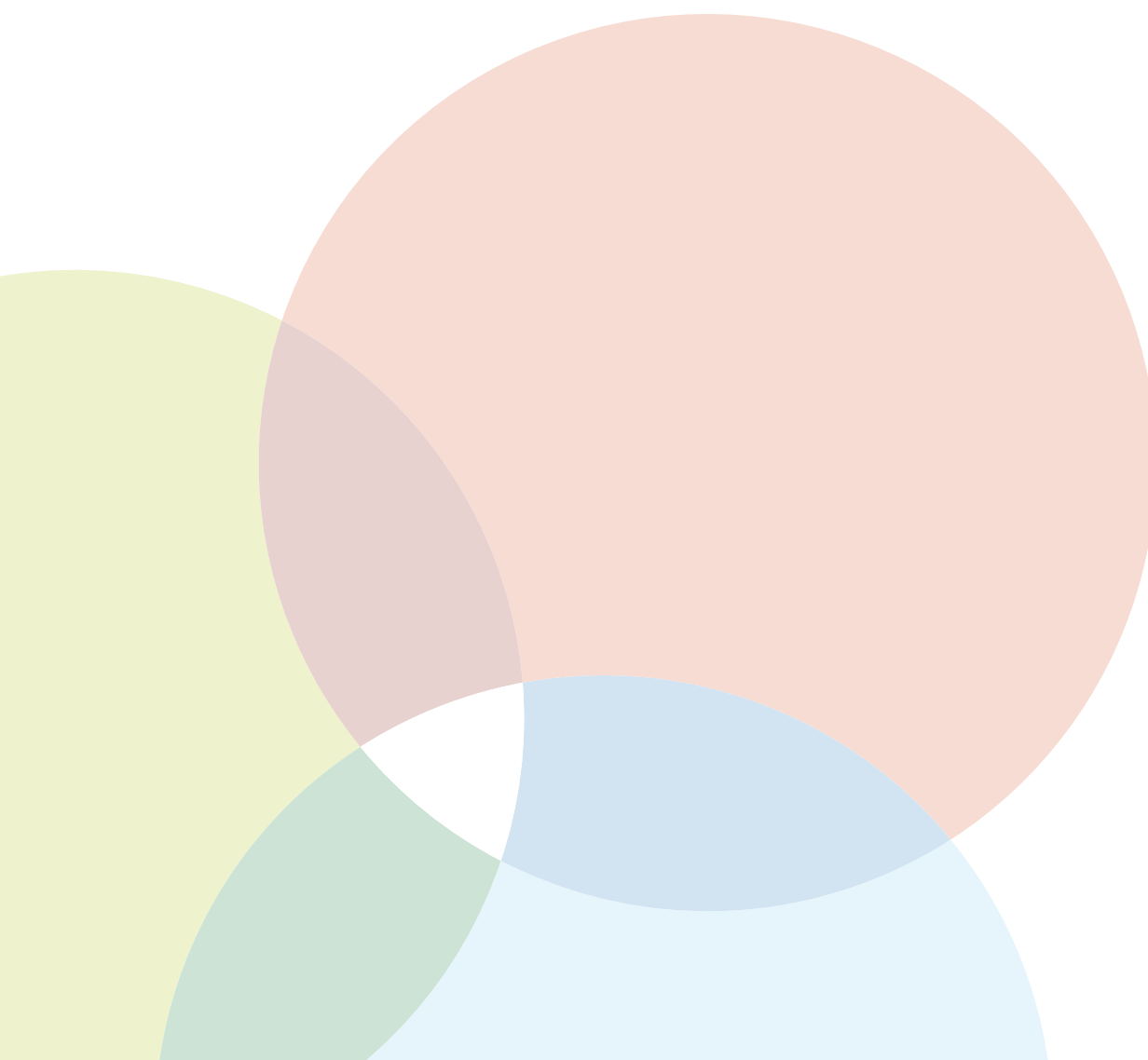
Box 4: Main strengths identified in the MOPAN 2017-18 assessment

- GEF continues to make a unique contribution to the delivery of MEAs and to addressing global environmental challenges. The evolution to integrated, multi-focal area programming and to impact programmes to address the drivers of environmental degradation is well justified.
- Plans and priorities are reviewed and updated every four years as part of a replenishment process involving a strong and diverse partnership. Strategies are responsive to wider guidance and informed by a comprehensive and independent evaluation.
- Progress has been made on gender mainstreaming. Both the Gender Mainstreaming Policy and the Gender Partnership have advanced gender mainstreaming in GEF programming.
- There is high confidence in the financial procedures and standards of GEF. Financial allocations at the macro level are strategically driven and transparent. GEF has a strong record on project co-financing.
- The IEO plays an important role in delivering comprehensive, independent evaluations and in ensuring the quality of monitoring and evaluation systems.
- A high percentage of GEF projects have satisfactory outcomes: 79% of the OPS6 project cohort had satisfactory outcomes and 59% of completed projects achieved stress reduction and/or environmental status change.

A comparison of OPS5 and this assessment shows that GEF's strengths are substantial and unchanged. With the exception of sustainability, where OPS6 was more critical, there is consensus on the important, relevant and largely effective role GEF plays, particularly in relation to its support to developing countries and the MEAs. GEF has addressed and/or is addressing many of the criticisms contained in OPS5. Progress has been made on gender mainstreaming, resource-based management and parts of the project approval process, although there is broad recognition of the need for further progress in these areas.

Box 5: Main areas for improvement identified in the MOPAN 2017-18 assessment

- The mismatch between limited and declining resources available to GEF and the increasing severity of global environmental problems within its mandate require a strategic response. Along with general improvements in efficiency and effectiveness, GEF will need to continue its efforts to play a catalytic and convening role in pursuit of transformational change and to achieve a sharper focus on the most damaging drivers of environmental degradation.
- Engagement with the private sector as the key actor alongside governments, and to a lesser extent as a source of finance, needs to be prioritised. The GEF-7 replenishment process has also identified this as a priority. Affecting private sector sourcing and production practices through research, dialogue and regulatory reforms is fundamental to achieving significant environmental progress.
- There is scope to improve the systems and frameworks for monitoring and reporting on corporate, programme and project results and performance. RBM is improving and a new information system was launched in July 2018, but GEF does not yet have sufficiently comprehensive and reliable systems and results management frameworks covering the entire project cycle, the complete portfolio and each replenishment period.
- Synthesising, accessing, using and disseminating knowledge and lessons learned from GEF's extensive range and history of projects and programmes can be improved. Much of GEF's knowledge is fragmented, difficult to access and underutilised.





ANNEXES

Annex 1. Evidence table

Methodology for scoring and rating

The approach to scoring and rating under MOPAN 3.0 draws from the OECD *Handbook on Constructing Composite Indicators: Methodology and User Guide* (OECD/EU/JRC, 2008). Each of the MOPAN 3.0 key performance indicators (KPIs) contains a number of micro-indicators (MIs) which vary in number. The MIs, in turn, contain elements representing international best practice; their numbers also vary.

The approach is as follows:

a) Micro-indicator level

Scores ranging from 0 to 4 are assigned per **element**, according to the extent to which an organisation implements the element.

For **KPIs 1-8**, the following criteria frame the scores:

- 4 = Element is fully implemented/implemented in all cases
- 3 = Element is substantially implemented/implemented in the majority of cases
- 2 = Element is partially implemented/implemented in some cases
- 1 = Element is present, but not implemented/implemented in zero cases
- 0 = Element is not present

Taking the average of the constituent elements' scores, a rating is then calculated per MI. The rating scale applied is as follows:

| | |
|--------|-----------------------|
| 3.01-4 | Highly satisfactory |
| 2.01-3 | Satisfactory |
| 1.01-2 | Unsatisfactory |
| 0.00-1 | Highly unsatisfactory |

The ratings scale for **KPIs 9-12** applies the same thresholds as for KPIs 1-8, for consistency, but pitches scores to the middle of the threshold value (to guard against skewing in favour of higher ratings).

| | |
|--------|-----------------------|
| 3.01-4 | Highly satisfactory |
| 2.01-3 | Satisfactory |
| 1.01-2 | Unsatisfactory |
| 0.00-1 | Highly unsatisfactory |

A score of zero (0) for an element means the assessment team had expected to find evidence but did not find any. A score of zero counts towards the MI score.

A score of “N/E” means “no evidence” indicates that the assessment team could not find any evidence but was not confident of whether or not there was evidence to be found. The team assumes that “no evidence” does not necessarily equal a zero score. Elements rated N/E are excluded from any calculation of the average. A significant number of N/E scores in a report indicates an assessment limitation (see the Limitations section at the beginning of the report).

A note indicating “N/A” means that an element is considered to be “not applicable”. This usually owes to the organisation’s specific nature.

b) Aggregation to the KPI level

The same logic is pursued at aggregation to the KPI level to ensure a consistent approach. Taking the average of the constituent scores per MI, a rating is then calculated per KPI.

The calculation for KPIs is the same as for the MIs above, namely:

| | |
|--------|-----------------------|
| 3.01-4 | Highly satisfactory |
| 2.01-3 | Satisfactory |
| 1.01-2 | Unsatisfactory |
| 0.00-1 | Highly unsatisfactory |

Performance management

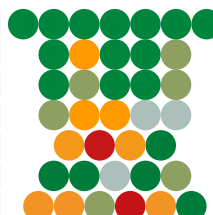
KPI 7: Results focus

| | | |
|----------------------------------|--|--|
| 7.1 BRM applied | | |
| 7.2 RBM in strategies | | |
| 7.3 Evidence-based targets | | |
| 7.4 Effective monitoring systems | | |
| 7.5 Performance data applied | | |



KPI 8: Evidence-based planning

| | | |
|------------------------------|--|--|
| 8.1 Evaluation function | | |
| 8.2 Evaluation coverage | | |
| 8.3 Evaluation quality | | |
| 8.4 Evidence-based design | | |
| 8.5 Poor performance tracked | | |
| 8.6 Follow-up systems | | |
| 8.7 Uptake of lessons | | |



Results

KPI 9: Achievement of results

| | |
|--------------------------------|--|
| 9.1 Results deemed attained | |
| 9.2 Benefits for target groups | |
| 9.3 Policy/capacity impact | |
| 9.4 Gender equity results | |
| 9.5 Environment results | |
| 9.6 Governance results | |
| 9.7 Human rights results | |

KPI 10: Relevance to partners

| | |
|--------------------------|--|
| 10.1 Target groups | |
| 10.2 National objectives | |
| 10.3 Coherence | |

KPI 11: Results delivered efficiently

| | |
|----------------------|--|
| 11.1 Cost efficiency | |
| 11.2 Timeliness | |

KPI 12: Sustainability of results

| | |
|---------------------------|--|
| 12.1 Sustainable benefits | |
| 12.2 Sustainable capacity | |
| 12.3 Enabling environment | |

STRATEGIC MANAGEMENT

Clear strategic direction geared to key functions, intended results and integration of relevant cross-cutting priorities.

| KPI 1: Organisational architecture and financial framework enable mandate implementation and achievement of expected results | KPI score |
|---|---------------------------------|
| Highly satisfactory | 3.35 |
| <p>The 2020 Strategy and the plans produced for each four-yearly replenishment provide a clear and considered strategic framework for the GEF. The organisational architecture and financial framework for the GEF provides enabling support to the five multilateral environmental agreements (MEAs) within its mandate. Expected results are in line with the resources available, but expressed in terms of focal areas rather than the specific MEAs.</p> <p>Resource allocation is comprehensively discussed every four years, reviewed annually, and is transparent at the macro-level. The organisational architecture and operating model has evolved over time, is regularly reviewed, and is currently appropriate. However, the overall resource envelope for GEF is constrained and is not adequate to the scale of the global environmental challenges. Despite an intensification of these challenges, donor commitments to GEF-7 represent a decline on the resources made available for GEF-5 and GEF-6. Resources are spread thinly across multiple priority areas and over 144 countries.</p> | |
| MI 1.1: Strategic plan and intended results based on a clear long-term vision and analysis of comparative advantage | Score |
| Overall MI rating | Highly satisfactory |
| Overall MI score | 4 |
| Element 1: A publicly available Strategic Plan (or equivalent) contains a long-term vision | 4 |
| Element 2: The vision is based on a clear analysis and articulation of comparative advantage | 4 |
| Element 3: A strategic plan operationalises the vision, including defining intended results | 4 |
| Element 4: The Strategic Plan is reviewed regularly to ensure continued relevance | 4 |
| MI 1.1 Analysis | Source document |
| <ol style="list-style-type: none"> 1. The GEF 2020 Strategy (2014) contains a long-term vision, which outlined 5 strategic priorities. The GEF-7 replenishment documents – notably the Programming Directions – reflect, adapt and operationalise the vision contained in the GEF 2020 Strategy. All these documents are publicly available. 2. The GEF 2020 Strategy and the GEF-7 replenishment documents identify GEF's unique mandate as financing mechanism for five multilateral environmental agreements (MEAs) within the changing landscape for environment finance and taking account of GEF's capabilities and strengths. GEF-7 replenishment discussions adapted resource allocation to reflect changing comparative advantage in respect of climate. 3. The GEF-7 replenishment documents operationalise the GEF 2020 Strategy for the period July 2018 to June 2022, and include details of the intended results with 11 core indicators spanning 5 focal areas. A GEF6 document included detailed results frameworks for three funds (GEFTF, LDCF, and SCCF). 4. Programming directions and resource allocations are reviewed every 4 years as part of replenishment process. There is also an annual discussion of strategy in Council. | 1, 2, 6, 11, 62, 64, 82, 83, 84 |
| MI 1.1 Evidence confidence | High confidence |

| MI 1.2: Organisational architecture congruent with a clear long-term vision and associated operating model | Score |
|--|---------------------------------------|
| Overall MI rating | Highly satisfactory |
| Overall MI score | 3.2 |
| Element 1: The organisational architecture is congruent with the strategic plan | 3 |
| Element 2: The operating model supports implementation of the strategic plan | 3 |
| Element 3: The operating model is reviewed regularly to ensure continued relevance | 3 |
| Element 4: The operating model allows for strong cooperation across the organisation and with other agencies | 4 |
| Element 5: The operating model clearly delineates responsibilities for results | 3 |
| MI 1.2 Analysis | Source document |
| <p>1. The organisational architecture is congruent with the strategic plan (defined here as the combination of the GEF 2020 Strategy and the Replenishment documents). By the end of FY16 Secretariat completed a reorganisation of its internal structure to ensure better alignment with new strategic directions and key priorities of GEF-6, notably a move away from a “silo-based” programming model towards a more integrated and region-oriented model.</p> <p>2. The GEF-7 replenishment documents state that the GEF’s operating model, and especially the system of country allocations, supports implementation of the 2020 Strategy. There are proposals within GEF-7 to update the System for Transparent Allocation of Resources (STAR) to increase the 2020 Strategy emphasis on addressing the drivers of environmental deterioration and integrated programming.</p> <p>3. Each four-year replenishment process reviews the operating model to ensure continued relevance. The GEF-7 Policy Recommendations document contain a number of recommendations aimed at supporting effective implementation.</p> <p>4. The GEF is an international partnership of governments, international institutions, civil society organisations, and the private sector. As an international partnership, its operating model is built on strong cooperation. The OPS-6 evaluation highlighted the value of an operating model able to work through multiple implementing Agencies in more than 140 countries.</p> <p>5. According to the Instrument for the Establishment of the Restructured Global Environment Facility (2015) GEF implementing Agencies are accountable to the Council for their GEF-financed activities, including the cost-effectiveness of projects, but accountability for results is implied in this document and others rather than clearly stated.</p> | 1, 2, 3, 4, 8, 39, 62, 65, 66, 82, 84 |
| MI 1.2 Evidence confidence | High confidence |
| MI 1.3: The strategic plan supports the implementation of wider normative frameworks and associated results, including Agenda 2030 and others where applicable (e.g. the quadrennial comprehensive policy review (QCPR), Grand Bargain, replenishment commitments, or other resource and results reviews) | Score |
| Overall MI rating | Highly satisfactory |
| Overall MI score | 3.2 |
| Element 1: The strategic plan is aligned to wider normative frameworks and associated results, including Agenda 2030, and others, such as the QCPR and the Grand Bargain (where applicable) | 4 |
| Element 2: The strategic plan includes clear results for normative frameworks, including Agenda 2030, and others, such as the QCPR and the Grand Bargain (where applicable) | 3 |

| | |
|---|--------------------------|
| Element 3: A system to track normative results is in place for Agenda 2030, and any other relevant frameworks, such as the QCPR and the Grand Bargain (where applicable) | 3 |
| Element 4: The organisation's accountability for achieving normative results, including those of Agenda 2030, and any other relevant frameworks, such as the SDGs and their targets and indicators, the QCPR and the Grand Bargain (where applicable), is clearly established | 3 |
| Element 5: Progress on implementation on an aggregated level is published at least annually | 3 |
| MI 1.3 Analysis | Source document |
| <p>1. The 2020 Strategy and replenishment plans are aligned to the MEAs which are core to the GEF's mandate, but expressed in terms of focal areas rather than specific MEAs. The GEF is not the financial mechanism for the SDGs, although its global environmental benefits contribute. GEF-7 replenishment core indicators have been mapped against one or more SDGs.</p> <p>2. GEF-7 replenishment plans include clear results for 11 core indicators across five focal areas and three impact programs. Although not organised by MEA, GEF programming is designed to be responsive to COP guidance.</p> <p>3. The Annual Portfolio Monitoring Report presents project and program approvals by focal area and global environmental benefit (GEB) indicator, but not explicitly by MEA or SDG. The Corporate Scorecard shows expected results by GEB indicator.</p> <p>4. According to the Instrument for the Establishment of the Restructured Global Environment Facility (2015) GEF implementing Agencies are accountable to the Council for the results of their GEF-financed activities, but not for their results against the MEAs or SDGs.</p> <p>5. Progress on implementation is published on an aggregated level in the Annual Portfolio Monitoring Report, although not by MEA or SDG. The six-monthly Corporate Scorecard shows expected results by GEB indicator.</p> | 2, 62, 67, 84 |
| MI 1.3 Evidence confidence | Medium confidence |
| MI 1.4: Financial Framework (e.g. division between core and non-core resources) supports mandate implementation | Score |
| Overall MI rating | Satisfactory |
| Overall MI score | 3 |
| Element 1: Financial and budgetary planning ensures that all priority areas have adequate funding in the short term or are at least given clear priority in cases where funding is very limited | 2 |
| Element 2: A single integrated budgetary framework ensures transparency | 3 |
| Element 3: The financial framework is reviewed regularly by the governing bodies | 4 |
| Element 4: Funding windows or other incentives in place to encourage donors to provide more flexible/un-earmarked funding at global and country levels | N/A |
| Element 5: Policies/measures are in place to ensure that earmarked funds are targeted at priority areas | N/A |

| MI 1.4 Analysis | Source document |
|--|--------------------------------|
| <p>1. Discussions every four years determine the size of the replenishment and the allocation between different focal areas, and ensures that all priority areas and all eligible countries receive some funding. GEF-7 funds have to be split across five focal areas, three impact programs, and 144 countries. According to OPS-6 foreign exchange volatility has reduced the funds available for some GEF-6 projects. Donor commitments to GEF-7 represent a decline on the resources made available for GEF-5 and GEF-6. As such, while all priority cannot be said to have adequate funding in the short term, the GEF has clearly prioritised how these limited funds are assigned.</p> <p>2. At the macro-level a single integrated budgetary framework means that funding allocations are transparent. The System for Transparent Allocation of Resources (STAR) ensures that country allocations are transparent. However, decisions on which projects get approved when resources are limited are not universally perceived by some interviewees as being sufficiently transparent.</p> <p>3. A Business Plan and Corporate Budget is reviewed annually by the GEF Council. For example, in 2016 the Council reviewed resource availability and agreed that the Secretariat should manage the expected shortfall in GEF-6 resources while maintaining the balance among the original GEF-6 allocations.</p> <p>4. All funding is non-earmarked.</p> <p>5. All funding is non-earmarked.</p> | 4, 5, 8, 7, 62, 64, 68, 83, 84 |
| MI 1.4 Evidence confidence | High confidence |

| KPI 2: Structures and mechanisms in place and applied to support the implementation of global frameworks for cross-cutting issues at all levels | KPI score |
|--|--------------|
| Unsatisfactory | 1.08 |
| <p>Structures and mechanisms for the cross-cutting issues of gender and indigenous peoples (IP) are satisfactory and highly satisfactory respectively. An evaluation of gender mainstreaming found modest improvement. IP have been a long-standing cross-cutting issue within the GEF. OPS6 found high levels of compliance with GEF Minimum Standards regarding IP, albeit little evidence on the quality and benefits of engagement.</p> <p>Coverage of good governance and human rights by the GEF (as opposed to the implementing Agencies) was highly unsatisfactory. Neither issue has been prioritised, although human rights has recently been identified as a possible gap in the GEF Social and Environmental Safeguards, a new version of which was approved in June 2018.</p> | |
| MI 2.1a: Gender equality and the empowerment of women | |
| Overall MI rating | Satisfactory |
| Overall MI score | 2.5 |
| Element 1: Dedicated policy statement on gender equality available and showing evidence of use | 3 |
| Element 2: Gender equality indicators and targets fully integrated into the organisation's strategic plan and corporate objectives | 2 |
| Element 3: Accountability systems (including corporate reporting and evaluation) reflect gender equality indicators and targets | 3 |
| Element 4: Gender screening checklists or similar tools used for all new Interventions | 3 |
| Element 5: Human and financial resources (exceeding benchmarks) are available to address gender issues | 2 |
| Element 6: Capacity development of staff on gender is underway or has been conducted | 2 |

| MI 2.1a Analysis | Source document |
|---|---|
| <p>1. The Policy on Gender Equality was first published in 2012, revised in November 2017. Evaluation and interviews provide evidence of use and some progress, although the evaluation on gender mainstreaming found that the 2017 policy did not provide a clear framework.</p> <p>2. GEF-6 had Core Gender Indicators that were separate from the GEFTF, LDCF and SCCF results frameworks. They cannot therefore be considered to be fully integrated.</p> <p>3. The six-monthly Corporate Scorecards for GEF-6 included the Core Gender Indicators agreed upon in the GEF-6 Results Framework for Gender Mainstreaming. The OPS6 included an evaluation on gender mainstreaming in the GEF. One of the GEF-7 11 core indicators is the 'number of direct beneficiaries disaggregated by gender as a co-benefit of GEF investment', which is tracked. There are no targets.</p> <p>4. The GEF Project Identification Form (PIF) includes a brief checklist on gender equality and women's empowerment. The evaluation on gender mainstreaming reported that very few projects conducted gender analyses. The new Guidance to Advance Gender Equality (2018) includes guiding questions.</p> <p>5. Evaluation and an interview confirm increased human resources (a Gender and Social Issues post within the Secretariat) and a GEF Gender Partnership bringing together gender focal points in the implementing Agencies. However, the evaluation on gender mainstreaming found that institutional capacity to implement the gender policy and achieve gender mainstreaming was insufficient.</p> <p>6. The Progress Report on the Gender Equality Action Plan reported that an online course and webinar had been launched. The evaluation on gender mainstreaming reported plans to develop further tools to strengthen gender capacity.</p> | 2, 4, 5, 14, 23, 29, 35, 37, 40, 62, 69, 70, 82, 84 |
| MI 2.1a Evidence confidence | High confidence |
| MI 2.1b: Environmental Sustainability and Climate Change: Non-applicable | Score |
| Overall MI rating | |
| Overall MI score | N/A |
| Element 1: Dedicated policy statement on environmental sustainability and climate change available and showing evidence of use | N/A |
| Element 2: Environmental sustainability/ climate change indicators and targets are fully integrated into the organisation's strategic plan and corporate objectives | N/A |
| Element 3: Accountability systems (including corporate reporting and evaluation) reflect environmental sustainability and climate change indicators and targets | N/A |
| Element 4: Environmental screening checklists/impact assessments used for all new Interventions | N/A |
| Element 5: Human and financial resources (exceeding benchmarks) are available to address environmental sustainability and climate change issues | N/A |
| Element 6: Capacity development of staff on environmental sustainability and climate change is underway or has taken place | N/A |

| MI 2.1b Analysis | Source document |
|--|--|
| Environmental sustainability is a core part of the GEF mandate and so has not been assessed as a cross-cutting issue. | 2, 3, 13, 15, 16, 17, 21, 25, 26, 29, 35, 38, 42, 43, 48, 49, 50, 64 |
| MI 2.1b Evidence confidence | High confidence |
| MI 2.1c: Good governance | Score |
| Overall MI rating | Highly unsatisfactory |
| Overall MI score | 0 |
| Element 1: Dedicated policy statement on the principles of good governance and effective institutions available and showing evidence of use | 0 |
| Element 2: Indicators and targets related to the principles of good governance and effective institutions are integrated into the organisation's strategic plan and corporate objectives | 0 |
| Element 3: Accountability systems (including corporate reporting and evaluation) reflect the principles of good governance and effective institutions | 0 |
| Element 4: New interventions are assessed for relevant governance/institutional effectiveness issues | 0 |
| Element 5: Human and financial resources are available to address the principles of good governance and issues related to effective institutions | 0 |
| Element 6: Capacity development of staff on the principles of good governance and effective institutions is underway or has taken place | 0 |
| MI 2.1c Analysis | Source document |
| Zero scores based on central (Secretariat) policies, targets, processes and resources. IAs were not assessed. | |
| 1. No documentary or interview evidence of a GEF policy statement. Implementing Agency (IA) policy statements were not assessed. | |
| 2. No documentary or interview evidence of GEF indicators or targets. IA indicators or targets were not assessed. | |
| 3. No documentary or interview evidence of GEF accountability systems. IA systems were not assessed. | |
| 4. No documentary or interview evidence of new interventions being assessed by the Secretariat for relevant governance/institutional effectiveness issues. IA assessment procedures were not assessed. | |
| 5. No documentary or interview evidence of human and financial resources available within the GEF Secretariat. The resources available within the IAs were not assessed. | |
| 6. No documentary or interview evidence of capacity development of GEF Secretariat staff. IA capacity development was not assessed. | |
| MI 2.1c Evidence confidence | High confidence |

| MI 2.1d: Human Rights | Score |
|---|-----------------------|
| Overall MI rating | Highly unsatisfactory |
| Overall MI score | 0 |
| Element 1: Dedicated policy statement on human rights issues available and showing evidence of use | 0 |
| Element 2: Human rights indicators and targets fully integrated into the organisation's strategic plan and corporate objectives | 0 |
| Element 3: Accountability systems (including corporate reporting and evaluation) reflect human rights indicators and targets | 0 |
| Element 4: Human rights screening checklists or similar tools used for all new interventions | 0 |
| Element 5: Human and financial resources (exceeding benchmarks) are available to address human rights issues | 0 |
| Element 6: Capacity development of staff on human rights is underway or has been conducted | 0 |
| MI 2.1d Analysis | Source document |
| <p>1. GEF does not have a dedicated policy on human rights. IEO evaluation (2017) of GEF Minimum Standards identified human rights as one of several possible gaps. A revised policy is in preparation. GEF does have a policy on indigenous peoples (see 2.1e below). IA human rights policies were not assessed.</p> <p>2. No documentary or interview evidence of GEF human rights indicators or targets. IA human rights indicators or targets were not assessed.</p> <p>3. No documentary or interview evidence of GEF human rights accountability systems. IA systems were not assessed.</p> <p>4. No documentary or interview evidence of GEF human rights checklists. Consultation with indigenous peoples is recorded in the PIP. IA systems were not assessed.</p> <p>5. No documentary or interview evidence of GEF human and financial resources. IA systems were not assessed.</p> <p>6. No documentary or interview evidence of GEF capacity development. IA systems were not assessed.</p> | 16, 20, 57, 62 |
| MI 2.1d Evidence confidence | Medium confidence |
| MI 2.1e: Indigenous peoples | Score |
| Overall MI rating | Unsatisfactory |
| Overall MI score | 1.83 |
| Element 1: Dedicated policy statement on indigenous peoples (IP) available and showing evidence of use | 3 |
| Element 2: IP indicators and targets fully integrated into the organisation's strategic plan and corporate objectives | 2 |
| Element 3: Accountability systems (including corporate reporting and evaluation) reflect IP indicators and targets | 2 |
| Element 4: IP screening checklists or similar tools used for all new interventions | 2 |
| Element 5: Human and financial resources (exceeding benchmarks) are available to address IP issues | 2 |
| Element 6: Capacity development of staff on IP is underway or has been conducted | 0 |

| MI 2.1e Analysis | Source document |
|--|---------------------------|
| <p>1. Dedicated policy statement on IP exists. OPS6 evaluation reports evidence that, in general, GEF agencies are in alignment with the obligations under GEF Minimum Standard 4. IEO evaluation (2017) of GEF Minimum Standards identified IP and application of FPIC as one of several possible gaps in current Minimum Standards. A revised policy is in preparation.</p> <p>2. 2020 Strategy mentions IP. GEF-6 Corporate Results Framework includes IP indicator (not target).</p> <p>3. GEF Corporate Scorecard includes indicator (not target) for number of GEF projects involving IP. OPS6 evaluation reports limited information on whether engagement with IP is meeting expectations and standards.</p> <p>4. Consultation with indigenous peoples is recorded in the PIP. Minimum Standards require use of checklist/tool to consider IP. No documentary or interview evidence on use, except as recorded in the PIP.</p> <p>5. Secretariat has focal person responsible for IP. Indigenous Peoples Advisory Group advises Secretariat. Recent evaluation concluded that availability of experienced and trained staff was 'less than optimal'.</p> <p>6. No documentary or interview evidence of GEF IP capacity development. IA systems were not assessed.</p> | 4, 16, 20, 35, 39, 57, 62 |
| MI 2.1e Evidence confidence | High confidence |

OPERATIONAL MANAGEMENT

Assets and capacities organised behind strategic direction and intended results, to ensure relevance agility and accountability.

| KPI 3: Operating model and human/financial resources support relevance and agility | KPI score |
|--|---------------------|
| Satisfactory | 2.85 |
| The alignment of structures and staffing is rated as satisfactory, as are resource mobilisation efforts and HR systems and policies (but evidence is limited on some aspects of the latter). A wider skill base may be required in SEC and STAP in line with the challenges presented by the 2020 Strategy and integrated programming. The extent of decentralised decision making on resource allocation and programming is satisfactory. Some increase in country-level flexibility have been recommended for GEF-7. Programming decisions are decentralised to countries, but within centrally agreed priority areas and subject to central technical approval. | |
| MI 3.1: Organisational structures and staffing ensure that human and financial resources are continuously aligned and adjusted to key functions | Score |
| Overall MI rating | Satisfactory |
| Overall MI score | 3 |
| Element 1: Staffing is aligned with, or being reorganised to, requirements set out in the current Strategic Plan | 3 |
| Element 2: Resource allocations across functions are aligned to current organisational priorities and goals, as set out in the current Strategic Plan | 3 |
| Element 3: Internal restructuring exercises have a clear purpose and intent, aligned to the priorities of the current Strategic Plan | 3 |

| MI 3.1 Analysis | Source document |
|--|---|
| <p>1. Interviews identified the reorganisation of the Secretariat towards a stronger regional/country orientation, but also the need for a wider skill base in the Secretariat and the STAP to cope with the different challenges presented by impact programmes/addressing the drivers of environmental degradation.</p> <p>2. GEF7 replenishment and other documents (e.g. Business Plans and Work Programs) suggest that resources are continuously aligned and adjusted.</p> <p>3. Interviews confirm that Secretariat structure has evolved (e.g. away from technical silos) to match the 2020 Strategy and current priorities. No documentary evidence was found on restructuring.</p> | 1, 5, 10, 82 |
| MI 3.1 Evidence confidence | Medium confidence |
| MI 3.2: Resource mobilisation efforts consistent with the core mandate and strategic priorities | Score |
| Overall MI rating | Highly satisfactory |
| Overall MI score | 3.4 |
| Element 1: Resource mobilisation strategy/case for support explicitly aligned to current strategic plan | 3 |
| Element 2: Resource mobilisation strategy/case for support reflects recognition of need to diversify the funding base, particularly in relation to the private sector | 3 |
| Element 3: Resource mobilisation strategy/case for support seeks multi-year funding within mandate and strategic priorities | 4 |
| Element 4: Resource mobilisation strategy/case for support prioritises the raising of domestic resources from partner countries/institutions, aligned to goals and objectives of the Strategic Plan/ relevant country plan | 4 |
| Element 5: Resource mobilisation strategy/case for support contains clear targets, monitoring and reporting mechanisms geared to the Strategic Plan or equivalent | 3 |
| MI 3.2 Analysis | Source document |
| <p>1. GEF-7 strategic plan (including results) explicitly aligned to the replenishment amount likely to be pledged, rather than vice versa. Alternative resource/results scenarios were explicitly considered.</p> <p>2. Documents reviewed have recognised the case for diversifying and expanding GEFs funding base. However, interviewees stated that little progress had been made in practice. The private sector is seen as an important and essential partner (e.g. in supply chains), rather than a source of funds.</p> <p>3. GEF works on a four-year replenishment cycle.</p> <p>4. The share of co-financing from governments has increased since GEF-4. That from MDBs and IFIs is in decline. The GEF-7 replenishment process included discussion of how greater levels of co-investment could be mobilised in selected countries, and GEF-7 includes proposals to this effect.</p> <p>5. GEF-7 replenishment documents explicitly link resource scenarios with expected results, but tailored to the amount likely to be pledged.</p> | 1, 4, 5, 7, 8, 15, 17, 24, 61, 62, 63, 82 |
| MI 3.2 Evidence confidence | High confidence |

| MI 3.3: Aid reallocation/programming decisions responsive to need can be made at a decentralised level | Score |
|---|--------------------------|
| Overall MI rating | Unsatisfactory |
| Overall MI score | 2 |
| Element 1: An organisation-wide policy or guidelines exist which describe the delegation of decision-making authorities at different levels within the organisation | 4 |
| Element 2: (If the first criterion is met) The policy/guidelines or other documents provide evidence of a sufficient level of decision-making autonomy available at the country level (or other decentralised level as appropriate) regarding aid reallocation/programming | 2 |
| Element 3: Evaluations or other reports contain evidence that reallocation/programming decisions have been made to positive effect at country or other local level, as appropriate | 0 |
| Element 4: The organisation has made efforts to improve or sustain the delegation of decision-making on aid allocation/programming to the country or other relevant levels | 2 |
| MI 3.3 Analysis | Source document |
| <p>1. The GEF is a financial facility with a clear policy and procedures for allocating resources. The Instrument (2015) provides a clear description of the responsibilities of the various bodies within the GEF. The System for the Transparent Allocation of Resources (STAR) centrally allocates resources by country for three of the GEF focal areas.</p> <p>2. Programming decisions within country financial allocations are delegated to countries, with support from IAs, but are ultimately subject to technical approval by the Secretariat. GEF-7 policy discussions considered a request that countries be allowed greater flexibility in adjusting their country allocations between focal areas. While divergent views were expressed during the GEF-7 replenishment discussions, there is a perception in some quarters that the level of decision-making autonomy available to countries is insufficient.</p> <p>3. No evaluation evidence or reports were found on the effects of reallocation/programming decisions. Some decision-making transparency concerns were raised in one LDCF evaluation.</p> <p>4. An increase in flexibility in adjusting country allocations between focal areas was discussed and recommended for GEF-7 but remains limited.</p> | 3, 5, 15, 17, 45 |
| MI 3.3 Evidence confidence | Medium confidence |
| MI 3.4: HR systems and policies performance based and geared to the achievement of results | Score |
| Overall MI rating | Satisfactory |
| Overall MI score | 3 |
| Element 1: A system is in place which requires the performance assessment of all staff, including senior staff | 4 |
| Element 2: There is evidence that the performance assessment system is systematically and implemented by the organisation across all staff and to the required frequency | 2 |
| Element 3: The performance assessment system is clearly linked to organisational improvement, particularly the achievement of corporate objectives, and to demonstrate ability to work with other agencies | 2 |
| Element 4: The performance assessment of staff is applied in decision making relating to promotion, incentives, rewards, sanctions, etc. | 3 |

| | |
|--|----------------------------|
| Element 5: A clear process is in place to manage disagreement and complaints relating to staff performance assessments | 4 |
| MI 3.4 Analysis | Source document |
| <p>1. GEF Secretariat and IEO staff are treated as World Bank staff. WB Staff Manual and interview confirmed that a performance assessment system is in place for all staff. The MOPAN 2015-16 IAR for the World Bank also rated this as 4.</p> <p>2. Evidence on this element is limited. An interview with the WB HR department confirmed that the performance assessment system is implemented for GEF staff. The WB Staff Manual sets out the standards, but no documentary evidence on implementation was found. The MOPAN 2015-16 IAR for the World Bank rated this as 2.</p> <p>3. Evidence on this element is limited. The WB Staff Manual states that the system should be linked to organisational improvement, but no documentary evidence on implementation was found. The MOPAN 2015-16 IAR for the World Bank rated this as 2.</p> <p>4. Evidence on this element is limited. WB Staff Rules indicate that the system should be linked to decision making, but no documentary evidence on implementation was found. The MOPAN 2015-16 IAR for the World Bank rated this as 3.</p> <p>5. The WB Staff Manual describes the process by which complaints regarding staff appraisals should be handled. The MOPAN 2015-16 IAR for the World Bank also rated this as 4.</p> | 71, 72, 73 |
| MI 3.4 Evidence confidence | High confidence |
| KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency/accountability | KPI score |
| Highly satisfactory | 3.06 |
| Decision making on resource allocation is rated as highly satisfactory. Overall allocations to priority areas, and country allocations via the STAR, are extensively discussed and revised as every four years as part of the replenishment process. As part of the World Bank, the assessment has high confidence in the financial procedures and standards of the GEF. Disbursements are tracked, but there is no evidence of corporate-level disbursement targets. | |
| MI 4.1: Transparent decision-making for resource allocation, consistent with strategic priorities | Score |
| Overall MI rating | Highly satisfactory |
| Overall MI score | 3.5 |
| Element 1: An explicit organisational statement or policy exists which clearly defines criteria for allocating resources to partners | 3 |
| Element 2: The criteria reflect targeting to the highest priority themes/countries/areas of intervention as set out in the current Strategic Plan | 3 |
| Element 3: The organisational policy or statement is regularly reviewed and updated | 4 |
| Element 4: The organisational statement or policy is publicly available | 4 |

| MI 4.1 Analysis | Source document |
|--|----------------------|
| <p>1. The Project and Program Cycle Policy (2016) sets out the application and approval process for agencies. The A to Z of the GEF (2015) sets out eligibility criteria for GEF funding. The System for the Transparent Allocation of Resources (STAR) allocates resources by country for three of the GEF focal areas. This includes clear criteria, which were reviewed and adjusted as part of the GEF-7 replenishment discussions. GEF-7 discussions included stated resource allocation priorities. Allocation criteria between IAs have been criticised as lacking transparency.</p> <p>2. The review of the STAR for GEF-7 has proposed changes to give the poorest and most vulnerable countries a larger share of GEF resources. Overall allocations reflect the priorities in the 2020 Strategy and the GEF-7 plans. Allocation criteria have been criticised as lacking transparency.</p> <p>3. A mid-term evaluation of STAR was carried out by IEO in 2014, leading to changes in GEF-6. STAR was reviewed by the Secretariat as part of the GEF-7 discussions, and changes were proposed.</p> <p>4. The details of the STAR and all the documents mentioned above are publicly available via the GEF website.</p> | 1, 15, 17, 62, 83 |
| MI 4.1 Evidence confidence | High confidence |
| MI 4.2: Allocated resources disbursed as planned | Score |
| Overall MI rating | Unsatisfactory |
| Overall MI score | 2 |
| Element 1: The institution sets clear targets for disbursement | 2 |
| Element 2: Financial information indicates that planned disbursements were met within institutionally agreed margins | 2 |
| Element 3: Clear explanations are available in relation to any variances | 2 |
| Element 4: Variances relate to external factors rather than internal procedural blockages | N/E |
| MI 4.2 Analysis | Source document |
| <p>1. No corporate targets for disbursement were identified during documentary review or interviews, although programming in line with the resources available is implied (e.g. approved work programme reached approximately 47% of replenishment at the mid-point of GEF-6). Disbursement performance is reported in the GEF Trust Fund annual report, the Corporate Scorecard, and the Annual Portfolio Monitoring Report. Targets for disbursement are set at the project level in accordance with the project duration to which the Agency has committed at project approval. Agencies are responsible for the timely disbursement of approved funds, consistent with the minimum fiduciary standards and their financial procedures agreements with the Trustee.</p> <p>Published semi-annual reports on the Trust Funds include information on disbursements but without reference to agreed targets or margins. The GEF Business Plan and Corporate Budget for FY17 (2016) indicated that resource programming was 'on schedule' (i.e. in line with full disbursement of the replenishment). The Corporate Scorecard reports on time to first disbursement but does not refer to targets. Agencies report annually on actual disbursements on a project-by-project basis.</p> <p>2. No documentary or interview evidence on corporate targets. If project disbursements are delayed, explanations are provided by IAs in annual implementation reports and/or mid-term reviews.</p> <p>3. No documentary or interview evidence on source of any variances.</p> | 3, 4, 35, 48, 62, 74 |
| MI 4.2 Evidence confidence | Medium confidence |

| MI 4.3: Principles of results-based budgeting applied | Score |
|---|----------------------------|
| Overall MI rating | Unsatisfactory |
| Overall MI score | 1.5 |
| Element 1: The most recent organisational budget clearly aligns financial resources with strategic objectives/intended results of the current Strategic Plan | 2 |
| Element 2: A budget document is available which provides clear costings for the achievement of each management result | 0 |
| Element 3: Systems are available and used to track costs from activity through to result (outcome) | 2 |
| Element 4: There is evidence of improved costing of management and development results in budget documents reviewed over time (evidence of building a better system) | 2 |
| MI 4.3 Analysis | Source document |
| <p>1. The GEF-7 budget allocates resources to 5 focal areas and 3 impact programs, but not to specific results. Projected results for the 11 core indicators are presented separately without costs. Thus, to the extent that the focal area and impact programs represent the strategic objectives, resources are clearly aligned to these. However, resources are not clearly aligned to each intended result.</p> <p>2. No budget document found that provides clear costings for the achievement of each GEF-6 or GEF-7 result. Total replenishment resources are expected lead to all the results outlined.</p> <p>3. No documentary or interview evidence of tracking at corporate level for corporate results. However, costs are tracked at the project-level by the agencies consistent with the requirements set out in the GEF's minimum fiduciary standards and the financial procedures agreements between the Trustee and the Agencies. The Secretariat collects information on funding approvals, commitments, disbursements, as well as expected and achieved results on a project by project basis. These data underpin the aggregate figures presented in the Corporate Scorecard and the Annual Portfolio Monitoring Report. Agency and project-level systems were not assessed.</p> <p>4. OPS6 reported that the corporate results-based management system has improved over time but has not provided useful feedback on IA performance or lessons learned, and has had an insufficient focus on impacts. No evidence was found of improved costing of management and development results over time.</p> | 9, 61, 64, 74, 83 |
| MI 4.3 Evidence confidence | Medium confidence |
| MI 4.4: External audit or other external reviews certifies the meeting of international standards at all levels, including with respect to internal audit | Score |
| Overall MI rating | Highly satisfactory |
| Overall MI score | 4 |
| Element 1: External audit conducted which complies with international standards | 4 |
| Element 2: Most recent external audit confirms compliance with international standards across functions | 4 |
| Element 3: Management response is available to external audit | 4 |
| Element 4: Management response provides clear action plan for addressing any gaps or weaknesses identified by external audit | 4 |
| Element 5: Internal audit functions meet international standards, including for independence | 4 |
| Element 6: Internal audit reports are publicly available | 4 |

| MI 4.4 Analysis | Source document |
|---|---------------------|
| <ol style="list-style-type: none"> 1. Documents state that external audits comply with international standards. 2. Most recent audit report examined (2016) confirms compliance with international standards. 3. Management response is prepared in the context of external audit if there are any audit observation requiring management response. 4. The management response will include action plans to address any audit observation 5. Minimum Fiduciary Standards require internal audit activity that meets international standards. <p>All audited financial reports for the GEF are available on the WB or GEF websites. Internal audit reports are also publicly available. These reports are not specific to GEF and hence will not be available on GEF website.</p> | 58, 75, 76 |
| MI 4.4 Evidence confidence | Medium confidence |
| MI 4.5: Issues or concerns raised by internal control mechanisms (operational and financial risk management, internal audit, safeguards etc.) adequately addressed | Score |
| Overall MI rating | Highly satisfactory |
| Overall MI score | 3.5 |
| Element 1: A clear policy or organisational statement exists on how any issues identified through internal control mechanisms will be addressed | 4 |
| Element 2: Management guidelines or rules provide clear guidance on the procedures for addressing any identified issues, including timelines | 4 |
| Element 3: Clear guidelines are available for staff on reporting any issues identified | 4 |
| Element 4: A tracking system is available which records responses and actions taken to address any identified issues | 2 |
| Element 5: Governing Body or management documents indicate that relevant procedures have been followed/action taken in response to identified issues, including recommendations from audits (internal and external) | 4 |
| Element 6: Timelines for taking action follow guidelines/ensure the addressing of the issue within twelve months following its reporting | 3 |
| MI 4.5 Analysis | Source document |
| <ol style="list-style-type: none"> 1. All GEF implementing Agencies (IAs) required to adhere to GEF Minimum Fiduciary Standards. This document includes a clear policy on how any issues identified should be addressed. 2. The management guidelines will include procedures and action plans to address any internal audit observation. 3. There are clear guidelines for staff to report issues related to audit, financial risk and operational risk. 4. No documentary or interview evidence on a GEF tracking system recording responses and actions taken. Agency Minimum Standards on Environmental and Social Safeguards (2015) require agencies to report annually on cases reported and how they are being addressed. 5. If there are issues identified, management documents the relevant procedures that will be followed as an action plan to address the observation by the auditors. 6. The timeline for taking action would be determined based on the issues identified. Usually management actions are completed within 12 months. | 16, 19, 59, 61, 82 |

| | |
|---|----------------------------|
| No documentary or interview evidence on a GEF tracking system recording responses and actions taken. Agency Minimum Standards on Environmental and Social Safeguards (2015) require agencies to report annually on cases reported and how they are being addressed. | 16, 19, 59, 61, 82 |
| MI 4.5 Evidence confidence | Medium confidence |
| MI 4.6: Policies and procedures effectively prevent, detect, investigate and sanction cases of fraud, corruption and other financial irregularities | Score |
| Overall MI rating | Highly satisfactory |
| Overall MI score | 3.83 |
| Element 1: A clear policy/guidelines on fraud, corruption and any other financial irregularities is available and made public | 4 |
| Element 2: The policy/guidelines clearly define the roles of management and staff in implementing/ complying with the guidelines | 4 |
| Element 3: Staff training/awareness-raising has been conducted in relation to the policy/guidelines | 4 |
| Element 4: There is evidence of policy/guidelines implementation, e.g. through regular monitoring and reporting to the Governing Body | 3 |
| Element 5: There are channels/mechanisms in place for reporting suspicion of misuse of funds (e.g. anonymous reporting channels and “whistle-blower” protection policy) | 4 |
| Element 6: Annual reporting on cases of fraud, corruption and other irregularities, including actions taken, ensures that they are made public | 4 |
| MI 4.6 Analysis | Source document |
| <ol style="list-style-type: none"> 1. GEF staff are WB employees and are required to subscribe to WB Code of Professional Ethics. All GEF implementing Agencies are required to comply with the GEF Minimum Fiduciary Standards. Both documents are publicly available. 2. WB Staff Manual contains guidance for management and staff. 3. All WBG staff are trained on the Bank’s Code of Conduct. Additional training has been organised as needed to refresh staff knowledge of key rules. 4. The GEF is covered by WBG policies and systems, including for reporting. The Council has not requested separate monitoring of the implementation of WBG policies, such as the Code of Conduct. 5. WB has Code of Conduct and both an Ethics Hotline and a Fraud and Corruption Hotline. All GEF implementing Agencies are required to comply with the GEF Minimum Fiduciary Standards, which includes provision for a hotline and whistle-blower protection. 6. The GEF is covered by WBG policies and systems, including for reporting 7. The WBG Integrity Vice Presidency publishes annual reports. | 19, 28, 56, 60, 61, 77, 78 |
| MI 4.6 Evidence confidence | Medium confidence |

RELATIONSHIP MANAGEMENT

Engaging in inclusive partnerships to support relevance, to leverage effective solutions and to maximise results (in line with Busan Partnerships commitments).

| KPI 5: Operational planning and intervention design tools support relevance and agility (within partnerships) | KPI score |
|---|--|
| Satisfactory | 2.51 |
| <p>No intervention designs were assessed as part of this review. A sample of five PIFs for full and medium-sized projects were reviewed, but not the full intervention designs. This limits the extent to which it is possible to properly assess this KPI. That aside, alignment of interventions with national priorities, and the application of contextual analysis, were rated as highly satisfactory. Capacity analysis, risk management, some cross-cutting analysis, and sustainability measures were rated as satisfactory. There is some evidence that procedures do not support speed of implementation. The absence of targets or benchmarks (except those relating to project cancellation) contribute to a highly unsatisfactory rating for this MI. OPS6 reported that improvements in project cycle efficiency have been slow.</p> | |
| MI 5.1: Interventions aligned with national/regional priorities and intended national/regional results | Score |
| Overall MI rating | Highly satisfactory |
| Overall MI score | 4 |
| Element 1: Reviewed country or regional strategies make reference to national/regional strategies or objectives | 4 |
| Element 2: Reviewed country strategies or regional strategies link the results statements to national or regional goals | 4 |
| Element 3: Structures and incentives in place for technical staff that allow investment of time and effort in alignment process | N/E |
| MI 5.1 Analysis | Source document |
| <p>1. GEF does not have country or regional strategies, but there is a significant body of evidence from document review that GEF funded activities make reference to national/regional objectives. A review of a sample of GEF-6 PIF forms for full and medium-sized projects demonstrates that this information is provided in practice.</p> <p>2. The GEF-6 PIF Template and the template for the GEF-6 Secretariat Review of Full and Medium-sized projects asks whether the project design is consistent with the recipient country's national strategies and plans or reports and assessments under relevant conventions. A review of a sample of GEF-6 PIF forms for full and medium-sized projects demonstrates that this information is provided in practice.</p> <p>3. Interviews suggest that Secretariat has been reorganised on regional/country lines to ensure better alignment with country priorities. No information available on whether this has allowed sufficient investment of time and resources by Secretariat staff, or regarding the structures and incentives for technical staff within IAs. Insufficient evidence to rate this element.</p> | 4, 8, 17, 21, 27, 30, 45, 50, 62, 66, 79, 85, 86, 87, 88, 89, 90, 91 |
| MI 5.1 Evidence confidence | Medium confidence |

| MI 5.2: Contextual analysis (shared where possible) applied to shape the intervention designs and implementation | Score |
|--|---|
| Overall MI rating | Satisfactory |
| Overall MI score | 2.8 |
| Element 1: Intervention designs contain a clear statement that positions the intervention within the operating context | 4 |
| Element 2: Context statement has been developed jointly with partners | 4 |
| Element 3: Context analysis contains reference to gender issues, where relevant | 2 |
| Element 4: Context analysis contains reference to environmental sustainability and climate change issues, where relevant | N/A |
| Element 5: Context analysis contains reference to governance issues, including conflict and fragility, where relevant | 2 |
| Element 6: Evidence of reflection points with partner(s) that take note of any significant changes in context | 2 |
| MI 5.2 Analysis | Source document |
| <p>No intervention designs were assessed. A sample of five PIFs for full and medium-sized projects were reviewed, but not the full intervention designs.</p> <ol style="list-style-type: none"> 1. A review of a sample of five full and medium-sized Project Identification Forms from GEF-6 suggest that in practice intervention designs provide analysis of the operating context. This included environmental, socio-economic, political, and governance factors. 2. By definition, every GEF funded activity is developed jointly with partners. A project is scoped and developed by an Implementing Agency, in conjunction with an Operational Focal Point representing the relevant national government. 3. The GEF-6 PIF template asks if the project design takes issues on gender equality and women's empowerment into account. Evidence of mixed performance regarding whether context analysis contains reference to gender issues is provided by the Evaluation of Gender Mainstreaming in the GEF (2017). 4. Given the nature of the GEF all project designs have environmental sustainability and climate change at their core. Hence element considered n/a. 5. The GEF-6 PIF Template does not explicitly request information on governance issues. However, a review of a sample of five full and medium-sized Project Identification Forms from GEF-6 suggest that in practice intervention designs discuss a range of governance issues as appropriate. 6. Mid-term reviews involving partners are required for all full-sized projects and recommended for medium-sized projects (i.e. not carried out for all projects). MTRs are intended to offer an opportunity for reflection and course-correction, as needed, including adapting to significant changes in context. | 2, 21, 40, 45, 50, 85, 86, 87, 88, 89, 90, 91 |
| MI 5.2 Evidence confidence | Medium confidence |

| | |
|---|--------------------------|
| MI 5.3: Capacity analysis informs intervention design and implementation, and strategies to address any weakness found are employed | Score |
| Overall MI rating | Satisfactory |
| Overall MI score | 2.2 |
| Element 1: Intervention designs contain a clear statement of capacities of key national implementing partners | 1 |
| Element 2: Capacity analysis considers resources, strategy, culture, staff, systems and processes, structure and performance | 2 |
| Element 3: Capacity analysis statement has been developed jointly where feasible | 4 |
| Element 4: Capacity analysis statement includes clear strategies for addressing any weaknesses, with a view to sustainability | 2 |
| Element 5: Evidence of regular and resourced reflection points with partner(s) that take note of any significant changes in the wider institutional setting that affect capacity | 2 |
| MI 5.3 Analysis | Source document |
| <p>No intervention designs were assessed. A sample of five PIFs for full and medium-sized projects were reviewed, but not the full intervention designs.</p> <ol style="list-style-type: none"> 1. The GEF-6 Project Identification Form template does not explicitly require a formal capacity analysis of any kind. A review of a sample of five full and medium-sized PIFs from GEF-6 reveal that in practice partner capacity is discussed, but found no examples that could be defined as a “clear statement of capacities” of partners. 2. The GEF-6 Project Identification Form template does not explicitly require a formal capacity analysis of any kind. A review of a sample of five full and medium-sized PIFs from GEF-6 reveal that in practice capacity analysis is present, which discusses resources, strategy, staff etc. 3. No direct evidence, but GEF projects are developed jointly by IAs and countries. 4. The GEF-6 Project Identification Form template does not explicitly require a formal capacity analysis of any kind. A review of a sample of five full and medium-sized PIFs from GEF-6 reveal that in practice strategies are sometimes present which address capacity weaknesses. 5. Mid-term reviews are required for all full-sized projects and recommended for medium-sized projects (i.e. are not carried out for all projects). MTRs are intended to offer an opportunity for reflection and course-correction, as needed, including adapting to significant changes in the wider institutional setting. | 87, 88, 89, 90, 91 |
| MI 5.3 Evidence confidence | Medium confidence |
| MI 5.4: Detailed risk (strategic, political, reputational, operational) management strategies ensure the identification, mitigation, monitoring and reporting of risks | Score |
| Overall MI rating | Satisfactory |
| Overall MI score | 2.25 |
| Element 1: Intervention designs include detailed analysis of and mitigation strategies for operational risk | 4 |
| Element 2: Intervention designs include detailed analysis of and mitigation strategies for strategic risk | 2 |
| Element 3: Intervention designs include detailed analysis of and mitigation strategies for political risk | 2 |

| | |
|---|--|
| Element 4: Intervention designs include detailed analysis of and mitigation strategies for reputational risk | N/E |
| Element 5: Risks are routinely monitored and reflected upon by the partnership | 1 |
| Element 6: Risk mitigation actions taken by the partnership are documented and communicated | N/E |
| MI 5.4 Analysis | Source document |
| <p>No intervention designs were assessed. A sample of five PIFs for full and medium-sized projects were reviewed, but not the full intervention designs. The more comprehensive information presented in Agencies' project documents at the time of CEO Endorsement/ Approval might have changed these ratings.</p> <ol style="list-style-type: none"> 1. The GEF-6 Project Identification Form (PIF) template requires that all project designs indicate risks (including climate change, and social and environmental) and, if possible, to propose mitigation measures for these risks. A review of a sample of five PIFs for full and medium-sized projects in the GEF period suggested that in practice risks and mitigation measures are identified, and that operational risks are considered. Two evaluations rated risk mitigation as adequate for almost all projects. 2. A review of a sample of five PIFs for full and medium-sized projects in the GEF period suggested that in practice risks and mitigation measures are identified, and that strategic risks are considered, but not always in detail. 3. A review of a sample of five PIFs for full and medium-sized projects in the GEF period suggested that in practice risks and mitigation measures are identified, and that political risks are considered, but not always in detail. 4. A review of a sample of five PIFs for full and medium-sized projects in the GEF period found no examples of reputational risks being discussed. 5. The GEF-6 PIF template does not require information on how risks are monitored and reflected upon. A review of a sample of five PIFs for full and medium-sized projects in the GEF period found some examples of information on how risks are to be monitored. At portfolio level, OPS6 reports that the GEF Secretariat has not, to date, developed guidance covering ongoing reporting on safeguard-related issues during project implementation. Potential environmental and social risks are not systematically tracked and this limits the Secretariat's ability to maintain an overview of risk across their portfolio. The recently updated policy on environmental and social safeguards responds directly to this element but post-dates this assessment. 6. No documentary or interview evidence. The GEF-6 Project Identification Form template does not require information on how risk mitigation actions taken are documented and communicated. A review of a sample of five PIFs for full and medium-sized projects in the GEF period found no examples of where documentation and communication was planned. | 42, 45, 62, 85, 86, 87, 88, 89, 90, 91 |
| MI 5.4 Evidence confidence | Medium confidence |
| MI 5.5: Intervention designs include the analysis of cross-cutting issues (as defined in KPI 2) | Score |
| Overall MI rating | Satisfactory |
| Overall MI score | 2.33 |
| Element 1: Intervention design documentation includes the requirement to analyse cross-cutting issues | 2 |
| Element 2: Guidelines are available for staff on the implementation of the relevant guidelines | 4 |
| Element 3: Approval procedures require the assessment of the extent to which cross-cutting issues have been integrated in the design | 2 |

| | |
|---|--|
| Element 4: Intervention designs include the analysis of gender issues | 4 |
| Element 5: Intervention designs include the analysis of environmental sustainability and climate change issues | N/A |
| Element 6: Intervention designs include the analysis of good governance issues | 0 |
| Element 7: Plans for intervention monitoring and evaluation include attention to cross cutting issues | 2 |
| MI 5.5 Analysis | Source document |
| <p>No intervention designs were assessed. A sample of five PIFs for full and medium-sized projects were reviewed, but not the full intervention designs.</p> <ol style="list-style-type: none"> 1. The GEF-6 Project Identification Form (PIF) requires consideration of some of the cross-cutting issues as defined in KP2 (not governance and human rights). 2. Guidelines are available in the form of the Principles and Guidelines for Engagement with Indigenous Peoples (2012); the Agency Minimum Standards on Environmental and Social Safeguards (2015); and the new Guidance to Advance Gender Equality (2018). 3. Documents indicate that approval procedures require that some of the cross-cutting issues (notably gender and indigenous peoples) have been integrated in the design. 4. The GEF-6 PIF asks if a project design has taken gender considerations into account. A review of five GEF-6 PIFs provides evidence that this section of the template is used in practice. OPS6 reports gender consideration in project documentation in 98% of the projects reviewed. 5. All GEF interventions designs must include the analysis of environmental sustainability and climate change issues. This is core to GEFs mandate and so is rated n/a. 6. No documentary or interview evidence. The GEF-6 and GEF-7 PIF does not explicitly require any analysis of good governance issues. 7. The GEF-6 PIF does not explicitly request information on how intervention monitoring and evaluation will include attention to cross-cutting issues. A review of five GEF-6 PIFs provides evidence that in practice some PIFs provide this information, on a case-by-case basis. Gender and IP guidance require plans for M&E. | 1, 2, 6, 7, 14, 16, 20, 23, 26, 50, 62, 80, 85, 86, 87, 88, 89, 90, 91 |
| MI 5.5 Evidence confidence | Medium confidence |
| MI 5.6: Intervention designs include detailed and realistic measures to ensure sustainability (as defined in KPI 12) | Score |
| Overall MI rating | Satisfactory |
| Overall MI score | 2.5 |
| Element 1: Intervention designs include statement of critical aspects of sustainability, including; institutional framework, resources and human capacity, social behaviour, technical developments and trade, as appropriate | 4 |
| Element 2: Key elements of the enabling policy and legal environment that are required to sustain expected benefits from a successful intervention are defined in the design | 2 |
| Element 3: The critical assumptions that underpin sustainability form part of the approved monitoring and evaluation plan | 2 |
| Element 4: Where shifts in policy and legislation will be required these reform processes are addressed (within the intervention plan) directly and in a time sensitive manner | 2 |

| MI 5.6 Analysis | Source document |
|---|----------------------------------|
| <p>No intervention designs were assessed. A sample of five PIFs for full and medium-sized projects were reviewed, but not the full intervention designs.</p> <ol style="list-style-type: none"> 1. The GEF-6 Project Identification Form (PIF) requires a project description which includes, inter alia, sustainability and potential for scaling up. A review of a sample of five GEF-6 PIFs from full and medium-sized projects suggests that in practice issues pertaining to sustainability are analysed in detail. 2. The GEF-6 PIF template does not explicitly require information on key elements of the enabling policy and legal environment of a design. However, A review of a sample of five GEF-6 PIFs from full and medium-sized projects suggests that in practice these issues are defined as necessary. 3. The GEF-6 PIF template does not explicitly require information on the critical assumptions that underpin sustainability form part of the monitoring and evaluation plan. However, A review of a sample of five GEF-6 PIFs from full and medium-sized projects suggests that in practice this information is provided as necessary. 4. IEO's review of the Impact of the GEF Support on National Environmental Laws and Policies in Selected countries concluded that the bulk of GEF-funded projects had provided positive support to the law making process, but that project designs are sometimes based on unrealistic expectations for the likelihood and pace of legal reform. The GEF-6 PIF template does not explicitly require information on this topic. | 1, 7, 85, 86, 87, 88, 89, 90, 91 |
| MI 5.6 Evidence confidence | Medium confidence |
| MI 5.7: Institutional procedures (including systems for engaging staff, procuring project inputs, disbursing payment, logistical arrangements etc.) positively support speed of implementation | Score |
| Overall MI rating | Unsatisfactory |
| Overall MI score | 1.5 |
| Element 1: Internal standards are set to track the speed of implementation | 2 |
| Element 2: Organisation benchmarks (internally and externally) its performance on speed of implementation across different operating contexts | 1 |
| Element 3: Evidence that procedural delays have not hindered speed of implementation across interventions reviewed | 0 |
| Element 4: Evidence that any common institutional bottlenecks in speed of implementation identified and actions taken leading to an improvement | 3 |
| MI 5.7 Analysis | Source document |
| <p>Note: MI elements are a poor measure of the MI as stated.</p> <ol style="list-style-type: none"> 1. Documents show that some aspects of the speed of implementation (average time in months between PIF approval and CEO endorsement; time to first disbursement) are monitored. But no evidence has been found which indicates there are specific targets/standards for speed of implementation, except for those relating to project cancellation. 2. No evidence has been found that GEF uses external benchmarks of implementation speed, or that it benchmarks across different operating contexts. Evidence that implementation speed is benchmarked internally, across replenishment periods, is provided by the OPS6. The most recent Annual Portfolio Monitoring Report (December 2018) provides disaggregated information on the speed of implementation and disbursements, but this post-dates this assessment period. | 31, 35, 62, 65, 82 |

| | |
|---|----------------------------|
| <p>3. OPS6 provides some evidence that procedural delays may have hindered the speed of implementation of interventions, primarily because of the anticipated shortfall in the realisation of GEF-6 replenishment commitments.</p> <p>4. OPS 6 notes that the GEF issued guidelines for program and project cycle management in 2017, in order to improve the speed of PIF submission to approval, but that it is too early to assess their effects. Interviews noted that efforts to educate partners on GEF-7 requirements, and harmonised procedures agreed with WB, represent action to reduce procedural delays. It is too early to assess the effect of all these changes although the Secretariat report improvement as a result of the revised cancellation policy.</p> | 31, 35, 62, 65, 82 |
| MI 5.7 Evidence confidence | Medium confidence |
| KPI 6: Works in coherent partnerships directed at leveraging and/or ensuring relevance and catalytic use of resources | KPI score |
| Satisfactory | 2.91 |
| <p>GEF is by definition a partnership organisation, one that involves partnerships at different levels. Every GEF funded activity can be considered a partnership between the GEF, the relevant Implementing Agency, and the national government of the host country. As such, MI's 6.5, 6.7 and 6.8 have been considered as non-applicable to this assessment, as they cover areas which are deemed as a central part of the GEF operating model.</p> <p>Mechanisms are in place to allow for programmatic adjustments when conditions change, though no evidence was found on how this is monitored on an ongoing basis, or if and how institutional bottlenecks are identified. The comparative advantage of the GEF Partnership and brief descriptions of the comparative advantage of each Implementing Agency are available in GEF documents, but interviews with GEF Secretariat suggest that the technical comparative advantage of an individual IA plays less of a role in their selection by a national government than which agencies have a presence in that country. The use of Busan is left up to the IA, but default expectation of GEF's fiduciary standards is for the use of national capacity in implementation.</p> <p>The GEF's identification and exploitation of synergies and leverage was highly satisfactory, as was how key information was shared with partners. The GEF's deployment of its knowledge base was rated satisfactory.</p> | |
| MI 6.1: Planning, programming and approval procedures enable agility in partnerships when conditions change | Score |
| Overall MI rating | Highly satisfactory |
| Overall MI score | 3.67 |
| Element 1: Mechanisms in place to allow programmatic changes and adjustments when conditions change | 4 |
| Element 2: Mechanisms in place to allow the flexible use of programming funds as conditions change (budget revision or similar) | 4 |
| Element 3: Institutional procedures for revisions permit changes to be made at country/regional/HQ level within a limited timeframe (less than three months) | N/E |
| Element 4: Evidence that regular review points between partners support joint identification and interpretation of changes in conditions | 3 |
| Element 5: Evidence that any common institutional bottlenecks in procedures identified and action taken leading to an improvement | N/E |

| MI 6.1 Analysis | Source document |
|---|---------------------|
| <p>1. Document review and interviews generated limited evidence. The Project and Program Cycle Policy (2016) makes it clear that projects can be amended after approval and during implementation and provides detail on the process that must be followed in such circumstances.</p> <p>2. Limited documentary or interview evidence. As for Element 1, the Project and Program Cycle Policy (2016) makes it clear that projects can be amended after approval and during implementation and provides detail on the process that must be followed in such circumstances. The Impact Evaluation of GEF Support to Protected Areas (2016) said that GEF had adopted a very flexible approach to project planning and implementation.</p> <p>3. Limited documentary or interview evidence. Mid-term reviews are required for all full-sized projects and recommended for medium-sized projects. MTRs offer an opportunity for reflection and course correction but are not carried out for all projects.</p> <p>4. No documentary or interview evidence.</p> | 3, 17, 44 |
| MI 6.1 Evidence confidence | Medium confidence |
| MI 6.2: Partnerships based on an explicit statement of comparative advantage e.g. technical knowledge, convening power/partnerships, policy dialogue/advocacy | Score |
| Overall MI rating | Satisfactory |
| Overall MI score | 2.5 |
| Element 1: Corporate documentation contains clear and explicit statement on the comparative advantage that the organisation is intending to bring to a given partnership | 3 |
| Element 2: Statement of comparative advantage is linked to clear evidence of organisational capacities and competencies as it relates to the partnership | 2 |
| Element 3: The organisation aligns its resources/competencies to its perceived comparative advantage | 3 |
| Element 4: Evidence that comparative advantage is deployed in partnerships to positive effect | 2 |
| MI 6.2 Analysis | Source document |
| <p>1. GEF is a partnership organisational and also involves partnerships at different levels. The 2020 Strategy and OPS6 both provide an assessment of the comparative advantage of GEF. The A to Z of the GEF (2015) provides a summary narrative describing the comparative advantages of each of the 18 GEF implementing Agencies. Documentation justifying a particular IA-country partnership was not found.</p> <p>2. Limited documentary evidence of capacities and competencies within statements of comparative advantage, except at level of GEF and IAs. The 2020 Strategy and OPS6 both provide an assessment of the comparative advantage of GEF. The A to Z of the GEF (2015) provides a summary narrative describing the comparative advantages of each of the 18 GEF implementing Agencies.</p> <p>3. Evidence from the GEF-7 replenishment papers suggests that GEF as an organisational aligns its resources to its perceived comparative advantage. Interviews with GEF Secretariat suggest that the technical comparative advantage of an individual IA plays less of a role in their selection by a national government than which agencies have a presence in that country, and that the comparative advantage of IA is less important than it was.</p> | 1, 2, 3, 11, 62, 84 |

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| 4. Some evidence was found that comparative advantage was deployed in partnerships to positive effect. Interviews with GEF Secretariat suggest that the technical comparative advantage of an individual IA plays less of a role in their selection by a national government than which agencies have a presence in that country, but some IAs (e.g. UNIDO) are used for particular types of project. Country presence can be seen as a form of comparative advantage, but there is no documentary or interview evidence of its benefits. | 1, 2, 3, 11, 62, 84 |
| MI 6.2 Evidence confidence | Medium confidence |
| MI 6.3: Clear adherence to the commitment in the Busan Partnership for Effective Development Cooperation on use of country systems | Score |
| Overall MI rating | |
| Overall MI score | N/A |
| Element 1: Clear statement on set of expectations for how the organisation will seek to deliver on the Busan commitment/QCPR statement (as appropriate) on use of country systems within a given time period | N/A |
| Element 2: Internal processes (in collaboration with partners) to diagnose the condition of country systems | N/A |
| Element 3: Clear procedures for how organisation to respond to address (with partners) concerns identified in country systems | N/A |
| Element 4: Reasons for non-use of country systems clearly and transparently communicated | N/A |
| Element 5: Internal structures and incentives supportive of greater use of country systems | N/A |
| Element 6: Monitoring of the organisation trend on use of country systems and the associated scale of investments being made in strengthening country systems | N/A |
| MI 6.3 Analysis | Source document |
| <p>MI considered to be non-applicable to the GEF. While the GEF does not have a policy framework in place to address the Busan Partnership, it should be noted that the GEF works through 18 implementing Agencies, which may have such policy frameworks. The GEF does not have legal personality and cannot enter into contractual agreements with national executing partners. Instead, it sets minimum standards that its Agencies have to meet, and Agencies oversee the implementation of projects and programs using their own systems, including country systems where appropriate.</p> <p>No clear statement or explicit reference to the Busan Partnership/QCPR statement was revealed during document extraction. Interviews with GEF Secretariat staff noted that while the use of Busan is left up to the IA, but default expectation of GEF's fiduciary standards is for the use of national capacity in implementation. The GEF's minimum fiduciary standards set out rules regarding the separation of implementing and executing functions, which in practice entails that for national projects Agencies' should use national executing partners unless compelling reasons exist to do otherwise. The policy on environmental and social safeguards allows Agencies to use country systems, provided that GEF minimum standards are met.</p> | 2, 3, 11, 39, 62 |
| MI 6.3 Evidence confidence | |

| MI 6.4: Strategies or designs identify synergies, to encourage leverage/catalytic use of resources and avoid fragmentation | Score |
|---|-------------------------------------|
| Overall MI rating | Highly satisfactory |
| Overall MI score | 3.2 |
| Element 1: Strategies or designs clearly recognise the importance of synergies and leverage | 4 |
| Element 2: Strategies or designs contain clear statements of how duplication/fragmentation will be avoided based on realistic assessment of comparative advantages | 0 |
| Element 3: Strategies or designs contain clear statement of where an intervention will add the most value to a wider change | 4 |
| Element 4: Strategies or designs contain a clear statement of how leverage will be ensured | 4 |
| Element 5: Strategies or designs contain a clear statement of how resources will be used catalytically to stimulate wider change | 4 |
| MI 6.4 Analysis | Source document |
| <p>1. The nature of the GEF means that it will always be working in collaboration with others. Multiple documents clearly recognise the importance of synergies and leverage. The Impact Programs are explicitly aimed at exploiting greater synergies. Multiple interviews with the GEF Secretariat highlighted the importance of the Impact Programmes in an effort to increase synergies and global impact of GEF activities.</p> <p>2. The delegation of responsibilities between the GEF and its implementing Agencies is made clear in the Instrument for the Establishment of a Restructured Global Environment Facility (2015). Interviews with the GEF Secretariat, and GEF-7 documentation, demonstrate an intention to exploit synergies and encourage maximum impact from investment, in part through the use of Impact Programmes. While implicit, clear statements of how duplication/fragmentation will be avoided were not found.</p> <p>3. The GEF is mandated to act as a financial mechanism of the multilateral environmental conventions it serves. All strategies and programs contain clear statements of how GEF activities will add most value to wider, positive environmental change.</p> <p>4. The GEF only funds the additional, or incremental, costs of activities that generate benefits to the global environment. Co-financing is an example of how the GEF aims to ensure leverage, and the policy and co-financing is clearly articulated in corporate and strategic documents. GEF 2020 Strategy aims for the greatest synergies with many development and financial institutions, including the GEF partner agencies. The GEF-7 Replenishment Programming Directions (2018) notes that the GEF must leverage multi-stakeholder coalitions.</p> <p>5. GEF 2020 Strategy outlines the intent that resources will be used catalytically to stimulate other actors with the right signals and incentives to effectively and efficiently achieve global environmental results. No designs were reviewed.</p> | 1, 2, 3, 25, 50, 62, 63, 83, 84, 85 |
| MI 6.4 Evidence confidence | Medium confidence |

| | |
|--|---|
| MI 6.5: Key business practices (planning, design, implementation, monitoring and reporting) co-ordinated with other relevant partners (donors, UN agencies, etc.) Not Applicable | Score |
| Overall MI rating | |
| Overall MI score | N/A |
| Element 1: Evidence that the organisation has participated in joint planning exercises, such as the UNDAF | N/A |
| Element 2: Evidence that the organisation has aligned its programme activities with joint planning instruments, such as UNDAF | N/A |
| Element 3: Evidence that the organisation has participated in opportunities for joint programming where these exist | N/A |
| Element 4: Evidence that the organisation has participated in joint monitoring and reporting processes with key partners (donor, UN, etc.) | N/A |
| Element 5: Evidence of the identification of shared information gaps with partners and strategies developed to address these | N/A |
| Element 6: Evidence of participation in the joint planning, management and delivery of evaluation activities | N/A |
| MI 6.5 Analysis | Source document |
| By the nature of its organisation, mandate and operating model the GEF is always operating in partnership. The GEF Partnership itself is made up of Assembly, Council, Conventions, STAP, Trustee, IEO, Secretariat, IAs, Participant countries, Focal Points, and the Conflict Resolution Commissioner. Every GEF funded activity can be considered a partnership between the GEF, the relevant IA, and the national government of the host country. As such, MI 6.5 is considered a central part of the GEF's mandate and operating model. GEF must co-ordinate with partners by default in order to conduct its key business practices (such as planning policy, funding projects, monitoring and reporting etc.). This MI has therefore been considered non-applicable to this analysis. The results of partnerships to deliver key business practices such as planning and monitoring and reporting are analysed in other MIs and KPIs. | 1, 3, 12, 18, 19, 23, 25, 35, 39, 43, 48, 50, |
| MI 6.5 Evidence confidence | |
| MI 6.6: Key information (analysis, budgeting, management, results etc.) shared with strategic/ implementation partners on an ongoing basis | Score |
| Overall MI rating | Satisfactory |
| Overall MI score | 2.6 |
| Element 1: Information on the organisation's website is easily accessible and current | 4 |
| Element 2: The organisation has signed up to the International Aid Transparency Initiative or reports through the OECD-DAC systems | 4 |
| Element 3: Accurate information is available on analysis, budgeting, management and is in line with IATI or OECD-DAC (CRS) guidelines | 3 |
| Element 4: Evidence that partner queries on analysis, budgeting, management and results are responded to in a timely fashion | 0 |
| Element 5: Evidence that information shared is accurate and of good quality | 2 |

| MI 6.6 Analysis | Source document |
|--|-------------------|
| <ol style="list-style-type: none"> 1. Information on the GEF website is easily accessible and current. 2. GEF has signalled its intention to comply with the IATI. The OECD DAC database on the OECD. Stat website provides details on multi-lateral aid flows as well as climate finance in relation to the GEF. As part of the seventh replenishment of the GEF Trust Fund, the participants requested that “the Secretariat prioritise efforts to complete the new GEF Portal in time for the onset of GEF-7, equipped with a streamlined work flow across the GEF Partnership and more efficient processing of projects, programs, and reporting; resulting in more accessible, more timely, and higher quality data and information on GEF financing, operations, and results, and enabling the Secretariat to begin publishing data and information on GEF financing and results to the International Aid Transparency Initiative (IATI) Registry by June 2019”. 3. See response to Element 2 above. GEF has signalled its intention to comply with the IATI. 4. No documentary or interview evidence on response to partner queries in a timely fashion, but Secretariat reports that it is responsive to queries of all kinds. The GEF reports annually to OECD-DAC on funding approvals. The GEF reports regularly to external partners, such as OECD-DAC, the Climate Policy Initiative, as well as donors. 5. General concerns noted in documents and interviews about the quality of the information in PIMS. New information system launched in July 2018. | 51, 62, 81 |
| MI 6.6 Evidence confidence | Medium confidence |
| MI 6.7: Clear standards and procedures for accountability to beneficiaries implemented. Non-applicable | Score |
| Overall MI rating | |
| Overall MI score | N/A |
| Element 1: Explicit statement available on standards and procedures for accountability to beneficiary populations e.g. Accountability to Affected Populations | N/A |
| Element 2: Guidance for staff is available on the implementation of the procedures for accountability to beneficiaries | N/A |
| Element 3: Training has been conducted on the implementation of procedures for accountability to beneficiaries | N/A |
| Element 4: Programming tools explicitly contain the requirement to implement procedures for accountability to beneficiaries | N/A |
| Element 5: Approval mechanisms explicitly include the requirement to assess the extent to which procedures for accountability to beneficiaries will be addressed within the intervention | N/A |
| Element 6: Monitoring and evaluation procedures explicitly include the requirement to assess the extent to which procedures for accountability to beneficiaries have been addressed within the intervention | N/A |

| MI 6.7 Analysis | Source document |
|---|--------------------|
| It is noted that the GEF itself does not have a legal personality and therefore cannot be held legally accountable by beneficiaries. This accountability rests with the implementing Agencies. As such, the elements of this MI such as guidance for staff, training and programming tools are based on the individual policies and procedures of the GEF implementing Agencies. The delegation of responsibilities between the GEF and IA's is detailed in the Instrument for the Establishment of the Restructured Global Environment Facility (2015). As such this MI is non-applicable. | |
| MI 6.7 Evidence confidence | |
| MI 6.8: Participation with national and other partners in mutual assessments of progress in implementing agreed commitments. Non-applicable | Score |
| Overall MI rating | |
| Overall MI score | N/A |
| Element 1: Evidence of participation in joint performance reviews of interventions e.g. joint assessments | N/A |
| Element 2: Evidence of participation in multi-stakeholder dialogue around joint sectoral or normative commitments | N/A |
| Element 3: Evidence of engagement in the production of joint progress statements in the implementation of commitments e.g. joint assessment reports | N/A |
| Element 4: Documentation arising from mutual progress assessments contains clear statement of the organisation's contribution, agreed by all partners | N/A |
| Element 5: Surveys or other methods applied to assess partner perception of progress | N/A |
| MI 6.8 Analysis | Source document |
| By the nature of its organisation, mandate and operating model the GEF is always operating in partnership. The GEF Partnership itself is made up of Assembly, Council, Conventions, STAP, Trustee, IEO, Secretariat, IAs, Participant countries, Focal Points, and the Conflict Resolution Commissioner. Every GEF funded activity can be considered a partnership between the GEF, the relevant IA, and the national government of the host country. | 25, 27, 29, 40, 55 |
| As with MI 6.5, MI 6.8 is considered a central part of the GEF's mandate and operating model, as it must co-ordinate with partners by default in order to conduct its key business practices (such as planning policy, funding projects, monitoring and reporting etc.). This MI has therefore also been considered non-applicable to this analysis. The results of partnerships to deliver key business practices such as planning and monitoring and reporting are analysed in other MIs and KPIs. | |
| MI 6.8 Evidence confidence | |
| MI 6.9: Deployment of knowledge base to support programming adjustments, policy dialogue and/or advocacy | Score |
| Overall MI rating | Satisfactory |
| Overall MI score | 2.6 |
| Element 1: Statement in corporate documentation explicitly recognises the organisation's role in knowledge production | 4 |
| Element 2: Evidence of knowledge products produced and utilised by partners to inform action | 2 |

| | |
|--|---|
| Element 3: Knowledge products generated and applied to inform advocacy at country, regional or global level | 3 |
| Element 4: Evidence that knowledge products generated are timely/perceived as timely by partners | N/E |
| Element 5: Evidence that knowledge products are perceived as high quality by partners | 2 |
| Element 6: Evidence that knowledge products are produced in a format that supports their utility to partners | 2 |
| MI 6.9 Analysis | Source document |
| <p>1. Multiple GEF corporate documents provide statements explicitly recognising the organisation's role in knowledge production.</p> <p>2. Multiple GEF documents provide evidence of knowledge products produced, although these do not provide sufficient understanding of the extent to which knowledge products produced by the GEF has been utilised by partners to inform action. Some evidence of room for improvement in this regard is noted by the Knowledge Management Approach Paper (2015). Interviews with the GEF Secretariat suggested that the GEF is exploring ways to scale up the dissemination of knowledge products, but that what knowledge the GEF can communicate is limited by the availability of resources for knowledge management.</p> <p>3. There is some evidence from document review that the GEF has a stated intention to use knowledge products to inform advocacy. Limited evidence was found on how this has been applied in practice to inform advocacy. A survey conducted for OPS6 reported that two thirds of surveyed stakeholders reported having used knowledge produced by the GEF, particularly in technical and strategy documents, as an input into the design of their own environmental programs and projects; for awareness raising; or in the formulation of national environmental policies, strategies, laws, and regulations.</p> <p>4. No documentary or interview evidence on timeliness per se. A survey conducted for the OPS6 reported that access to information generated by the GEF "has been difficult", as knowledge generated and shared by the GEF is inconsistently integrated into repositories, which limits accessibility. This might imply that a lack of timeliness in the knowledge products generated.</p> <p>5. Limited documentary and interview evidence. GEF-7 discussions note appreciation of steps taken in GEF-6 to build KM systems and practices. OPS6 reported that the knowledge generated and shared by GEF projects is useful, but it is inconsistently integrated in repositories, thereby limiting accessibility. Interviews with GEF Secretariat staff noted that the generation of knowledge products related to the International Waters focal area have been well received.</p> <p>6. OPS6 reports that the knowledge generated and shared by the GEF is useful, but it is inconsistently integrated in repositories, thereby limiting accessibility. The GEF Knowledge Management Approach Paper (2015). This paper describes a fragmentation of knowledge related to GEF projects and programs across countries, focal areas and agencies, which renders knowledge difficult for both internal and external stakeholders to access. Interviews with SEC staff noted that GEF is trying to develop products that are useful and that a new website for knowledge and learning is under development.</p> | 1, 2, 4, 5, 9, 10, 22, 23, 25, 27, 29, 31, 38, 52, 62, 82 |
| MI 6.9 Evidence confidence | High confidence |

PERFORMANCE MANAGEMENT

Systems geared to managing and accounting for development and humanitarian results and the use of performance information, including evaluation and lesson-learning.

| KPI 7: Strong and transparent results focus, explicitly geared to function | KPI score |
|--|---|
| Satisfactory | 2.28 |
| <p>There is a clear commitment to results based management in the GEF. The system has been under resourced and understaffed although efforts are being made to improve this. There has been a lack of training in RBM although there is evidence that this is now being addressed. The tracking tools have been complex and burdensome to report against resulting in poor quality and patchy reporting. The new streamlined system has fewer, more reliable indicators to report against. Similarly, the project approval process was 'crippled' by having to respond to too many elements, indicators and measurements.</p> <p>Reporting to the GEF Council is done through the Corporate Scorecard, the APMR and the on project, focal areas and replenishment. There is a 4-year cycle of 'replenishment' i.e. every 4 years results targets are changed as well as corporate strategies. The lack of an overall (and project level) Theory of Change (ToC) is a weakness. Impact areas seen as an opportunity to articulate these more coherently in order to more clearly track outcomes and impact. There have been challenges in incorporating results into reporting and planning – partly due to long feedback loops due to the long period in implementation. With leaner reporting against only the core targets – should improve. The results data are adequate for accountability but not learning lessons from practice. One interviewee reported a reluctance to learn from 'challenges' and failures – a lack of candour and fear of talking about what did not work.</p> | |
| MI 7.1: Leadership ensures application of an organisation-wide RBM approach | Score |
| Overall MI rating | Satisfactory |
| Overall MI score | 2.67 |
| Element 1: Corporate commitment to a results culture is made clear in strategic planning documents | 4 |
| Element 2: Clear requirements/incentives in place for the use of an RBM approach in planning and programming | 3 |
| Element 3: Guidance for setting results targets and developing indicators is clear and accessible to all staff | 4 |
| Element 4: Tools and methods for measuring and managing results are available | 1 |
| Element 5: Adequate resources are allocated to the RBM system | 2 |
| Element 6: All relevant staff are trained in RBM approaches and methods | 2 |
| MI 7.1 Analysis | Source document |
| <p>1. Key strategic planning documents clearly demonstrate a corporate commitment to a results-based management culture within GEF (e.g. GEF Monitoring and Evaluation Policy (2010), AMR FY15:Part1 (2015)). The intention to further strengthen results-based management is indicated in the GEF-7 Replenishment Resource Allocation Scenarios (2018). In increase in the resource and staff allocated to RBM indicate that managing for results is a priority of the GEF (The Review of Results-Based Management in the GEF, 2017). Given the lack of data on the full project lifecycle, there has been a push for a comprehensive system for managing project data. A key aspect of this is shifting from irregular, manual to regular, automatic uploading of project data (Interview 4; OPS6 – Final Draft Report). The new results portal, launched in July 2018, looks likely to improve information sharing and project monitoring.</p> | 2, 4, 25, 27, 30, 32, 39, 41, 53, 54, 62, 83, 85. |

| | |
|---|---|
| <p>2. There is some incentive to use the RBM approach in project planning as GEF projects will not be approved unless they make a clear link to key objectives in the GEF Results Frameworks, including focal area frameworks. However, while OPS-6 found that the RBM system had played a strong role in reporting, the long duration of the feedback loop makes it less useful in informing programming decisions.</p> <p>3. The program indicators are closely linked to Conventions and there is clear guidance on setting results targets and indicators through them.</p> <p>4. Previous GEF tracking tools have resulted in data gaps and poor-quality information for several focal areas (Review of Results-Based Management in the GEF (2017)). Most tracking tools were simplified after OPS5. The Update on Progress and Planned Work (May 2016) describes the development of an improved PMIS and IT-based reporting system ('The Portal'). These changes look set to improve performance considerably, making it easier to report on actual results, rather than planned results. Actual results are not currently reported in the Corporate Scorecard. (The GEF Corporate Scorecard & Results-Based Management Action Plan, 2017).</p> <p>5. Despite the central place of RBM in GEF 2020 Strategy, the resources allocated to deliver it are inadequate in terms of people and finances (Results-Based Management Action Plan (2014)) Increased resources have been made available more recently with a strengthened RBM team and the introduction of the Corporate Scorecard in May 2016 However, the GEF RBM team remains small and with limited resources for M&E and knowledge management (Interview 6). In GEF6 and there have been significant efforts to improve the situation (Results Based Management Action Plan (2014)) but gaps remain.</p> <p>6. Until recently there was no systematic training in RBM approaches for relevant staff. (The RBM Action Plan, (2014)). However, significant efforts are now being made to build staff capacity (RBM Action Plan: Update on Progress and Planned work, May 2016).</p> | 2, 4, 25, 27, 30, 32, 39, 41, 53, 54, 62, 83, 85. |
| MI 7.1 Evidence confidence | High confidence |
| MI 7.2: Corporate strategies, including country strategies, based on a sound RBM focus and logic | Score |
| Overall MI rating | Satisfactory |
| Overall MI score | 2.6 |
| Element 1: Organisation-wide plans and strategies include results frameworks | 2 |
| Element 2: Clear linkages exist between the different layers of the results framework, from project through to country and corporate level | 2 |
| Element 3: An annual report on performance is discussed with the governing bodies | 4 |
| Element 4: Corporate strategies are updated regularly | 4 |
| Element 5: The annual corporate reports show progress over time and note areas of strong performance as well as deviations between planned and actual results | 1 |
| MI 7.2 Analysis | Source document |
| <p>1. Monitoring and reporting are currently done at 3 levels: project; focal area and for an overall replenishment cycle.</p> <p>2. The levels connect as results at the project level contribute to focal area and corporate results within a replenishment cycle. Tracking tools act to link project results with focal area and corporate results (OPS6 Final Draft Report (2017)). However, the GEF2017 Review of RBM in GEF, states that these causal linkages were not adequately articulated for the GEF6 programs.</p> | 1, 2, 3, 25, 30, 31, 32, 35, 41, 53, 54, 62, 84, 85 |

| | |
|--|---|
| <p>3. Performance results are discussed with the GEF Council via the Annual Monitoring Review, Annual Portfolio Monitoring Report (APMR) and the Scorecard</p> <p>4. The APMR being considered the most important tool for Annual Reporting to Council and also to the GEF Conventions (Review of the RBM in GEF (2017). Corporate strategies are updated every 4 years through the replenishment process.</p> <p>5. The key GEF annual corporate reporting documents (APMR, Scorecard, Annual Performance Reports) provide some commentary on progress over time and areas of strong performance but there is a focus on planned results and limited reporting of actual, achieved results. For example, there is no GEF6 replenishment reports on results achieved. The GEF 2020 strategy (2014) details a more streamlined and effective system for results management which focuses on a set of core indicators which will assist in managing for results. It notes, however that additional improvements are needed. The recent GEF-7 Programming Directions and Policy Framework (2018) provides a High-Level Results Framework for the replenishment period.</p> | 1, 2, 3, 25, 30, 31, 32, 35, 41, 53, 54, 62, 84, 85 |
| MI 7.2 Evidence confidence | High confidence |
| MI 7.3: Results targets set based on a sound evidence base and logic | Score |
| Overall MI rating | Satisfactory |
| Overall MI score | 2.5 |
| Element 1: Targets and indicators are adequate to capture causal pathways between interventions and the outcomes that contribute to higher order objectives | 1 |
| Element 2: Indicators are relevant to the expected result to enable measurement of the degree of goal achievement | 2 |
| Element 3: Development of baselines are mandatory for new interventions | 4 |
| Element 4: Results targets are regularly reviewed and adjusted when needed | 3 |
| MI 7.3 Analysis | Source document |
| <p>1. The targets and indicators have become more adequate over time. However, OPS-6 concluded that a clear theory of change had not been articulated.</p> <p>2. The earlier 'proliferation' of indicators (over GEF 4 and GEF 5, particularly) in response to stakeholder demands has now been streamlined. However, the lack of a clear, overall theory of change (ToC) was picked up as a weakness for GEF6. The Review of RBM in GEF (2017) suggests, GEF is in line with other organisations in terms of the indicators tracked and reported on at the corporate level, although there is an absence of indicators for long-term impacts and trends which is likely to constrain future impact assessments for the GEF. Since GEF5, the indicators tracked have become more appropriate and simpler to report on.</p> <p>3. Results targets are reviewed every 4 years as part of the replenishment process. Baselines are a mandatory element of the Project Implementation Form (PIF).</p> <p>4. It is not clear what monitoring and reporting happens at project level in the implementing Agencies, nor what happens with project results. There is evidence of targets being changed during replenishment and there is some flexibility to change projects mid-stream. Expected results are reviewed every 6 months through the corporate scorecard although no evidence of adjustment was seen.</p> | 41, 53, 62 |
| MI 7.3 Evidence confidence | Medium confidence |

| MI 7.4: Monitoring systems generate high quality and useful performance data | Score |
|--|--------------------------------|
| Overall MI rating | Satisfactory |
| Overall MI score | 2.29 |
| Element 1: The corporate monitoring system is adequately resourced | 3 |
| Element 2: Monitoring systems generate data at output and outcome level of the results chain | 2 |
| Element 3: Reporting structures are clear | 4 |
| Element 4: Reporting processes ensure timely data for key corporate reporting, and planning | 1 |
| Element 5: A system for ensuring data quality exists | 2 |
| Element 6: Data adequately captures key corporate results | 1 |
| Element 7: Adequate resources are allocated to the monitoring system | 3 |
| MI 7.4 Analysis | Source document |
| <p>1. The resources allocated to RBM are not considered sufficient in terms of people and finances (Results-Based Management Action Plan (2014)). OPS5 noted the 'need for more human and financial capacity on RBM in the GEF Secretariat given the high burden of monitoring and reporting at the project level. There is evidence that this has been addressed in OPS6. In May 2016 the Scorecard was introduced and the RBM team was strengthened in Sept 2016 with a lead RBM Specialist was also brought on board to lead the team. It is too early to tell whether this increase in resourcing is adequate.</p> <p>2. The Review of the RBM in GEF (2017) discusses the 'complex and burdensome' nature of the GEF focal area tracking tools. Significant progress in simplifying the monitoring and reporting requirement has been reported for most focal areas. This report suggests results would be tracked beyond the replenishment period but in practice, the Secretariat has reported on aggregate results targets of GEF6 projects but not yet on the actual results of GEF4 and GEF 5 projects against their respective targets. OPS6 Draft Final Report (2017) mentions that the inconsistency in expression of global environmental benefit targets hampers program level monitoring and evaluation. The more consistent theories of change to be developed for the impact programs should assist in more clearly articulating outcome and output level results (Int 9).</p> <p>3. The results reporting structure is clear set out through the corporate scorecard and the annual and mid-term reviews and evaluations (Review of RBM in GEF (2017)). The Project Management Information System (PMIS) was considered inadequate in GEF 5 with too many indicators to report on and has been substantially improved. The process has also been improved upon with online reporting replacing manual uploading of files. The updated PMIS should provide much improved access to project data (Int 13a).</p> <p>4. The GEF 5 RBM framework was considered a delaying factor with the GEF approval system 'crippled' by too many elements, indicators and measurements. The long feedback loop between project initiation and completion (Int 13a) meant that data was not available in a timely fashion. It remains a challenge to incorporate results into reporting and planning and likely to continue as such for some time. For GEF6 here has been streamlining at the corporate level with reporting only on core targets (Int 13a) but improvements can still be made at the project level. GEF4&5 projects still have to report against the indicators in the lengthy tracking tools (Int 13a). The lack of terminal reports on most completed projects (even for those funded during GEF-1 to GEF-3) demonstrates the challenge of providing timely data for reporting and planning in GEF.</p> | 27, 39, 41, 53, 54, 61, 62, 82 |

| | |
|--|---------------------------------------|
| <p>5. A data quality assurance system exists but has not been effective, partly due to the manual uploading of reports required in the previous system. The Special Evaluation of the Climate Change Fund (SECCF, 2017) highlighted substantial project status discrepancies in the PMIS. Simplification of the results architecture has led to fewer, more reliable indicators and clearer technical definitions that cater better to busy agency staff with limited time available. The new, automated data uploading system which started on 1st July 2018 will assist quality assurance processes. The STAP also has a role in ensuring technical quality of projects.</p> <p>6. It was not easy to extract corporate level data from the previous (pre-July 2018) IT platform which was unable to provide a real time analysis of the project portfolio. The PMIS has also been problematic as the GEF (and Convention) requirements kept changing (Int 24). The results data have been adequate for accountability purposes but not learning lessons from practice. Too many data are still being tracked and the system does not provide useful feedback on the performance of agencies. GEF Secretariat do not get results data on the majority of projects funded by GEF as terminal reports have not been received for a significant proportion of the projects. For example, as of December 2017, grant amounts covered by terminal evaluations represented respectively 42%, 53%, and 67% of total replenishment for GEF1, GEF2 and GEF3. The low number of terminal evaluations is partly related to the long implementation period for GEF. Another explanation for the partial coverage is that terminal evaluations are not required for enabling activities.</p> <p>7. No documentary evidence found about the adequacy of resourcing for monitoring. This Element seems similar to Element 1 which concluded that the resources allocated to RBM are not sufficient in terms of people and finances (Results-Based Management Action Plan (2014)). An improvement in level or resourcing is visible but it is not yet clear whether it is adequate as there is no data available.</p> | <p>27, 39, 41, 53, 54, 61, 62, 82</p> |
| MI 7.4 Evidence confidence | High confidence |
| MI 7.5: Performance data transparently applied in planning and decision-making | Score |
| Overall MI rating | Unsatisfactory |
| Overall MI score | 1.33 |
| Element 1: Planning documents are clearly based on performance data | 2 |
| Element 2: Proposed adjustments to interventions are clearly informed by performance data | N/E |
| Element 3: At corporate level, management regularly reviews corporate performance data and makes adjustments as appropriate | 2 |
| Element 4: Performance data support dialogue in partnerships at global, regional and country level | 0 |

| MI 7.5 Analysis | Source document |
|--|-------------------|
| <p>1. The role of the GEF RBM system in supporting evidence-based decision making has been limited relative to its role in accountability, communications and reporting (Review of RBM in GEF (2017)).</p> <p>2. This assessment was unable to examine the sources which would provide more detail on adjustments carried out by IA's, such as mid-term reviews and terminal evaluations. Adjusting interventions based on performance data is the role of implementing Agencies, which are accountable to the Council for project performance. That said, information generated through the RBM system is not being used by the GEF for strategy development and decision-making to the extent it could be (source: survey of partner agencies, the Secretariat and the Conventions quoted in the Review of RBM in GEF (2017)). The long time spent under implementation limits reporting on actual results against targets and thus its use in planning processes (OPS6: Final Draft Annual Report (2017)). Going forward, there will be an increased focus on focal area portfolios and low scores will act as a prompt for discussion with the technical team (Int 13a). The Scorecard was developed to help make informed management decisions.</p> <p>3. The GEF Council is presented with the Corporate Scorecard, the APMR and reports to the Conventions (Review of RBM in GEF (2017)). The Scorecard was developed to help make informed decisions at corporate level, but the long time lag limits the availability of information for decision making. Adjustments are made every four years as part of the replenishment discussions informed by the OPS evaluations</p> <p>4. These documents are regularly reviewed but whether review findings are used to make adjustments is not known. Reporting has centred on the presentation of successes and less on analysis and challenges encountered. There is a reluctance to talk about what did not work (Int. 14) as people are worried about what might be revealed. Unclear if performance data is used to inform planning at global, regional and country levels. No documentary or interview evidence that performance data supports dialogue.</p> | 41, 62 |
| MI 7.5 Evidence confidence | Medium confidence |
| KPI 8: Evidence-based planning and programming applied | KPI score |
| Highly satisfactory | 3.1 |
| <p>The GEF Independent Evaluation Office (IEO) has an independent evaluation function within the GEF with budgetary independence. The IEO's role is to ensure the quality and focus of M&E systems, to conduct evaluations and share evaluative evidence within the GEF. The IEO reports directly to the Council through annual and semi-annual reports which summarise evaluation findings for a given period. The independence of the IEO guarantees that data gathering, analysis and judgments on criteria, findings, and recommendations are not influenced by conflicts of interest or undue interference by management at any level [MI 1]. Evaluation in the GEF is guided by internationally recognised professional standards. The IEO also applies its mission statement of enhancing global environmental benefits through 'excellence, independence, and partnership in monitoring and evaluation'. An evaluation policy guides the implementation of different categories of evaluation. The IEO provides guidelines to GEF partner Agencies on the preparation of terminal evaluations. All full-sized projects and all programs are to be evaluated at the end of implementation. However, the GEF guidelines does not specify whether evaluations are needed for child projects in addition to an overall programmatic evaluation. A four-year work program and budget presents the strategy, evaluations and other work of IEO for a given replenishment period. The GEF Council's accountability needs are adequately met by the IEO and the IEO's last four-year work program was approved by the Council without modification. Project evaluations are the responsibility of the implementing Agencies, although they must meet GEF standards. These project evaluations are "variable in quality and independence", depending on the policies and abilities of the agency in question. The IEO quality assures project evaluations but it does not often challenge their findings [MI 2].</p> | |

The GEF IEO establishes appropriate quality assurance mechanisms for its major evaluations in line with international evaluation community standards. The IEO has also developed a sound quality assurance mechanism for project evaluation reports, together with GEF Agency evaluation offices. However, ratings on the quality of terminal evaluations is only available for a proportion of the total number of projects due to the absence of terminal evaluations for many projects. GEF evaluations use appropriate methodologies for data-collection, analysis and interpretation. The scope of a terminal evaluation will depend upon the project's theory of change, its objectives, supported activities, M&E design and implementation, and the context in which the project was designed. However, measuring the impact of the GEF at the global level is a major challenge in terms of methodology and data availability. There was little evidence available on how well evaluation reports present in a complete and balanced way the findings, conclusions and where relevant recommendations [MI3]. There is a formal requirement to demonstrate how lessons from past interventions have been taken into account in the design of new interventions through the GEF-6 Project Identification Form (PIF) template. However, in practice, it is challenging to feed lessons from practice into new intervention designs due to the long duration for which projects in a replenishment period are under implementation. Replenishments of the Global Environment Facility (GEF) are informed by a thorough, independent evaluation and assessment of GEF results and performance. While the GEF RBM system has played a strong role in accountability and reporting, its role in supporting evidence-based decision making and learning has been more limited, although the small size of the Secretariat encourages the sharing of lessons learned and their incorporation into new intervention designs on a more informal basis [MI4].

There was little evidence of an overarching system in place within the GEF to identify and monitor poorly performing interventions. However, tracking tools to monitor performance at the project portfolio level have improved between the GEF-5 and GEF-6 period. The GEF Corporate Scorecards provides a percentage total of GEF projects which are not performing well. All GEF implementing Agencies apply their own, GEF compliant, systems to identify, monitor and address poorly performing. From a fiduciary perspective, the monitoring function detects, assesses, and provides management information about risks related to projects and/or activities, particularly those deemed to be at risk. GEF IEO staff noted that poorly performing projects are "not really an IEO concern" and accepted that this is a weakness [MI 5]. A management response which clearly indicates whether management accepts, partially accepts, or rejects the recommendations, explaining the reasons, is required for all evaluation and performance reports presented to the GEF Council by the GEF Evaluation Office. There is a systematic follow-up on the implementation of the evaluation recommendations that have been accepted by management and/or the GEF Council, with periodic review and follow-up on the status of implementation of the evaluation recommendations. Council decisions and follow-on actions are compiled in a management action record provided to the Council on an annual basis. The IEO works with the GEF Secretariat and GEF Agencies to establish systems to disseminate lessons learned and best practices emanating from M&E activities and provides independent evaluative evidence to the GEF knowledge base [MI 6].

All thematic evaluations undertaken during a year are consolidated in the Annual Thematic Evaluation Report, which is submitted to the GEF Council and are available on the GEF website. The lack of project terminal evaluations has already been noted and steps are being taken (e.g. through automatic uploading of reports to PMIS platform) to ensure that a more comprehensive repository will be available in the future. There is a need to give equal weight to accountability and learning. This may require the IEO engaging in a more meaningful manner with the GEF Secretariat and GEF Agencies to ensure that final products are timely and are owned by the GEF network. In 2015, a knowledge management workstream was established to coordinate such work across the GEF partnership. This introduced a number of knowledge management activities including: self-assessment, a road map, country-level Knowledge Days, an online tool, a project-level knowledge exchange handbook and mandatory questions on knowledge management in project documents. However, the needs for learning at both the project and corporate level are largely unmet and GEF Agencies mainly rely on their own knowledge management systems and cannot draw on knowledge generated from other Agencies. The evaluation units of the GEF Agencies agree to exchange their evaluation work plans with the GEF IEO to identify synergies and potential for joint evaluations. Public involvement is encouraged at all stages of the project cycle through consulting with and informing GEF participating countries about ongoing M&E activities. Timely sharing of evaluation findings with country and regional stakeholders has been enhanced by the creation of 'Evaluation Brief's. The IEO website is frequently revised to provide new information and opportunities for evaluators and practitioners to learn about priority themes. The IEO could do more to ensure that the lessons derived from evaluations are absorbed by key actors. The potential for this learning from evaluation is limited by a lack of face-to-face interactions between the IEO and Council members of the IEO work program, and time available for Council members to devote to this. The GEF has published the GEF Practices on Disclosure of Information (2011). Information from GEF IEO reports is systematically made public [MI7].

| MI 8.1: A corporate independent evaluation function exists | Score |
|--|------------------------------------|
| Overall MI rating | Highly satisfactory |
| Overall MI score | 4 |
| Element 1: The evaluation function is independent from other management functions such as planning and managing development assistance (operational independence) | 4 |
| Element 2: The Head of evaluation reports directly to the Governing Body of the organisation (Structural independence) | 4 |
| Element 3: The evaluation office has full discretion in deciding the evaluation programme | 4 |
| Element 4: A separate budget line (approved by the Governing Body) ensures budgetary independence | 4 |
| Element 5: The central evaluation programme is fully funded by core funds | 4 |
| Element 6: Evaluations are submitted directly for consideration at the appropriate level of decision-making pertaining to the subject of evaluation | 4 |
| Element 7: Evaluators are able to conduct their work throughout the evaluation without undue interference by those involved in implementing the unit of analysis being evaluated (Behavioural independence) | 4 |
| MI 8.1 Analysis | Source document |
| <ol style="list-style-type: none"> 1. The GEF Independent Evaluation Office (IEO) operates independently of Agency or GEF Secretariat management. 2. The IEO has an independent evaluation function within the GEF, setting minimum requirements for M&E, ensuring oversight of the quality of M&E systems on the project and program levels, and sharing evaluative evidence within the GEF. The IEO reports directly to the Council with periodic information on the quality of M&E systems, where relevant for the implementation of GEF projects and programs. This information is presented in annual reports (impact, country, performance, and thematic) based on evaluative evidence developed by the GEF IEO, Agency evaluation units, or operational units and reviewed by independent quality assurance mechanisms. 3. The IEO is responsible for developing their own evaluation program. The IEO has a separate budget line, approved by the governing body, to ensure budgetary independence. 4. The status of the IEO budget is reported in the Semi-Annual Evaluation Report (SAERs) of the IEO. The central evaluation program is fully funded by core funds with approved budgets to allow for the effective and efficiency delivery of the proposed evaluations. 5. The annual budget includes fixed costs on salaries and general operations; the variable costs include allocations for participation in networks, a larger and focused knowledge management initiative, and professional development. The multiannual budgets include the costs of consultants, travel, and miscellaneous expenses. 6. IEO evaluations are submitted directly to the appropriate level of decision-making pertaining to the subject of the evaluation. The IEO proposes to simplify its reporting to the Council through the Semi-Annual Evaluation Reports (SAERs) presented at Council meetings as the main working document. The SAERs summarise all evaluation findings in the relevant period with progress report on IEO work. The SAER will replace the multiple annual reports from the IEO that are currently presented to the Council. The full evaluation reports, including the APR, will be presented as information documents. | 1, 2, 4, 5, 25, 27, 28, 29, 48, 55 |

| | |
|--|------------------------------------|
| 7. The GEF IEO is independent from both policy-making processes and the delivery and management of assistance. This guarantees that data gathering, analysis and judgments on criteria, findings, and recommendations are not influenced by conflicts of interest or undue interference by management at any level. The Secretariat, Agencies, and other affected parties can comment on draft and final reports, but do not have the right to approve or modify them. The Director of the IEO issues final evaluation reports directly. This is done simultaneously to the GEF Council and the GEF CEO without any prior clearance from anyone. | 1, 2, 4, 5, 25, 27, 28, 29, 48, 55 |
| MI 8.1 Evidence confidence | High confidence |
| MI 8.2: Consistent, independent evaluation of results (coverage) | Score |
| Overall MI rating | Highly satisfactory |
| Overall MI score | 3.4 |
| Element 1: An evaluation policy describes the principles to ensure coverage, quality and use of findings, including in decentralised evaluations | 4 |
| Element 2: The policy/an evaluation manual guides the implementation of the different categories of evaluations, such as strategic, thematic, corporate level evaluations, as well as decentralised evaluations | 2 |
| Element 3: A prioritised and funded evaluation plan covering the organisation's planning and budgeting cycle is available | 4 |
| Element 4: The annual evaluation plan presents a systematic and periodic coverage of the organisation's Interventions, reflecting key priorities | 4 |
| Element 5: Evidence from sample countries demonstrate that the policy is being implemented | 3 |
| MI 8.2 Analysis | Source document |
| <p>1. Evaluation in the GEF is guided by a set of principles, which will be further developed in a consultative process between the GEF Evaluation Office and its partners. These principles are internationally recognised professional standards that need to be applied to GEF evaluations. The IEO also applies its mission statement of enhancing global environmental benefits through 'excellence, independence, and partnership in monitoring and evaluation'.</p> <p>2. An evaluation policy guides the implementation of different categories of evaluation with evaluation approaches and methods adapted to the nature of the undertaking. All full-sized projects and all programs are to be evaluated at the end of implementation and the IEO provides guidelines to GEF partner Agencies on the preparation of terminal evaluations.</p> <p>3. A prioritised and funded evaluation plan covering the GEF's planning and budgeting cycle is available. The four-year work program and budget presents the strategy and programming of all evaluations and other work of IEO proposed for a given replenishment period.</p> <p>4. A periodic GEF evaluation plan presents a systematic and periodic coverage of the organisations' interventions, reflecting key priorities. The GEF Council's needs for accountability purposes are adequately met by the work of the IEO with the IEO's last four-year work program approved by the Council without modification.</p> <p>5. Project evaluations are the responsibility of the implementing Agencies, although they must meet GEF standards. Some agencies quality assure their evaluations before delivering them to GEF and others are quality assured by the GEF IEO although it does not often challenge their findings. These project evaluations are "variable in quality and independence", depending on the policies and abilities of the agency in question.</p> | 25, 28, 29, 32, 55 |
| MI 8.2 Evidence confidence | High confidence |

| MI 8.3: Systems are applied to ensure the quality of evaluations | Score |
|--|--|
| Overall MI rating | Highly satisfactory |
| Overall MI score | 3.6 |
| Element 1: Evaluations are based on design, planning and implementation processes that are inherently quality oriented | 4 |
| Element 2: Evaluations use appropriate methodologies for data-collection, analysis and interpretation | 3 |
| Element 3: Evaluation reports present in a complete and balanced way the evidence, findings, conclusions, and where relevant, recommendations | 4 |
| Element 4: The methodology presented includes the methodological limitations and concerns | 4 |
| Element 5: A process exists to ensure the quality of all evaluations, including decentralised evaluations | 3 |
| MI 8.3 Analysis | Source document |
| <p>1. The GEF IEO establishes appropriate quality assurance mechanisms for its major evaluations in line with the highest standards recognised in the international evaluation community. These mechanisms cover approaches and methods as well as data gathering and analysis and include reporting on evaluation findings and conclusions. Quality assurance mechanisms are adjusted to the different nature of the four evaluation streams. The IEO has also developed a sound quality assurance mechanism for project evaluation reports, together with GEF Agency evaluation offices. Ratings on quality of terminal evaluations is only available for a proportion of the total number of projects due to the absence of terminal evaluations for many projects.</p> <p>2. GEF evaluations use appropriate methodologies for data-collection, analysis and interpretation. The scope of a terminal evaluation will depend upon the project's theory of change, its objectives, supported activities, M&E design and implementation, and the context in which the project was designed. However, the Panel have acknowledged that measuring the impact of the GEF at the global level is a major challenge in terms of methodology and data availability.</p> <p>3. The document extraction process did not find evidence regarding how well evaluation reports present in a complete and balanced way the findings, conclusions and where relevant recommendations. However, the individual GEF evaluations reviewed during this process appeared to provide positive evidence for this, presenting a balanced view of the findings, conclusions and recommendations where relevant.</p> <p>4. There is evidence that evaluation methodologies regularly include limitations, challenges and concerns.</p> <p>5. The GEF IEO establishes appropriate quality assurance mechanisms for its major evaluations in line with the highest standards recognised in the international evaluation community. These mechanisms will cover approaches and methods as well as data gathering and analysis and include reporting on evaluation findings and conclusions. Conducting individual project evaluations is the responsibility of the implementing Agencies, although they must meet GEF standards. Interviews with GEF IEO staff noted that these project evaluations are "variable in quality and independence", depending on the policies and abilities of the agency in question. It was noted that while the IEO quality assures project evaluations, it does not often challenge their findings.</p> | 25, 26, 27, 28, 29, 32, 37, 39, 40, 41, 42, 44, 45, 48, 55, 62 |
| MI 8.3 Evidence confidence | High confidence |

| MI 8.4: Mandatory demonstration of the evidence base to design new interventions | Score |
|--|-------------------|
| Overall MI rating | Satisfactory |
| Overall MI score | 2.33 |
| Element 1: A formal requirement exists to demonstrate how lessons from past interventions have been taken into account in the design of new interventions | 3 |
| Element 2: Clear feedback loops exist to feed lessons into new interventions design | 2 |
| Element 3: There is evidence that lessons from past interventions have informed new interventions | 2 |
| Element 4: Incentives exist to apply lessons learnt to new interventions | N/E |
| Element 5: The number/share of new operations designs that draw on lessons from evaluative approaches is made public | N/E |
| MI 8.4 Analysis | Source document |
| <p>1. There is a formal requirement to demonstrate how lessons from past interventions have been taken into account in the design of new interventions. The GEF-6 Project Identification Form (PIF) template contains a section which requires the user to “Outline the knowledge management approach for the project, including, if any, plans for the project to learn from other relevant projects and initiatives, to assess and document in a user- friendly form, and share these experiences and expertise with relevant stakeholders”.</p> <p>2. Although the GEF-6 Project Identification Form (PIF) template contains a section which asks the user to outline any plans to learn from similar projects, in practice, it is challenging to create feedback loops to feed lessons into new intervention designs due to the long duration for which projects of a replenishment period are under implementation. Although information on long-term impacts of GEF activities are not available to support decision making in real time, given that there is some continuity in GEF activities in several situations, the information may still be useful for program and strategy design.</p> <p>3. Replenishments of the Global Environment Facility (GEF) are informed by a thorough, independent evaluation and assessment of GEF results and performance. The aim of OPS6 was partly to provide solid evaluative evidence to inform the negotiations for the seventh replenishment of the GEF. i.e. to evaluate the extent to which the GEF is achieving the objectives and to identify potential improvements for GEF-7. However, while the GEF RBM system has played a strong role in accountability and reporting, its role in supporting evidence-based decision making and learning has been more limited. In practice, the small size of the Secretariat and the 25-year life of the GEF has encouraged the sharing of lessons learned and their incorporation into new intervention designs on a more informal basis.</p> <p>4. No evidence.</p> <p>5. No evidence.</p> | 62 |
| MI 8.4 Evidence confidence | Medium confidence |
| MI 8.5: Poorly performing interventions proactively identified, tracked and addressed | Score |
| Overall MI rating | Satisfactory |
| Overall MI score | 2.25 |
| Element 1: A system exists to identify poorly performing interventions | 2 |
| Element 2: Regular reporting tracks the status and evolution of poorly performing interventions | 1 |

| | |
|---|----------------------------|
| Element 3: A process for addressing the poor performance exists, with evidence of its use | 2 |
| Element 4: The process clearly delineates the responsibility to take action | 4 |
| MI 8.5 Analysis | Source document |
| <p>1. There is a fairly limited system in place to monitor poorly performing interventions. All GEF implementing Agencies apply their own, GEF compliant, systems to identify, monitor and address poorly performing projects and are expected to meet the GEG's minimum fiduciary standards, including those for monitoring and response. This also required agencies to have procedures in place to ensure that issues raised in reviews are dealt with effectively. From a fiduciary perspective, the monitoring function detects, assesses, and provides management information about risks related to projects and/or activities, particularly those deemed to be at risk. GEF IEO staff noted that poorly performing projects are "not really an IEO concern" and accepted that this is a weakness. There was little evidence of an overarching system in place within the GEF to identify and monitor poorly performing interventions. However, tracking tools to monitor performance at the project portfolio level have improved between the GEF-5 and GEF-6 period.</p> <p>2. The GEF Corporate Scorecards provides a percentage total of GEF projects which are not performing well. However, this is one high-level indicator and does not report on, or track, the status and evolution of poorly performing interventions.</p> <p>3. The Minimum Fiduciary Standards require that all GEF Agencies have processes in place to manage performance issues. This assessment did not check whether these processes actually exist in IAs, or whether there was evidence of use.</p> <p>4. The Minimum Fiduciary Standards for GEF Partner Agencies (2007) delineates the responsibilities of the implementing Agencies to take action. Further information regarding the delineation of responsibilities between the GEF and implementing Agencies is available in the Instrument for the Establishment of the Restructured Global Environment Facility (2015).</p> | 3, 19, 25, 26, 32, 46 |
| MI 8.5 Evidence confidence | High confidence |
| MI 8.6: Clear accountability system ensures responses and follow-up to and use of evaluation recommendations | Score |
| Overall MI rating | Highly satisfactory |
| Overall MI score | 3.75 |
| Element 1: Evaluation reports include a management response (or has one attached or associated with it) | 4 |
| Element 2: Management responses include an action plan and/or agreement clearly stating responsibilities and accountabilities | 4 |
| Element 3: A timeline for implementation of key recommendations is proposed | N/E |
| Element 4: A system exists to regularly track status of implementation | 4 |
| Element 5: An annual report on the status of use and implementation of evaluation recommendations is made public | 3 |
| MI 8.6 Analysis | Source document |
| <p>1. A management response is required for all evaluation and performance reports presented to the GEF Council by the GEF Evaluation Office. The GEF CEO coordinates the preparation of the management response with Agency stakeholders for GEF Council consideration, tailored to each evaluation report. Management responses should clearly indicate whether management accepts, partially accepts, or rejects the recommendations, and explain the reasons.</p> | 25, 28, 47, 55 |

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|--|---|
| 2. There is a systematic follow-up on the implementation of the evaluation recommendations that have been accepted by management and/or the GEF Council, with periodic review and follow-up on the status of implementation of the evaluation recommendations. In consultation with the appropriate GEF partners, the GEF IEO and the GEF Secretariat report to the Council on the follow-up of Council decisions. These decisions and follow-on actions are compiled in a management action record provided to the Council on an annual basis. The Management Action Record (2016) sets out which decisions it has tracked over its reporting period. | 25, 28, 47, 55 |
| 3. No evidence. | |
| 4. The GEF IEO supports knowledge sharing and follow-up of evaluation recommendations through the management action record system, as part of its accountability function. It works with the GEF Secretariat and GEF Agencies to establish systems to disseminate lessons learned and best practices emanating from M&E activities and provides independent evaluative evidence to the GEF knowledge base. This does not provide any information on the regularity with which implementation is tracked. The GEF IEO reports directly and regularly to the Council on the quality of M&E systems, where relevant for the implementation of GEF projects and programs. This information is presented in annual reports. | |
| 5. The purpose of the Management Action Record is to: (1.) 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. The GEF Management Action Record tracks the level of adoption, by the GEF Secretariat and/or implementing Agencies that were based on IEO recommendations. | |
| | |
| MI 8.6 Evidence confidence | High confidence |
| MI 8.7: Uptake of lessons learned and best practices from evaluations and other reports | Score |
| Overall MI rating | Satisfactory |
| Overall MI score | 2.33 |
| Element 1: A complete and current repository of evaluations and their recommendations is available for use | 2 |
| Element 2: A mechanism for distilling and disseminating lessons learned internally exists | 2 |
| Element 3: A dissemination mechanism to partners, peers and other stakeholders is available and employed | 3 |
| Element 4: A system is available and used to track the uptake of lessons learned | 1 |
| Element 5: Evidence is available that lessons learned and good practices are being applied | 2 |
| Element 6: A corporate policy for Disclosure of information exists and is also applied to evaluations | 4 |
| MI 8.7 Analysis | Source document |
| 1. All thematic evaluations undertaken during a year are consolidated in the Annual Thematic Evaluation Report, which is submitted to the GEF Council. The Thematic Evaluations can be reviewed on the GEF website. As this only applied to thematic evaluations it does not fully meet the criteria of this Element. The lack of project terminal evaluations has already been noted and steps are being taken (e.g. through automatic uploading of reports to PMIS platform) to ensure that a more comprehensive repository will be available in the future. | 1, 25, 28, 32, 38, 47, 48, 51, 55, 62, 84 |

| | |
|---|--|
| <p>2. The lessons from monitoring and evaluation are intended to be disseminated through feedback loops to policy-makers, operational staff, beneficiaries, and the general public. The GEF IEO seeks to ensure that partners share evaluation and monitoring reports as well as other internal periodic reviews of progress and implementation. The IEO then aims to provide access to GEF Agency project documentation in addition to its own data through desk reviews, presentations, and working papers. There is a need to give equal weight to accountability and learning. This may require the IEO engaging in a more meaningful manner with the GEF Secretariat and GEF Agencies to ensure that final products are timely and are owned by the GEF network. In 2015, the knowledge management work stream was established to coordinate such work across the GEF partnership, promoting a number of knowledge management activities. However, project level learning needs (standardisation of creating, storing, and accessing GEF program and project documentation) and corporate level needs (compilation, analysis, and sharing of knowledge in a systematic manner) are largely unmet. Thus, GEF Agencies tend to rely on their internal knowledge management systems rather than knowledge generated by other Agencies.</p> <p>3. The evaluation units of the GEF Agencies have agreed to work with the GEF IEO to identify synergies and potential for joint evaluations. Involvement of the public is encouraged at all stages of the project cycle by consulting with and informing GEF participating countries about ongoing M&E activities. Timely sharing of evaluation findings with country and regional stakeholders has been enhanced by the creation of 'Evaluation Brief's, originally developed to share key messages from OPS6. The IEO website is frequently revised e.g. interactive displays of data maps. Other platforms e.g. Climate-Eval, facilitate opportunities for evaluators and practitioners to learn about priority themes.</p> <p>4. The GEF Management Action Record (MAR) tracks the level of adoption, by the GEF Secretariat and/or the GEF partner agencies of GEF Council decisions that have been made on the basis of GEF Independent Evaluation Office (GEF IEO) recommendations. For each tracked GEF Council and LDCF/SCCF Council decision, self-ratings are provided by GEF Management on the level of adoption with an explanatory commentary. Ratings and commentary on tracked decisions are also provided by the GEF IEO for verification.</p> <p>5. Information from tracking tools is increasingly being used for reporting to the key stakeholders of the GEF, the extent to which it is being used in decision making is not clear. All projects include monitoring and evaluation mechanisms, however, there is little evidence that they are sufficiently iterative and participatory to support adaptive knowledge management. The IEO could do more to ensure that the lessons derived from evaluations are absorbed by key actors. The potential for this is limited by the lack of face-to-face interactions between the IEO and Council members of the IEO work program, and limited capacity of Council members to devote to evaluations.</p> <p>6. The GEF has published the GEF Practices on Disclosure of Information (2011). This document provides evidence that the policy is applied to evaluations: "Information prepared by the GEF Secretariat or received by the GEF Secretariat from the GEF Agencies, the GEF Evaluation Office, the Trustee and Scientific and Technical Advisory Panel (STAP) with regards to policies, projects, programs and operations to service the GEF business is disclosed by the GEF Secretariat". It also reports that information is systematically made public by the GEF Evaluation Office.</p> | <p>1, 25, 28, 32, 38, 47, 48, 51, 55, 62, 84</p> |
| MI 8.7 Evidence confidence | High confidence |

RESULTS

Achievement of relevant, inclusive and sustainable contributions to humanitarian and development results in an efficient way.

| KPI 9: Achievement of development and humanitarian objectives and results e.g. at the institutional/corporate wide level, at the regional/corporate wide level and, at the regional/country level, with results contributing to normative and cross-cutting goals | KPI score |
|---|------------------------|
| Unsatisfactory | 1.9 |
| <p>An impressive proportion of projects for which terminal evaluation documents are available achieve satisfactory outcomes. For a significant proportion of projects there are no terminal evaluations [MI 1]. GEF projects frequently identify women, youth, indigenous people and the poorest and/or most vulnerable people as target groups but it is hard to define target groups in a meaningful way for GEF as a whole beyond the beneficiaries of the GEF Conventions and current and future generations of life on earth [MI 2]. The GEF has had demonstrable impact at a national level, contributing to some legal reforms, the enactment of statutes and related capacity building [MI 3].</p> <p>There has been demonstrable investment in and lots of evidence of sure, if slow, improvement in gender equality, including development of an effective cross-agency gender platform. Some concerns were expressed about cases of superficial consideration of gender analysis, with a focus on compliance rather than awareness and equity [MI 4]. Improving environmental sustainability and addressing climate change is the core mandate of the GEF so cannot be assessed. Good governance and human rights are not stated goals of GEF and therefore not reported on or evaluated by GEF.</p> | |
| MI 9.1: Interventions assessed as having achieved their stated development and/or humanitarian objectives and attain expected results | Score |
| MI rating | Satisfactory |
| MI score | 2.5 |
| MI 9.1 Analysis | Source document |
| <p>An impressive proportion of projects for which terminal evaluation documents are available achieve satisfactory outcomes. 79% of projects covered by OPS6 have satisfactory outcomes. However, because there is no documentation for more than half of completed projects, this MI cannot be rated as Highly Satisfactory.</p> <p>As at December 2016 a total of 1184 project terminal evaluations were available from over 4,000 funded projects (mid-2017). This is partly due to the long project implementation period and, according to the Secretariat, because the total includes a large number of small-scale enabling activities. Evidence shows that from GEF1, now over 20 years ago, GEF Secretariat has 105 terminal evaluations out 380 projects approved. For GEF2 (198-2002) the figures are: 294 out of 629. For GEF3 (2002-2006), 402 terminal evaluations out of 866 and for GEF4 (2006-2010) 303 out of 843.</p> | |
| MI 9.1 Evidence confidence | High confidence |
| MI 9.2: Interventions assessed as having realised the expected positive benefits for target group members. | Score |
| MI rating | Unsatisfactory |
| MI score | 1.5 |

| MI 9.2 Analysis | Source document |
|---|-------------------|
| It is very hard to define target group for GEF as a whole. The beneficiaries of the conventions supported by the GEF are the planet and all who live on her. It is thus very hard to assess this MI. However, GEF projects frequently identify project target groups as being women, youth, indigenous people and the poorest and/or most vulnerable people. However, a recent STAP report found that few projects actually target the most vulnerable or poorest populations. There is no requirement for GEF Agencies to report against the safeguards for indigenous peoples; little information on the quality of engagement with indigenous peoples; and a general need for more robust tracking of indigenous peoples' engagement and benefits (OPS-6, 2017). The same report noted that, while social and economic benefits are often achieved, the primary focus of the GEF is to realise global environmental benefits. There is limited focus on, or evaluation of, the expected positive benefits for such target groups as are identified. The emphasis of GEF is on global environmental benefits. | |
| MI 9.2 Evidence confidence | Medium confidence |
| MI 9.3: Interventions assessed as having contributed to significant changes in national development policies and programmes (policy and capacity impacts), or needed system reforms | Score |
| MI rating | Unsatisfactory |
| MI score | 1.5 |
| MI 9.3 Analysis | Source document |
| This is not one of stated objectives of the GEF Partnership. There is thus no high-level reporting concerning this MI. There are some examples from evaluations, and some discussion in OPS6 of GEFs role in policy reforms in the context of broader adoption. Evidence from the Semi-Annual Evaluation Report of the Independent Evaluation Office indicates that the GEF has contributed to several legal reforms, the enactment of statutes and related capacity building in countries which have had significant impacts. An IEO evaluation on the Impact of GEF Support on National Environment Laws and Policies (2017) reported mixed results. The GEF has contributed to the enactment of environmental laws, but expectations were often unrealistic, and follow-up limited. Overall, the evidence does not suggest that 'significant changes' have been the normal result. | 22, 44, 48 |
| MI 9.3 Evidence confidence | High confidence |
| MI 9.4: Interventions assessed as having helped improve gender equality and the empowerment of women | Score |
| MI rating | Unsatisfactory |
| MI score | 1.5 |

| MI 9.4 Analysis | Source document |
|---|----------------------------|
| There has been demonstrable investment in this area with lots of evidence of sure, if slow, improvement including the developing into an effective platform that can be used to build a wider constituency on gender, and evidence of better consideration of gender in project design. Some concerns expressed about somewhat superficial consideration of gender analysis in some cases, with a focus on compliance rather than a concern for awareness and equity in one assessment. Evaluation has tended to focus on the quality of policy and project design with respect to gender, rather than gender impacts. OPS-6 reported that 'only 13.9 percent of projects at entry were found to have undertaken a gender analysis and/or social assessment with gender elements'. OPS6 reported a clear but slow improvement in gender mainstreaming ratings from completed projects, but no evaluation evidence was found in the documents reviewed on the extent to which interventions were assessed as having helped gender equality and the empowerment of women. | 23, 31, 33, 37, 38, 40, 62 |
| MI 9.4 Evidence confidence | High confidence |
| MI 9.5: Interventions assessed as having helped improve environmental sustainability/helped tackle the effects of climate change. | Score |
| MI rating | Satisfactory |
| MI score | 2.5 |
| MI 9.5 Analysis | Source document |
| This is the core mandate of the GEF. While n/a as a cross-cutting issue, it achieves the same results rating as MI 9.1. The caution expressed in 9.1 about making an assessment due to the low coverage of terminal evaluations also applies here. | |
| MI 9.5 Evidence confidence | High confidence |
| MI 9.6: Interventions assessed as having helped improve good governance (as defined in 2.1.c). | Score |
| MI rating | |
| MI score | N/E |
| MI 9.6 Analysis | Source document |
| This is not one of the stated goals of GEF and therefore not reported on or evaluated. There is evidence of good biodiversity governance on a project by project basis e.g. for projects enforcing protected areas, including legal frameworks that support increasing community engagement in biodiversity governance, but insufficient evidence overall to judge whether GEF interventions have improved good governance. This is not covered by GEF evaluations. | |
| MI 9.6 Evidence confidence | |
| MI 9.7: Interventions assessed as having helped improve human rights | Score |
| MI rating | |
| MI score | N/E |

| MI 9.7 Analysis | Source document |
|---|------------------------|
| This is not set out as a stated goal of GEF except in relation to indigenous people. This is considered in cross-cutting issues (KPI2) and in relation to consultation with indigenous people in KPI5. No results on indigenous people were discovered in the document review. There is insufficient evidence to judge whether GEF interventions have helped improve human rights. This is not covered by GEF evaluations. | |
| MI 9.7 Evidence confidence | |
| KPI 10: Relevance of interventions to the needs and priorities of partner countries and beneficiaries, and extent to which the organisation works towards results in areas within its mandate | KPI score |
| Satisfactory | 3.00 |
| <p>There are no stated target groups for GEF although there are target groups stated for individual projects. e.g. women, youth, indigenous people and the poorest and/or most vulnerable people [MI 1]. GEF has contributed to realising national development goals, with multiple examples of GEF interventions that have been strongly aligned with country priorities and instrumental in setting national priorities on environmental issues [MI 2]. GEF is fundamental to the delivery of convention obligations and responsive and relevant to convention guidance.</p> <p>The vast majority of GEF projects align closely with the GEF strategic objectives. The increasing focus on integration and programmatic approaches and multi-focal areas are appropriate for addressing complex systems relating to environmental degradation. Evaluation of Impact Programs suggest that there is now better coherence between the program and the related 'child' projects. GEF funds are also used for areas that often receive less funding e.g. capacity development [MI 3].</p> | |
| MI 10.1: Interventions assessed as having responded to the needs/priorities of target groups. Not applicable | Score |
| MI rating | |
| MI score | N/A |
| MI 10.1 Analysis | Source document |
| There are no stated target groups for GEF although there are target groups stated for some individual projects. e.g. women, youth, indigenous people and the poorest and/or most vulnerable people. | |
| MI 10.1 Evidence confidence | |
| MI 10.2: Interventions assessed as having helped contribute to the realisation of national development goals and objectives | Score |
| MI rating | Satisfactory |
| MI score | 2.5 |
| MI 10.2 Analysis | Source document |
| There is substantial evidence that GEF has contributed to realizing national development goals. OPS6 identifies multiple examples of GEF interventions that have been strongly aligned with country priorities and instrumental in setting national priorities on environmental issues. Special Climate Change Fund projects were also found to be strongly aligned to national policies and plans. | 36, 42, 44, 45, 48, 62 |
| MI 10.2 Evidence confidence | High confidence |

| | |
|---|----------------------------|
| MI 10.3: Results assessed as having been delivered as part of a coherent response to an identified problem | Score |
| MI rating | Highly satisfactory |
| MI score | 3.5 |
| MI 10.3 Analysis | Source document |
| As a financial mechanism for a number of global conventions, the GEF has been rated by convention staff as fundamental to the delivery of convention obligations and responsive and relevant to convention guidance. The vast majority of GEF projects align closely with all three GEF adaptation strategic objectives. The increasing focus on integration and programmatic approaches and multi focal areas are appropriate for addressing complex systems relating to environmental degradation. Evaluation of Impact Programs suggest that there is now better coherence between the program and the related 'child' projects. GEF funds are also used for areas that often receive less funding e.g. capacity development. | 42, 43, 44, 45, 48, 62 |
| MI 10.3 Evidence confidence | High confidence |
| KPI 11: Results delivered efficiently | KPI score |
| Highly unsatisfactory | 1 |
| Evidence suggests GEF 6 projects were either on track or could not yet be measured. There is substantial evidence of positive co-financing performance with an increasing proportion of projects fulfilling or exceeding their original co-financing commitments despite earlier evaluations (e.g. in OPS5) suggesting a more mixed performance. Progress in project cycle efficiency has been slow, spurring changes to the project approval process and new guidelines for program and project cycle management. An increase in transaction costs was related to bringing in the newer GEF Agencies. Financial sustainability remains a critical concern. The efficiency of the Less Developed Country Fund (LDCF) has been reduced due to unstable governments, unpredictability of resources, climate extremes and natural disasters, co-funding requirements, and lengthy project approval processes [MI 1]. | |
| OPS5 reported the GEF project cycle to be 'notoriously slow' with frequent, significant delays in achieving project/program deadlines and increasing numbers of overdue projects. Causes of delay include: lengthy approval process; co-financing requirements requiring negotiations between the GEF Secretariat, the GEF Agencies, countries, and other partners; GEF's overly complex results-based management (RBM) framework. OPS6 reported only some improvement. The Cancellation Policy adopted in October 2014 – with mandatory deadlines for the submission of requests for CEO Endorsement/ Approval – has been effective with no full-sized projects cancelled for failing to meet the 18-month time limit [MI 2]. GEF-7 discussions agreed that there is further scope to accelerate the project cycle and to improve the monitoring of operational progress. | |
| MI 11.1: Interventions assessed as resource/cost efficient | Score |
| MI rating | Unsatisfactory |
| MI score | 1.5 |

| MI 11.1 Analysis | Source document |
|--|--|
| <p>More recent data, such as early GEF-6 data on process efficiency and effectiveness, showed projects were either on track or could not yet be measured. There is substantial evidence of positive co-financing performance with an increasing proportion of projects fulfilling or exceeding their original co-financing commitments. Earlier evaluations (e.g. in OPS5) provide evidence of a more mixed performance due to an out-of-date business model, complex networking arrangements, project rather than program focus, and an overburdened results-based management system. OPS6: Draft Final Report describes efficiency gains made during the GEF6 period, but states that progress in improving project cycle efficiency has been slow. This has been a concern for the GEF partnership, spurring changes to the project approval process and new guidelines for program and project cycle management.</p> <p>Efficiency gains in some areas may be balanced, or even outweighed, by cost increases in others. There has been an increase in the transaction costs associated with bringing in the newer GEF Agencies. Financial sustainability remains a critical concern. The efficiency of the Less Developed Country Fund (LDCF) has been reduced by the unpredictability of resources due to unstable governments, climate extremes and natural disasters, co-funding requirements, and lengthy project approval processes.</p> | 30, 31, 32, 39, 42, 43, 44, 45, 46, 62 |
| MI 11.1 Evidence confidence | High confidence |
| MI 11.2: Implementation and results assessed as having been achieved on time (given the context, in the case of humanitarian programming) | Score |
| MI rating | Highly unsatisfactory |
| MI score | 0.5 |
| MI 11.2 Analysis | Source document |
| <p>The GEF project cycle is 'notoriously slow' (OPS5: Fifth Overall Performance Study of the GEF (2014)) taking 2.5 years for project concepts to become active projects. There is a substantial evidence that there have been significant delays in achieving project/programme deadlines with reports of increasing numbers of overdue projects (e.g. Annual Monitoring Review, 2015, SCCF, 2017, LDCF, 2016) with a significant increase in the time from PIF approval to CEO endorsement (GEF Scorecard 2017). Causes of delay mentioned were:</p> <ul style="list-style-type: none"> • Approval process. • Co-financing requirements leading to time-consuming interactions required between the GEF Secretariat, the GEF Agencies, countries, and other partners • GEF's results-based management (RBM) framework. <p>The Cancellation Policy adopted in October 2014 – with mandatory deadlines for the submission of requests for CEO Endorsement/ Approval – has been effective with no full-sized projects cancelled for failing to meet the 18-month time limit.</p> | 5, 30, 35, 39, 42, 62 |
| MI 11.2 Evidence confidence | High confidence |

| KPI 12: Sustainability of results | KPI score |
|--|---|
| Unsatisfactory | 1.83 |
| <p>The sustainability of outcomes was named as the greatest challenge in GEF projects in OPS6, primarily due to weak financial sustainability, but is improving over time. This finding is based on the relatively small sample of projects for which GEF has a terminal evaluation. There will inevitably be unsustainable projects if there is an aim to be innovative, taking risks and the related failure of some projects can be hard to explain to donors. The sustainability goal can encourage risk averse, safe and potentially less appropriate interventions. The ‘majority’ of projects are considered likely or highly likely to have sustainable outcomes. This is somewhat short of being fully sustainable [MI 1]. This has been rated low due to the small amount of evidence available to make an assessment. The GEF was described as playing a catalytic role and in supporting transformational change, chiefly in ‘mainstreaming’ and ‘replication’ and less for ‘replication’, ‘scaling-up’, and ‘market changes’.</p> <p>The GEF has supported policy and regulatory reform for public and private climate investment, piloting technologies and business models to promote broader scale-up, strengthening public and private institutional capacity, and providing financing to lower the risks of project financing schemes and facilitate their implementation. GEF Support to Protected Areas and Protected Area Systems has contributed to large-scale change in biodiversity governance in countries e.g. by investing in legal frameworks that increase community engagement and catalysing changes in governance and management that reduce biodiversity degradation. Few completed projects (15 percent) performed well on upscaling. Most will need additional financing to ensure scaling-up can occur [MI 2]. GEF interventions have contributed to developing an enabling environment and supporting governments in the regulatory reform process e.g. through researching environmental conditions, reviewing laws, technical drafting of laws to justify legal reform, facilitating consultation and political advocacy work. Biodiversity and climate change focal area activities have been particularly catalytic, predominantly in relation to climate change mitigation, providing limited but critical support for development of energy policies and laws, e.g. on energy efficiency [MI 3].</p> | |
| MI 12.1: Benefits assessed as continuing or likely to continue after project or program completion or there are effective measures to link the humanitarian relief operations to recovery, to resilience and eventually to longer-term developmental results | Score |
| MI rating | Unsatisfactory |
| MI score | 1.5 |
| MI 12.1 Analysis | Source document |
| <p>The sustainability of outcomes was named as the greatest challenge in GEF projects in the OPS6 Final Report, although improvement over time was noted (2017). Only 63 percent of the OPS6 project cohort was rated as having outcomes that were likely to be sustained primarily due to weak financial sustainability. However, this figure is only for the relatively few projects for which GEF has a terminal evaluation. It is not known if the projects without terminal evaluations are more or less sustainable. Evidence from interviews highlighted the inevitability of some unsustainable projects if there is also an aim to be innovative as this implies taking some risks and inevitable ‘failure’ of some projects. In this context 63% is quite an impressive figure.</p> <p>The sustainability goal can encourage risk averse safe and potentially less appropriate interventions. This can be hard to explain to donors. There is much evidence of the ‘majority’ of projects that are considered likely or highly likely to have sustainable outcomes (IEO Brief: Project-Level Accomplishments (2016), OPS-5: Fifth Overall Performance Study of the GEF (2014), GEF Annual Performance Report (2015). 8 of the 11 completed projects evaluated in the Program Evaluation of the Least Developed Countries Fund (2016) were considered ‘likely’ to be sustained and 65% of the projects in the Climate Change Focal Area Study (2017) had sustainability ratings of moderately likely or higher, based on the likelihood of project benefits continuing past project closure. This is somewhat short of being ‘sustainable’.</p> | <p>31, 32, 33, 39, 42, 43, 45, 46, 48, 62</p> |
| MI 12.1 Evidence confidence | High confidence |

| | |
|---|----------------------------|
| MI 12.2: Interventions assessed as having built sufficient institutional and/or community capacity for sustainability, or have been absorbed by government | Score |
| MI rating | Satisfactory |
| MI score | 2.5 |
| MI 12.2 Analysis | Source document |
| <p>There is a small amount of evidence available to assess this indicator (only a small number of terminal evaluations available). The GEF was described as playing a catalytic role and in supporting transformational change, chiefly through earlier interventions on the results chain i.e. 'mainstreaming' and 'replication'. This occurred in more than half of the OPS6 cohort projects with terminal evaluations (OPS6: Draft Final Report (2017)). About 70 percent of closed climate change projects analysed for the same document showed evidence of mainstreaming, but less for 'replication', 'scaling-up', and 'market changes' (38, 31, and 35 percent, respectively). More in evidence for climate change projects e.g. LDCF support for the NAPA process that prepares the way for adaptation initiatives at a larger scale (e.g. adaptation training or strengthened hydromet and climate information services).</p> <p>The GEF has also supported policy and regulatory reform for public and private climate investment, piloting technologies and business models to promote broader scale-up, strengthening public and private institutional capacity, and providing financing to lower the risks of project financing schemes and facilitate their implementation (Climate Change Focal Area Study (2017)). GEF Support to Protected Areas and Protected Area Systems has contributed to large-scale change in biodiversity governance in countries e.g. by investing in legal frameworks that increase community engagement and catalysing changes in governance and management that reduce biodiversity degradation. Few completed projects (15 percent) performed well on upscaling, most will need additional financing to ensure scaling-up can occur.</p> | 36, 39, 42, 43, 44, 45, 62 |
| MI 12.2 Evidence confidence | High confidence |
| MI 12.3: Interventions assessed as having strengthened the enabling environment for development | Score |
| MI rating | Unsatisfactory |
| MI score | 1.5 |
| MI 12.3 Analysis | Source document |
| <p>GEF interventions have contributed to developing an enabling environment and supporting governments in the regulatory reform process (GEF IEO 2017h) e.g. through researching environmental conditions, reviewing laws, technical drafting of laws to justify legal reform, facilitating consultation and political advocacy work. Biodiversity and climate change focal area activities have been particularly catalytic, predominantly in relation to climate change mitigation, providing limited but critical support for development of energy policies and laws, e.g. on energy efficiency. GEF climate projects have frequently focused on developing legal and regulatory measures to address mitigation (84 percent of projects reviewed), public and private sector capacity building (76 and 80 percent, respectively), and reducing information barriers and supporting market change through raising awareness of key stakeholder groups (98 percent), Climate Change Focal Area Study (2017). GEF support for biodiversity governance through the work with protected areas. This has led to a demonstrable shift in community attitudes in relation to the importance of local people in NRM. LDCF support for the NAPAs also provides some evidence of development of an enabling environment.</p> | 39, 43, 44, 45, 62 |
| MI 12.3 Evidence confidence | High confidence |

Annex 2. List of documents

All document listed below are GEF publications or official open access documents, unless indicated otherwise.

1. GEF (2015), *The A to Z of the GEF: A Guide to the Global Environment Facility*, Global Environment Facility
2. GEF (2014), *GEF 2020 Strategy for the GEF*, Global Environment Facility
3. GEF (2015), *Instrument for the Establishment of the Restructured Global Environment Facility*, Global Environment Facility
4. GEF (2016), *GEF Business Plan and Corporate Budget for FY17*, Global Environment Facility
5. GEF (2017), *GEF Business Plan and Corporate Budget for FY18*, Global Environment Facility
6. GEF (2014), *GEF 6. Results Framework for GEFTF, LDCF and SCCF*, Global Environment Facility
7. GEF (2017), *Work Program for GEF Trust Fund*, Global Environment Facility
8. GEF (2014), *Report on the Sixth Replenishment of the GEF Trust Fund*, Global Environment Facility
9. GEF (2017), *First Meeting for the Seventh Replenishment of Resources of the GEF Trust Fund. Summary of the Co-Chairs*, Global Environment Facility
10. GEF (2014), *Work Program of the Scientific and Technical Advisory Panel*, Global Environment Facility
11. GEF (2007), *Comparative Advantages of the GEF Agencies*, Global Environment Facility
12. GEF (2012), *Procedure: Accreditation of GEF Project Agencies*, Global Environment Facility
13. GEF (2012), *Global Environmental Benefits. (2012) (website)*, Global Environment Facility
14. GEF (2012), *Policy on Gender Mainstreaming*, Global Environment Facility
15. GEF (2014), *Proposal for the System of Transparent Allocation of Resources (STAR) for GEF-6*, Global Environment Facility
16. GEF (2015), *Agency Minimum Standards on Environmental and Social Safeguards*, Global Environment Facility
17. GEF (2016), *Project and Program Cycle Policy*, Global Environment Facility
18. GEF (2007), *Scientific and Technical Advisory Panel (STAP) Policy (website)*, Global Environment Facility
19. GEF (2007), *Minimum Fiduciary Standards for GEF Partner Agencies*, Global Environment Facility
20. GEF (2012), *Principles and Guidelines for Engagement with Indigenous Peoples*, Global Environment Facility
21. GEF (2010), *GEF Project and Programmatic Approach Cycles*, Global Environment Facility
22. GEF (2014), *GEF Programming Strategy on Adaptation to Climate Change for the Least Developed Countries Fund and the Special Climate Change Fund*, Global Environment Facility
23. GEF (2015), *Gender Equality Action Plan*, Global Environment Facility
24. GEF (2014), *GEF-6 Non-Grant Instrument Pilot and Updated Policy for Non-Grant Instruments*, Global Environment Facility
25. GEF (2010), *The GEF Monitoring and Evaluation Policy*, Global Environment Facility
26. GEF (2017), *Guidelines for GEF Agencies in Conducting Terminal Evaluations for Full-sized Projects*, Global Environment Facility
27. GEF (2014), *Guidance Document: Monitoring and Evaluation in the LDCF/SCCF*, Global Environment Facility
28. GEF (2007), *GEF Evaluation Office Ethical Guidelines*, Global Environment Facility
29. GEF (2015), *Four Year Work Program and Budget of the GEF Independent Evaluation Office: GEF-6*, Global Environment Facility
30. GEF (2015), *Annual Monitoring Review (AMR) FY15: Part I*, Global Environment Facility
31. GEF (2016), *Annual Portfolio Monitoring Report*, Global Environment Facility
32. GEF (2015), *GEF Annual Performance Report*, Global Environment Facility
33. GEF (2017), *FY16 Annual Monitoring Review of the Least Developed Countries Fund and the Special Climate Change Fund*, Global Environment Facility
34. GEF (2016), *Results from the GEF Small Grants Programme 2015*, Global Environment Facility
35. GEF (2017), *GEF Corporate Scorecard - April 2017*, Global Environment Facility

36. GEF (2016), *Time to Adapt: Insights from the Global Environment Facility's Experience in Adaptation to Climate Change*, Global Environment Facility
37. GEF (2015), *Behind the Numbers 2015: A Closer Look at GEF Achievements*, Global Environment Facility
38. GEF (2017), *Report of the Chairperson of the Scientific and Technical Advisory Panel*, Global Environment Facility
39. GEF (2014), *OPS-5: Fifth Overall Performance Study of the GEF*, Global Environment Facility
40. GEF (2017), *Evaluation of Gender Mainstreaming in the GEF*, Global Environment Facility
41. GEF (2017), *Review of Results-Based Management in the GEF*, Global Environment Facility
42. GEF (2017), *Program Evaluation of the Special Climate Change Fund (SCCF) 2017*, Global Environment Facility
43. GEF (2017), *Climate Change Focal Area Study*, Global Environment Facility
44. GEF (2016), *Impact Evaluation of GEF Support to Protected Areas and Protected Area Systems*, Global Environment Facility
45. GEF (2016), *Program Evaluation of the Least Developed Countries Fund*, Global Environment Facility
46. GEF (2016), *IEO Brief: Project-Level Accomplishments*, Global Environment Facility
47. GEF (2016), *Management Action Record*, Global Environment Facility
48. GEF (2017), *Semi-Annual Evaluation Report of the Independent Evaluation Office: May 2017*, Global Environment Facility
49. GEF (2016), *The GEF and the Sustainable Development Goals*, Global Environment Facility
50. GEF (2016), *Tackling the Drivers of Global Environmental Degradation Through the Integrated Approach Pilot Programs: Progress Report for GEF Council October 2016-April 2017*, Global Environment Facility
51. GEF (2011), *GEF Practices on Disclosure of Information*, Global Environment Facility
52. GEF (2015), *Knowledge Management Approach Paper*, Global Environment Facility
53. GEF (2014), *Results-Based Management Action Plan*, Global Environment Facility
54. GEF (2016), *GEF Corporate Scorecard & Results-Based Management Action Plan: Update on Progress and Planned Work*, Global Environment Facility
55. GEF (2014), *Second Professional Peer Review of the GEF Evaluation Function: A Report of the Peer Review Panel*, Global Environment Facility
56. GEF (2017), *Policy on Ethics and Conflict of Interest for Council Members, Alternates, and Advisers*, Global Environment Facility
57. GEF (2012), *Policy on Public Involvement in GEF Projects*, Global Environment Facility
58. WBG (2016), *Annual Report: Fiscal Year 2016. Internal Audit Vice Presidency*, The World Bank
59. WBG (2017), *The Inspection Panel. Annual Report. July 1, 2016 – July 30, 2017*, The World Bank
60. WBG (2016), *Annual Report 2016. The World Bank. Management's Discussion & Analysis and Financial statements (2016)*, The World Bank
61. WBG (2017), *Annual Report 2017*, The World Bank
62. GEF (2017), *OPS6: Draft Final Report*, Global Environment Facility
63. GEF (2014), *Co-Financing Policy*, Global Environment Facility
64. GEF (2014), *Summary of the Negotiations of the Sixth replenishment of the GEF Trust Fund*, Global Environment Facility
65. GEF (2015), *GEF Policy: Project Cancellation*, Global Environment Facility
66. GEF (2017), *Guidelines on the Project and Program Cycle Policy*, Global Environment Facility
67. GEF (2017), *GEF-7 Policy Agenda: Analysis in Support of the Proposed GEF-7 Policy Recommendations*, Global Environment Facility
68. GEF (2016), *Update on GEF-6 Resource Availability*, Global Environment Facility
69. GEF (2017), *Policy on Gender Equality*, Global Environment Facility
70. GEF (2017), *Progress Report on the Gender Equality Action Plan*, Global Environment Facility
71. WBG (2011), *The World Bank: Staff Manual - Staff Rules - 05.03 Performance Management Process*, The World Bank
72. WBG (2018), *The World Bank. Staff Rule 5.05 – Promotion*, The World Bank

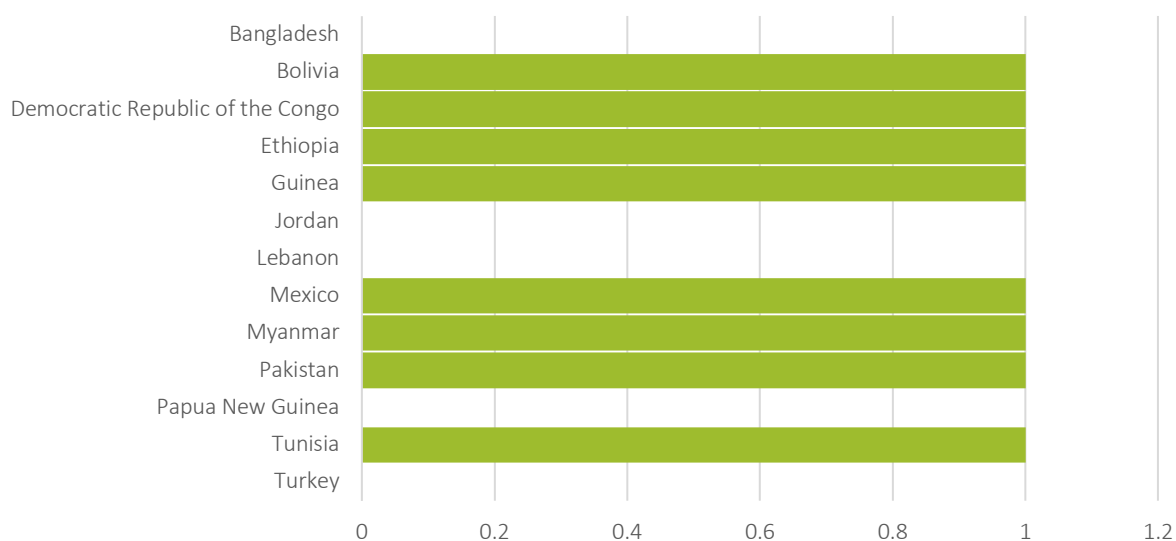
73. WBG (2014), *World Bank. Staff Rule 6.01, Compensation*, The World Bank
74. GEF (2017), *GEF Trust Fund Financial Report September 2017*, Global Environment Facility
75. WBG (n.d.), *The World Bank. Financial Intermediary Funds (FIFs). Global Environment Facility Trust Fund - Financial Statements. (website)*, The World Bank
76. GEF (2016), *Global Environment Facility Trust Fund (GEF). Independent Auditor's Report and Statements of Receipts, Disbursements and Fund Balance*, Global Environment Facility
77. WBG (2012), *Staff Manual – Staff Rules – 03.01 Standards of Professional Conduct*, The World Bank
78. WBG (2012), *Staff Manual – Staff Rules – 03.00 Office of Ethics and Business*, The World Bank
79. GEF (2014), *The Country Support Programme Implementation*, Global Environment Facility
80. GEF (2015), *GEF-6 GEF Secretariat Review for Full-Sized/Medium-Sized Projects: The GEF/LDCF/SCCF Trust Fund*, Global Environment Facility
81. OECD (n.d.), *OECD. Stat (website)* <http://stats.oecd.org/Index.aspx?DataSetCode=MULTISYSTEM>, (Organisation for Economic Co-operation and Development)
82. GEF (2018), *GEF-7 Replenishment. Policy Recommendations*, Global Environment Facility
83. GEF (2018), *GEF-7 Replenishment. GEF-7 Resource Allocation Scenarios and Global Environment Benefit Targets*, Global Environment Facility
84. GEF (2018), *GEF-7 Replenishment. Programming Directions*, Global Environment Facility
85. GEF (2016), *GEF-6 Project Identification Form (PIF) Template*, Global Environment Facility
86. GEF (2008), *GEF-6 Secretariat for Full-Sized/Medium-Sized Projects. The GEF/LDCF/SCCF Trust Fund*, Global Environment Facility
87. GEF (2017), *GEF-6 Project Identification Form (Full-Sized Project). Improving Nigeria's Industrial Energy Performance and Resource Efficient Cleaner Production through Programmatic Approaches and the Promotion of Innovation in Clean Technology Solutions*, Global Environment Facility
88. GEF (2016), *GEF-6 Project Identification Form (Full-Sized Project). Conservation and sustainable use of biological diversity in priority landscapes of Oaxaca and Chiapas*, Global Environment Facility
89. GEF (date unknown), *GEF-6 Project Identification Form (Full-Sized Project). BOBLME: Sustainable Management of the Bay of Bengal Large Marine Ecosystem*, Global Environment Facility
90. GEF (2017), *GEF-6 Project Identification Form (Medium-Sized Project). Capacity Building for Peru's transparency system for climate change mitigation and adaptation*, Global Environment Facility
91. GEF (2017), *GEF-6 Project Identification Form (Medium-Sized Project). Effective National Implementation of Access and Benefit Sharing (ABS) in accordance with the Nagoya Protocol and Valorization of Botanical Plants (Medicinal, Cosmetic and Nutraceutical) in the Democratic Republic of Congo (DRC)*, Global Environment Facility

Annex 3. Results of Mopan's Partner Survey

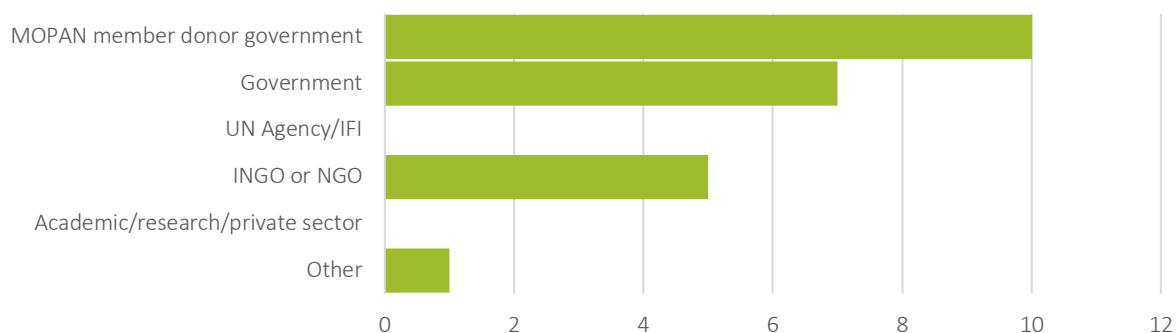
Response profile

Number of survey responses: 23

Number of survey responses by country:

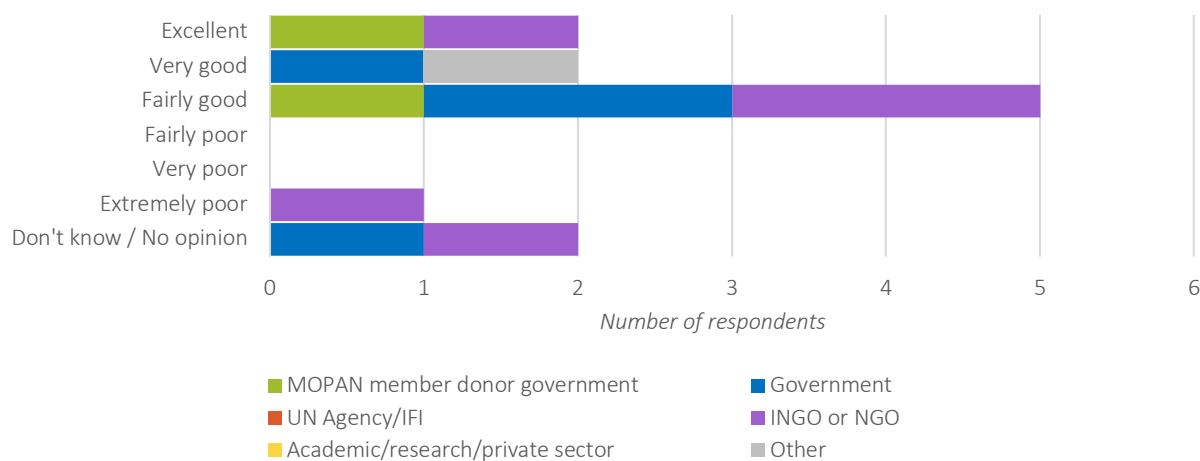


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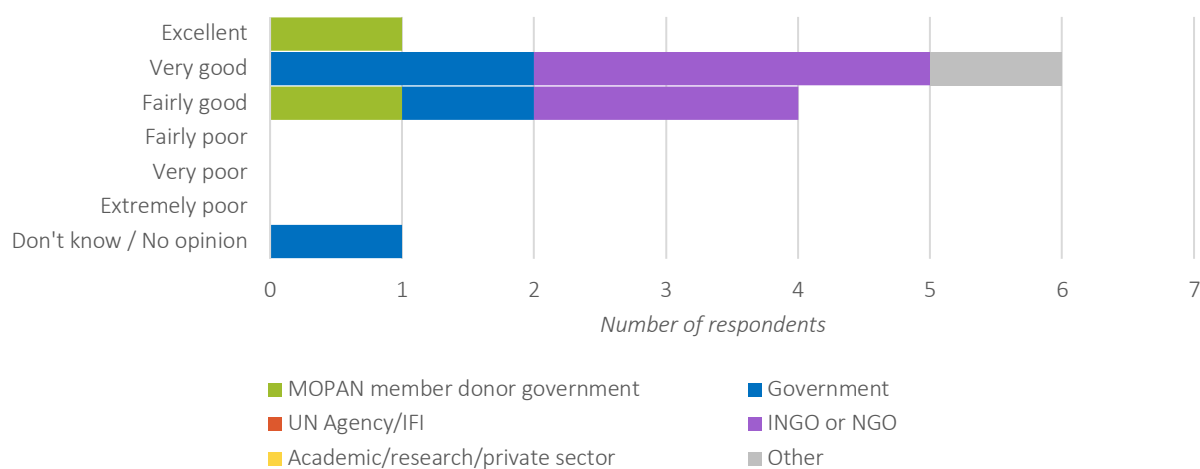


Staffing

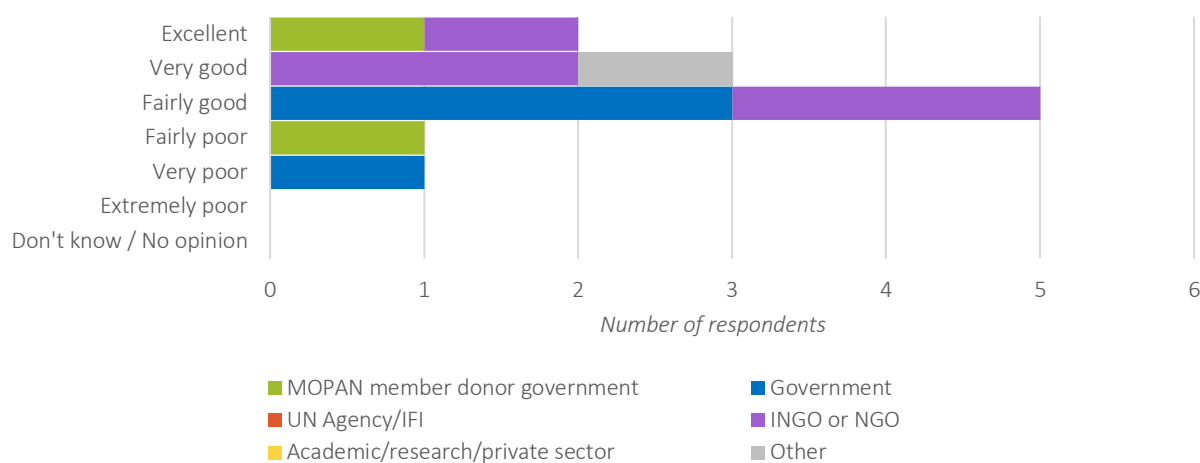
GEF has sufficient staffing to deliver results



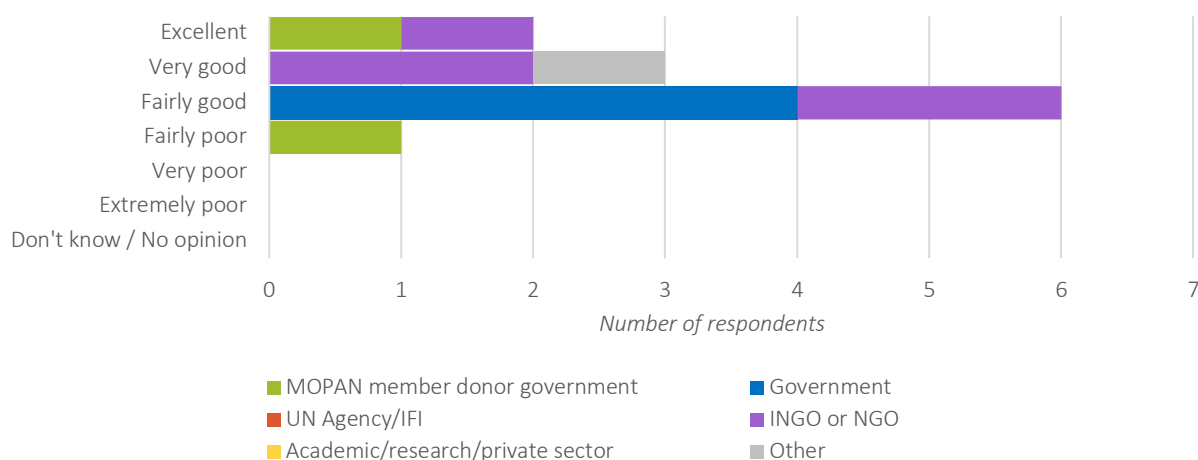
GEF has sufficiently skilled and experienced staff



GEF has sufficient continuity of staff to build relationships

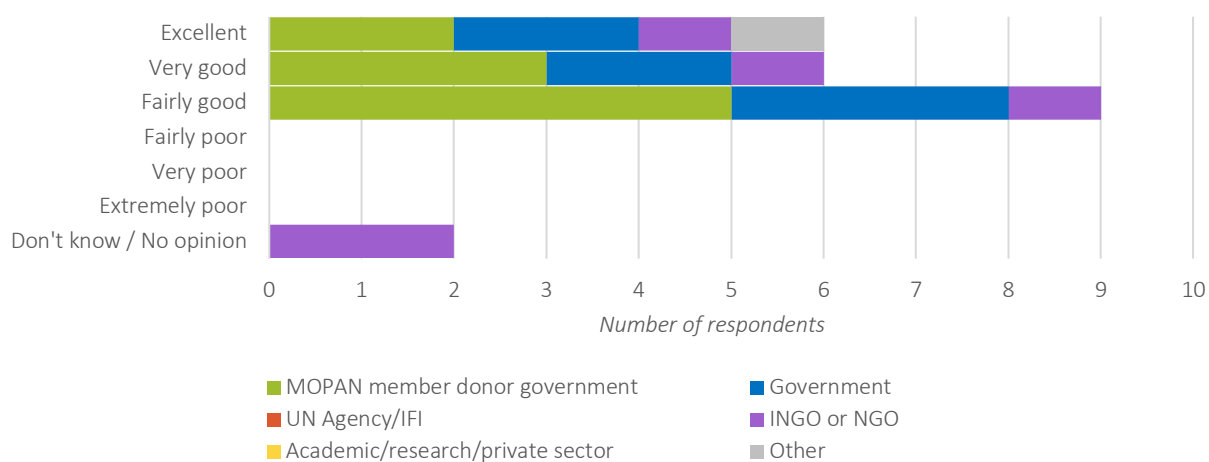


GEF staff can make critical strategic and programming decisions locally

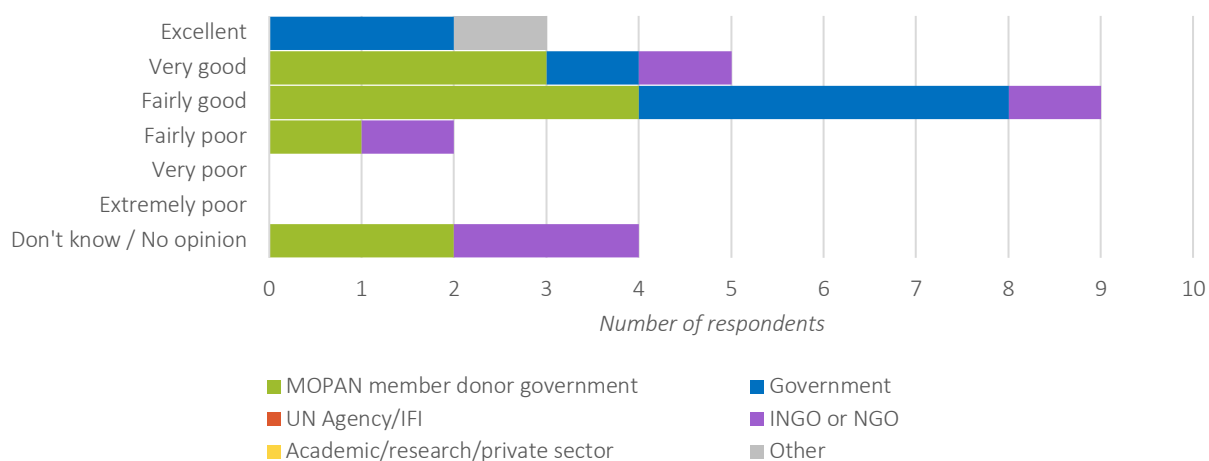


Managing financial resources

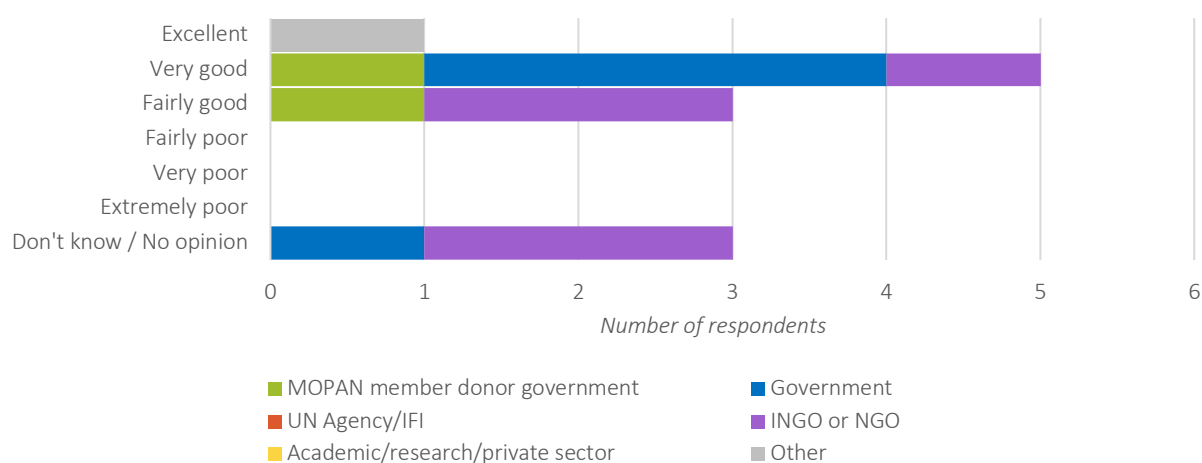
GEF provides transparent criteria for financial resource allocation



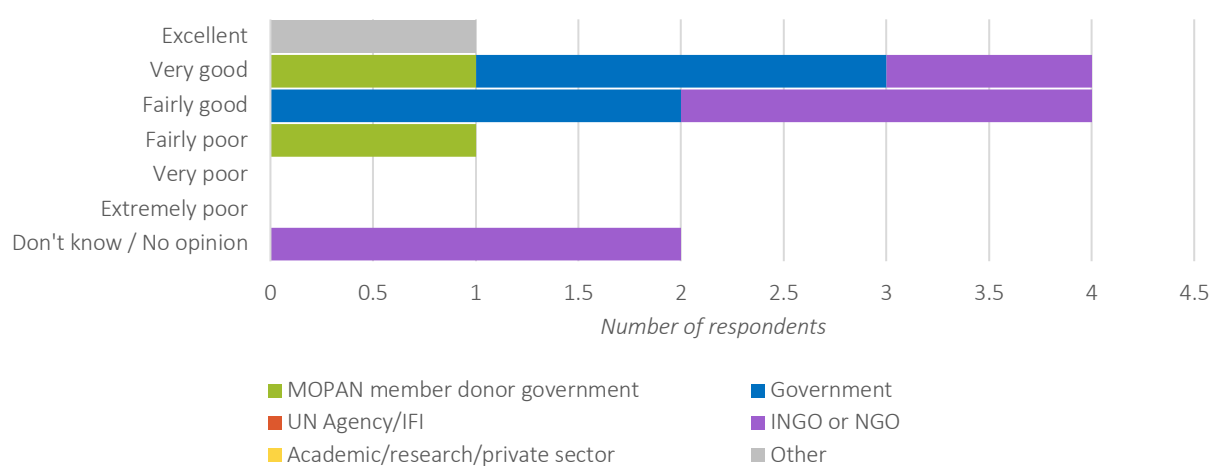
GEF provides predictable financial allocations and disbursements



GEF financial cooperation is coherent/not fragmented

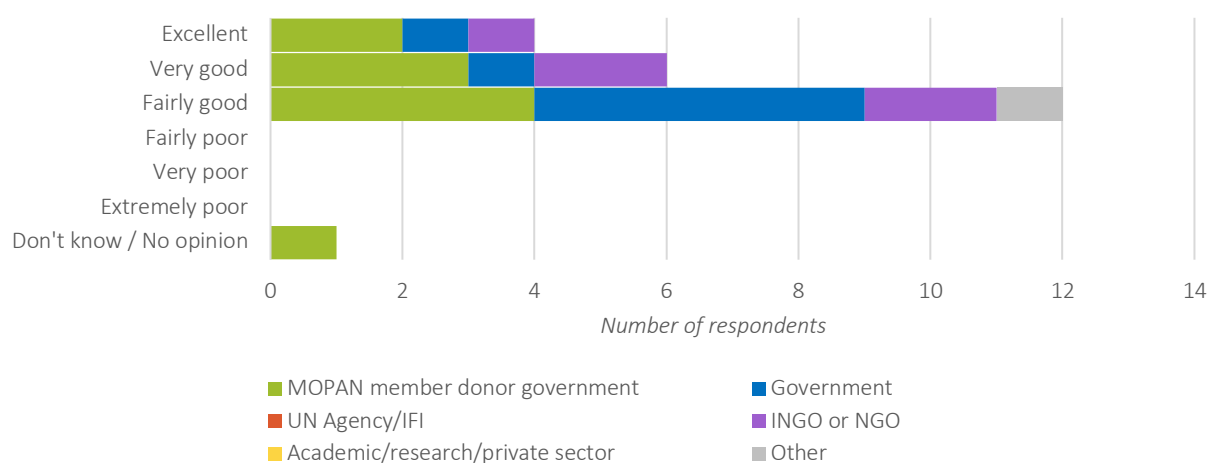


GEF has flexible resources

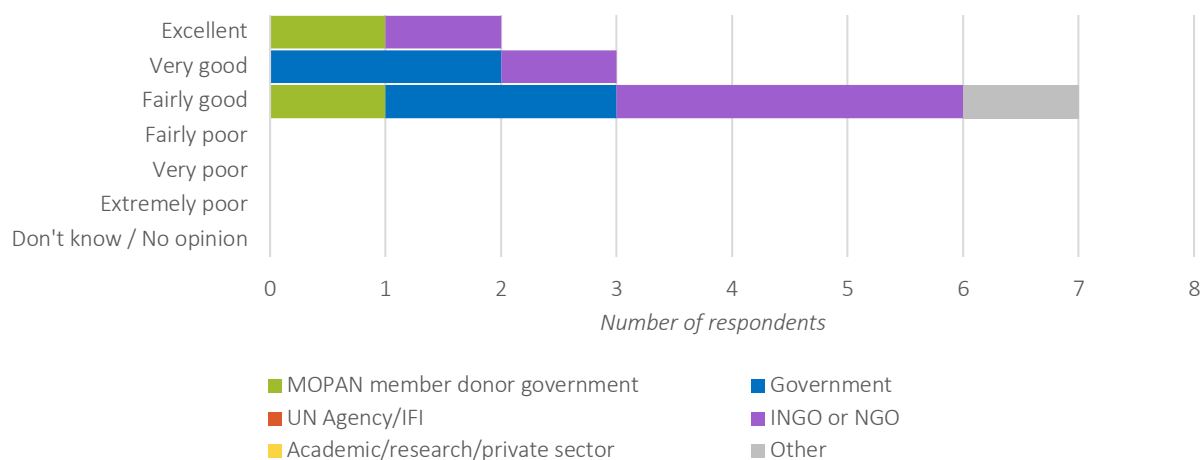


Interventions (programmes, projects, normative work)

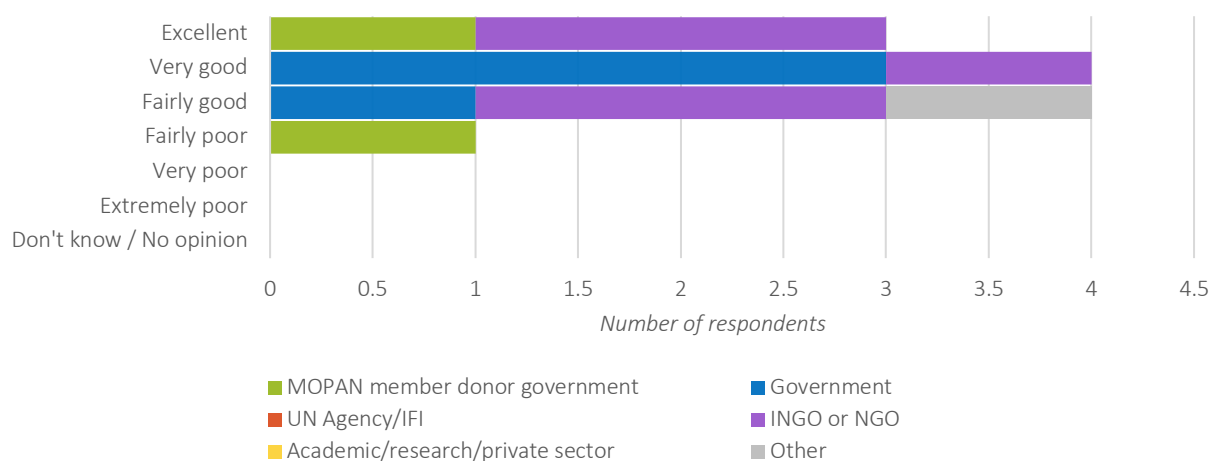
GEF interventions are fit national programmes and results of partner countries



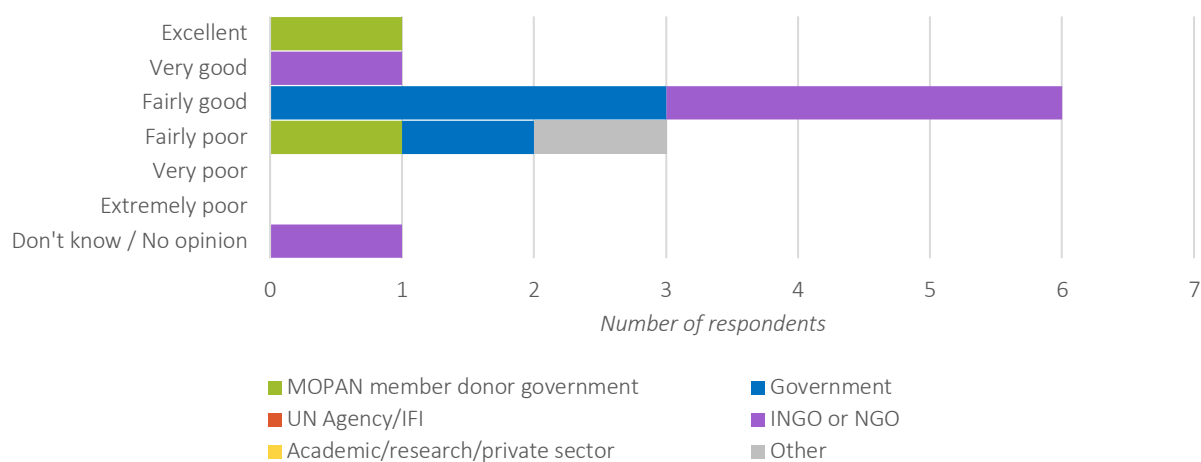
GEF interventions are tailored to the needs of the local context



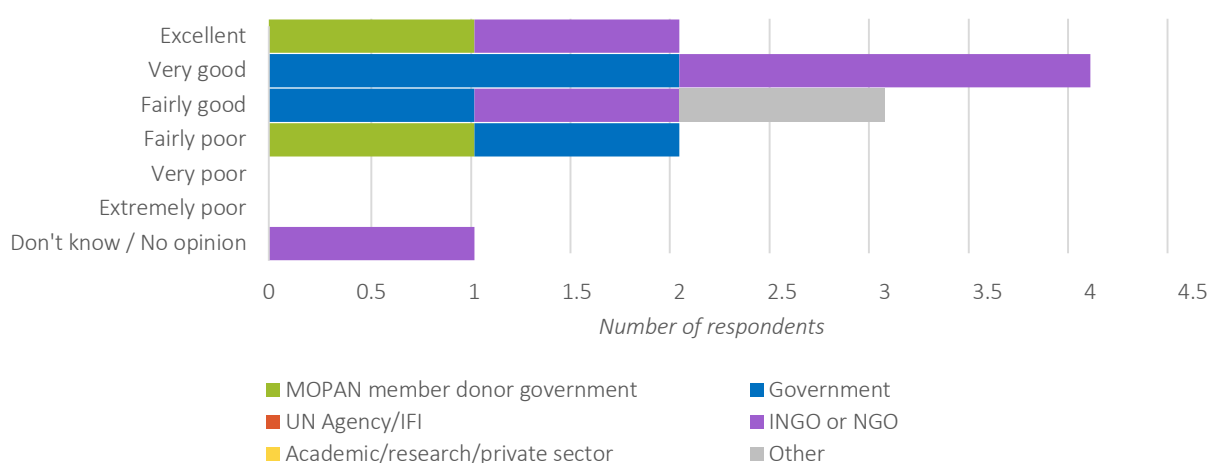
GEF interventions are based on a clear understanding of comparative advantage



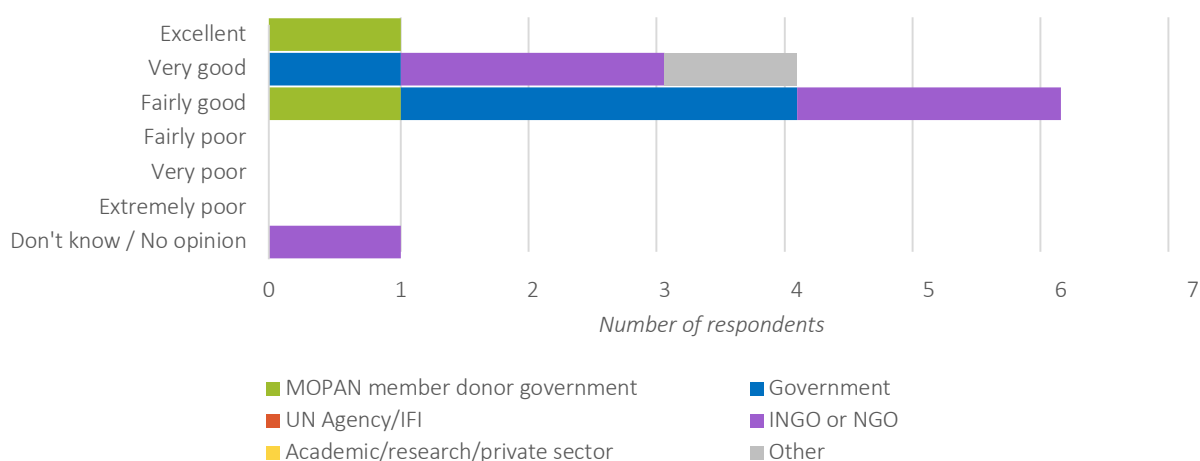
GEF can adapt or amend interventions to changes in context



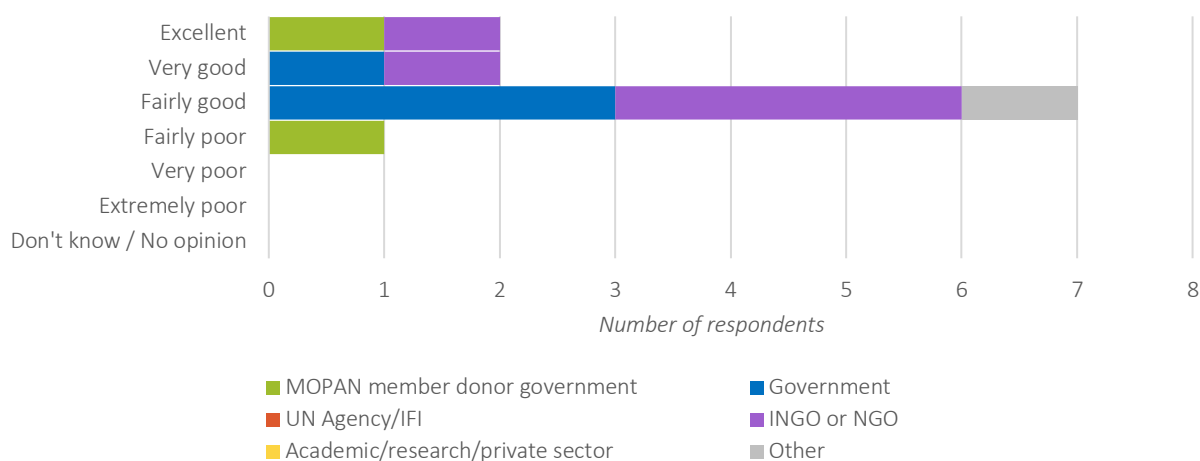
GEF interventions take in to account realistic assessments of national/regional capacities



GEF interventions appropriately manage risk in a given context

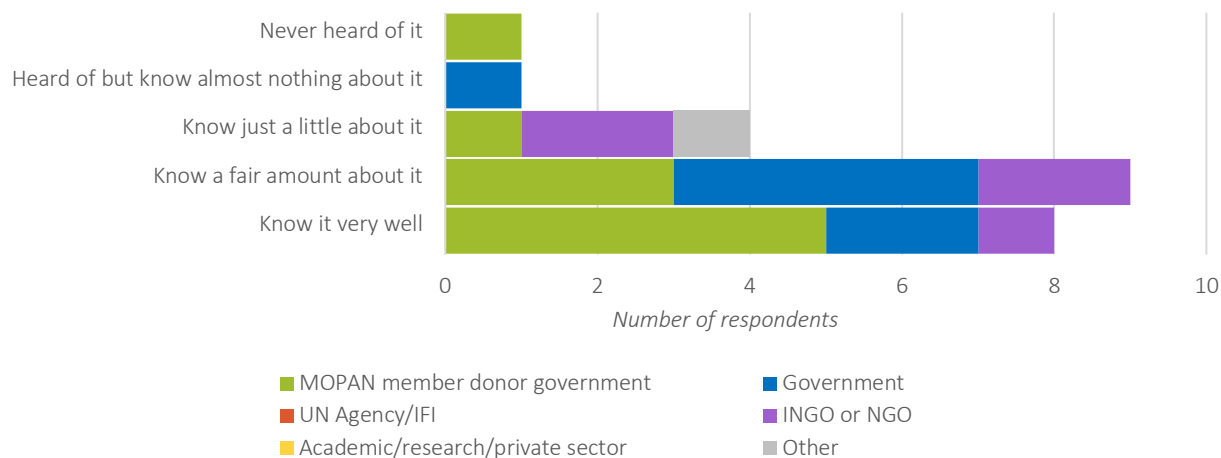


GEF designs and implements its interventions to sustain effect and impact over time

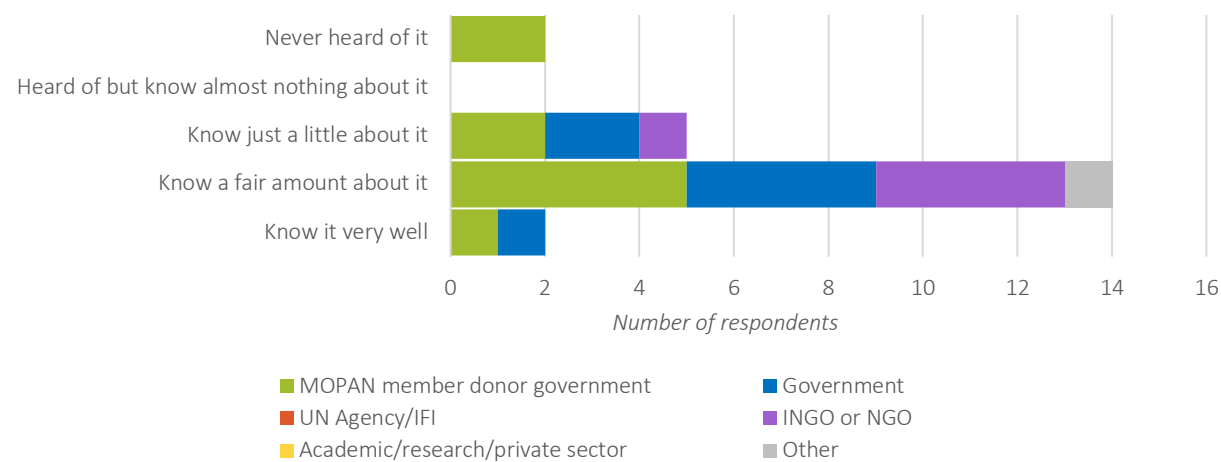


Interventions (cross-cutting issues)

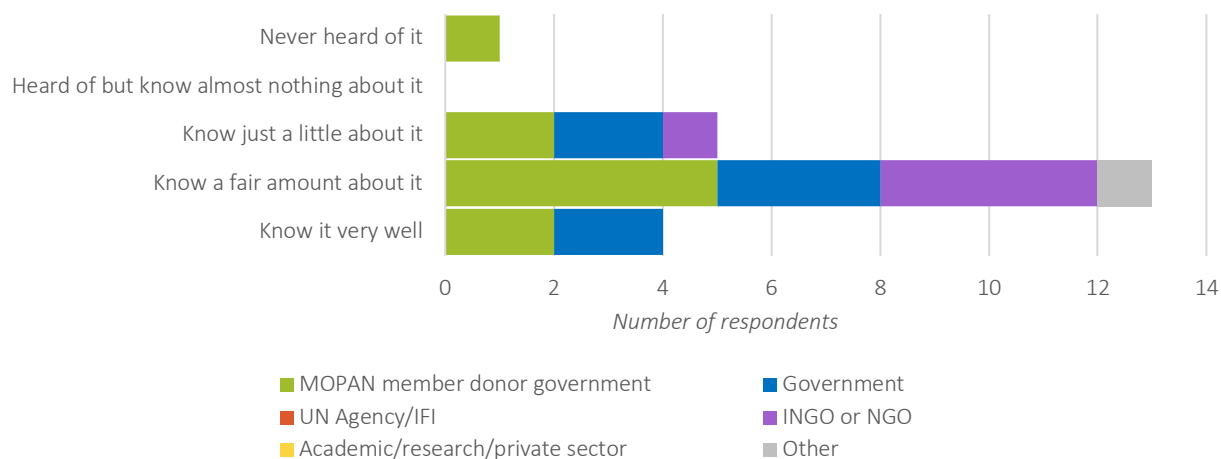
Familiarity with gender strategy of GEF



Familiarity with strategy for setting out how GEF intends to engage with good governance

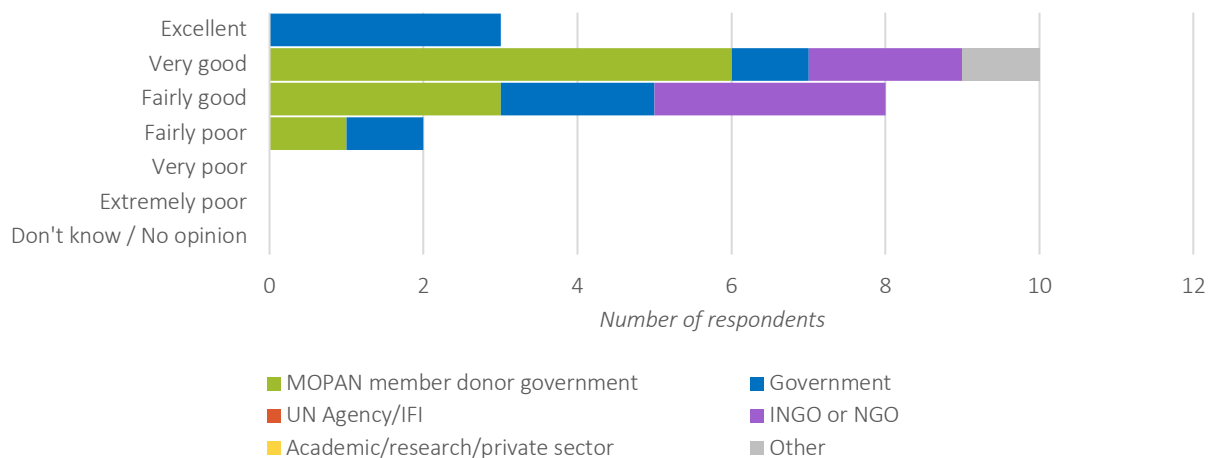


Familiarity with strategy for how GEF intends to take forward indigenous peoples

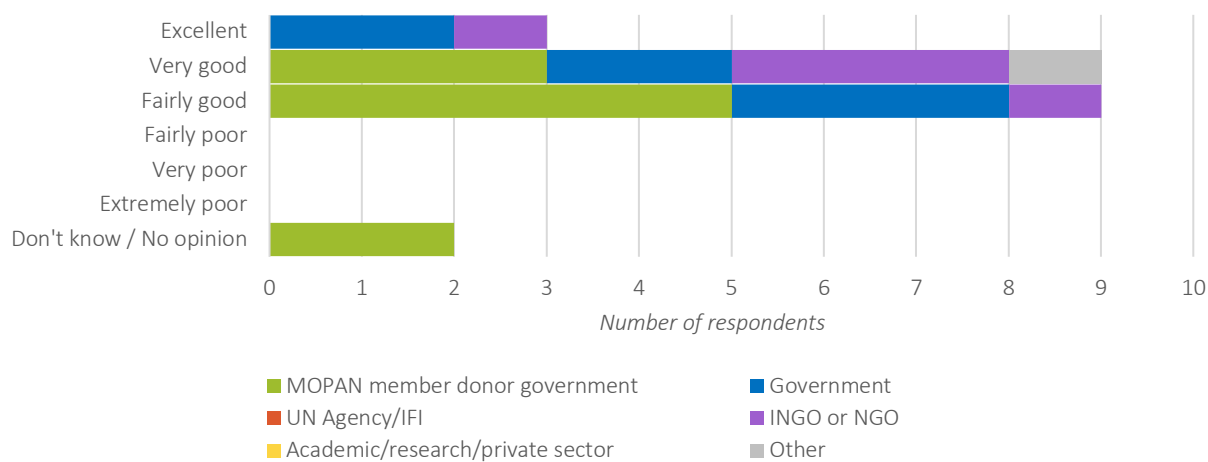


Interventions (cross-cutting issues, organisational performance)

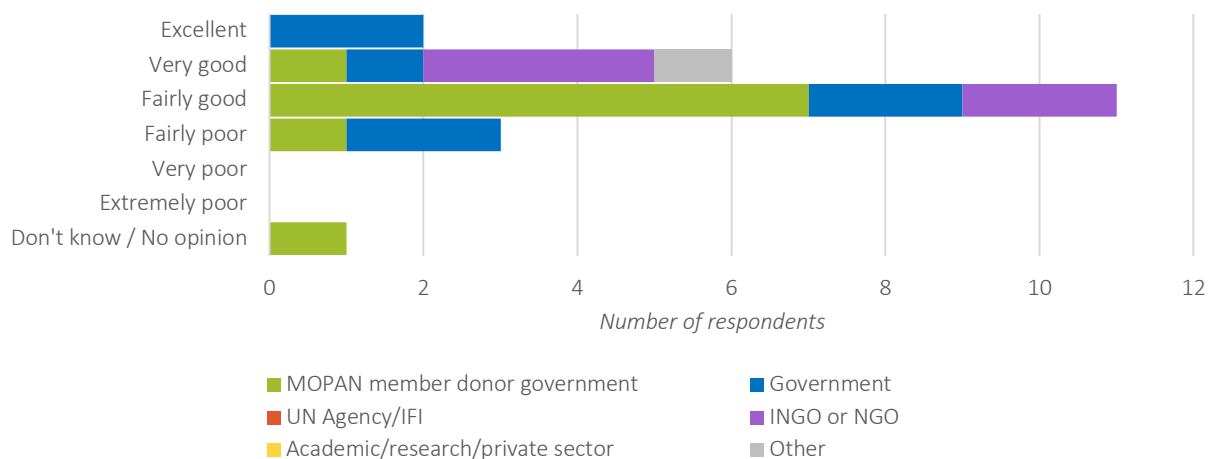
GEF promotes gender equality



GEF promotes principles of good governance

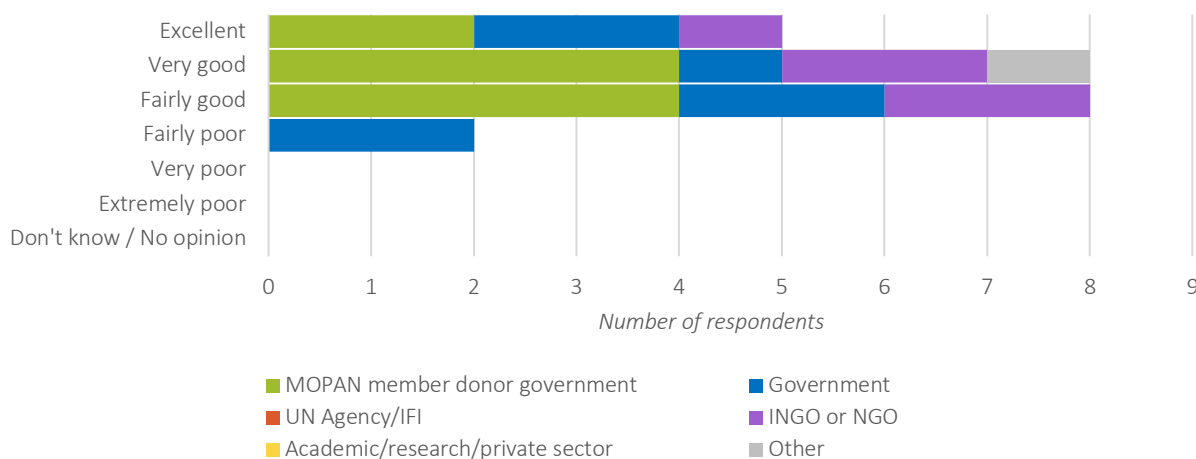


GEF promotes consideration of indigenous peoples

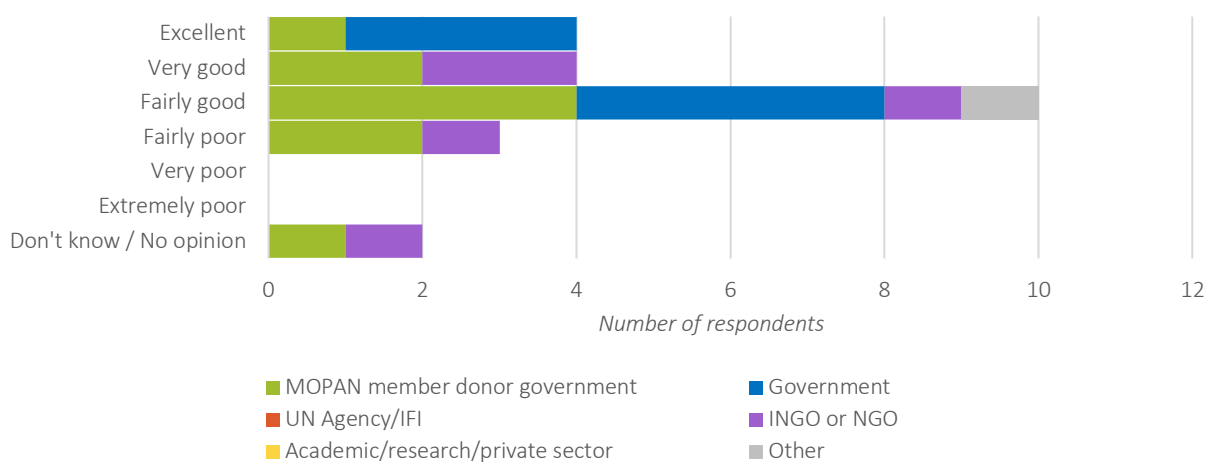


Managing relationships

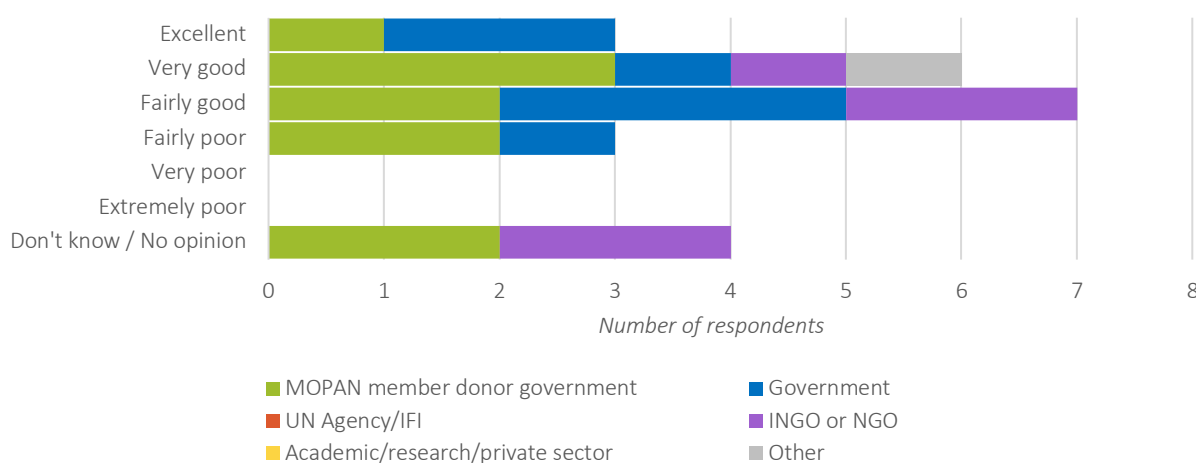
GEF prioritises working in synergy/partnerships



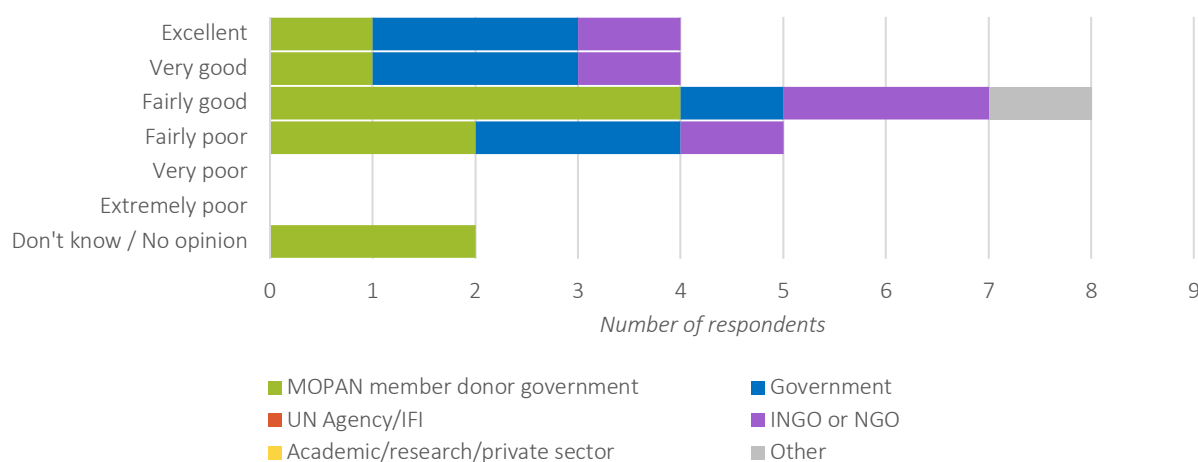
GEF shares key information with partners on an ongoing basis



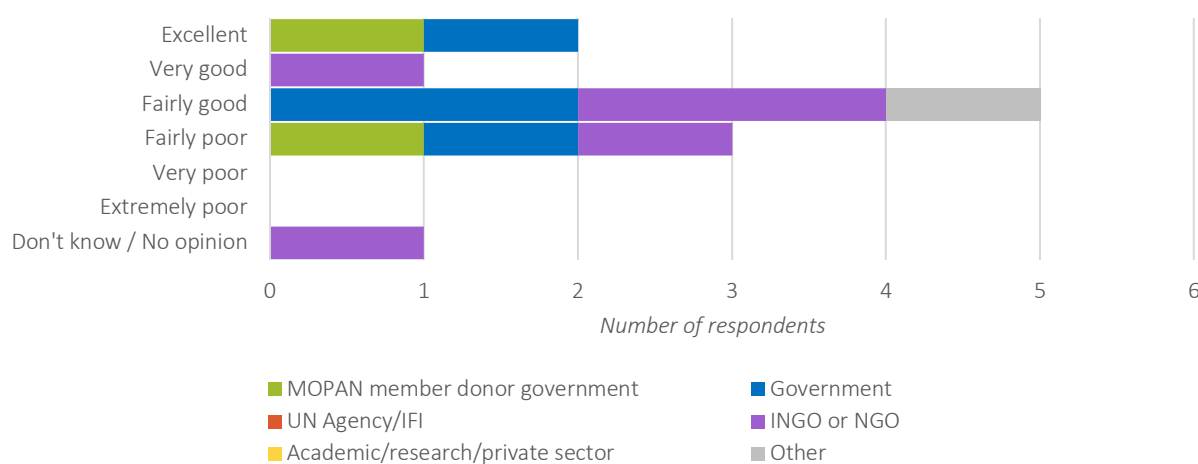
GEF uses regular review points with partners to identify challenges



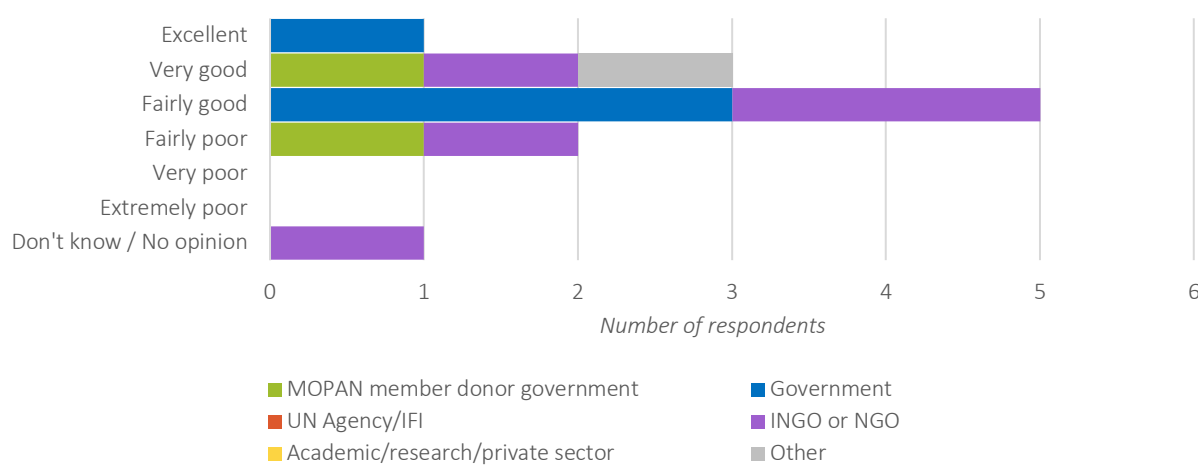
GEF organisational procedures are synergised with partners



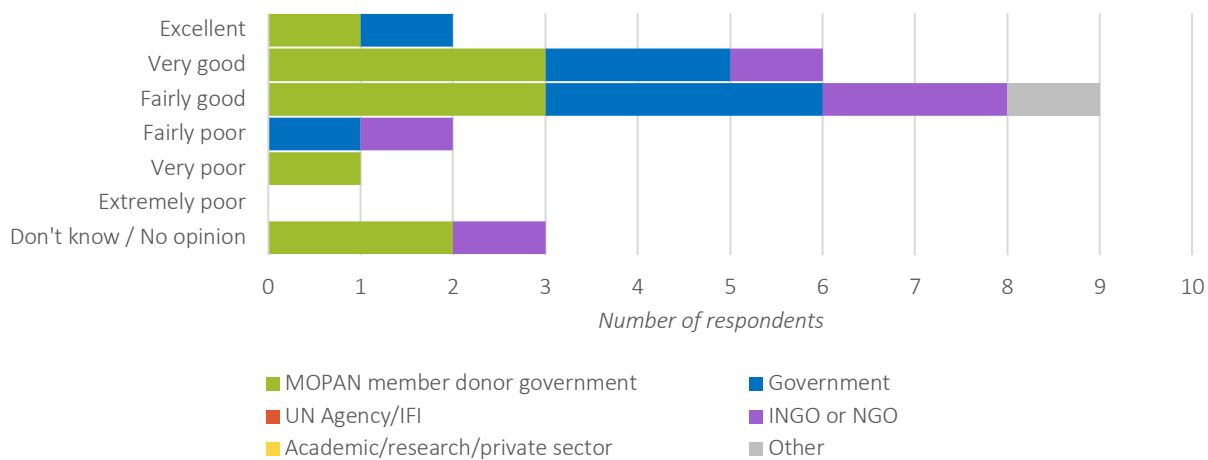
GEF provides high quality inputs to country dialogue



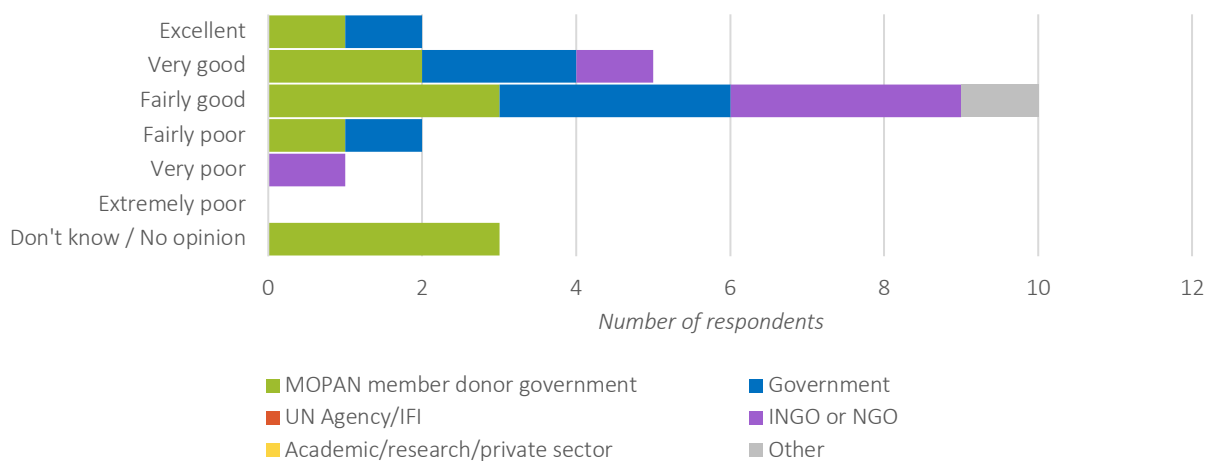
GEF views are well respected in country policy dialogue



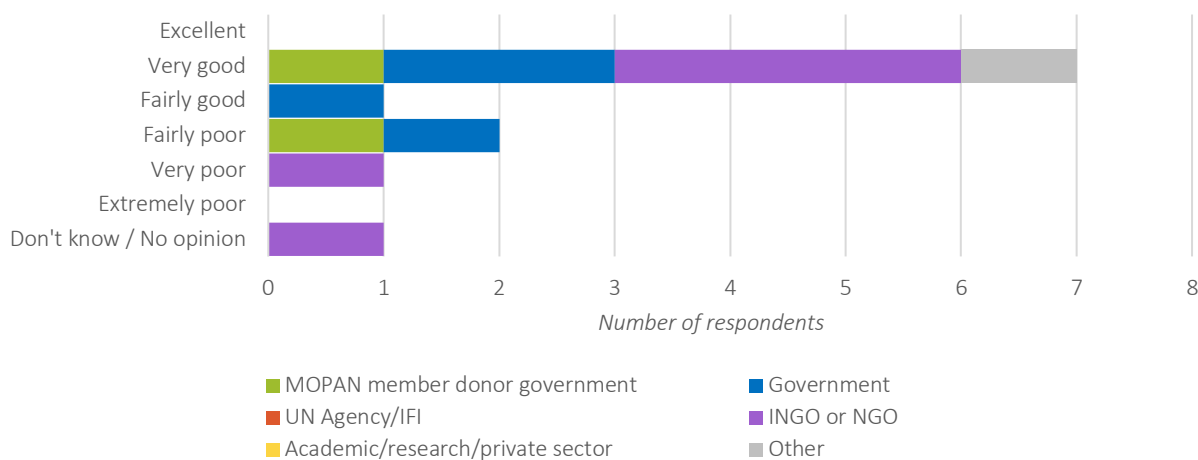
GEF provides high quality input to regional dialogue



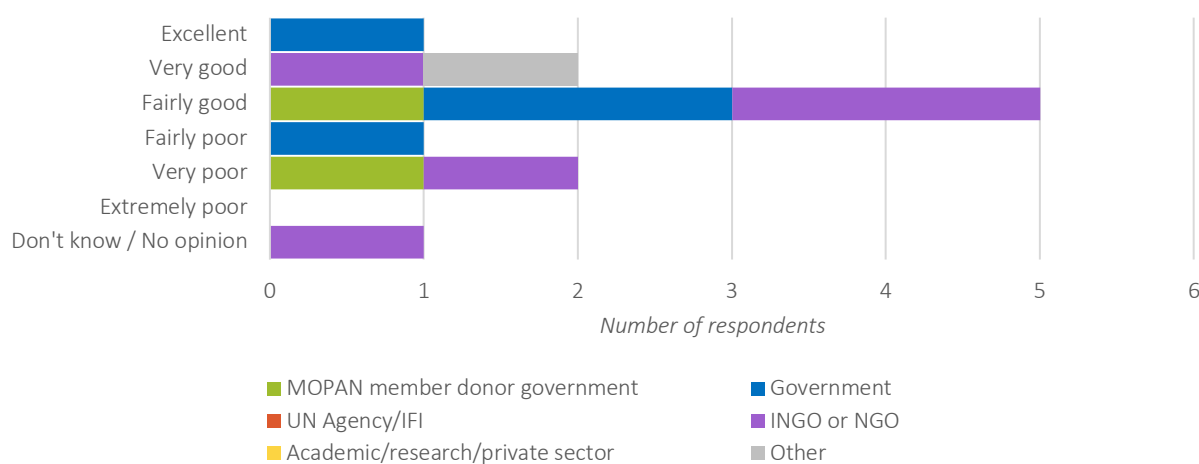
GEF views are well respected in regional policy dialogue



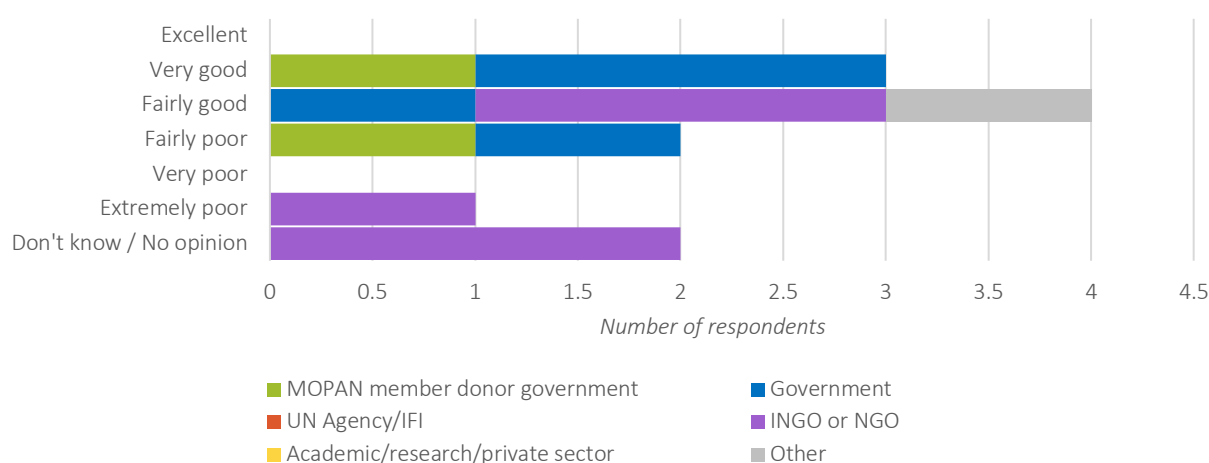
GEF conducts mutual assessments of progress with national/regional partners



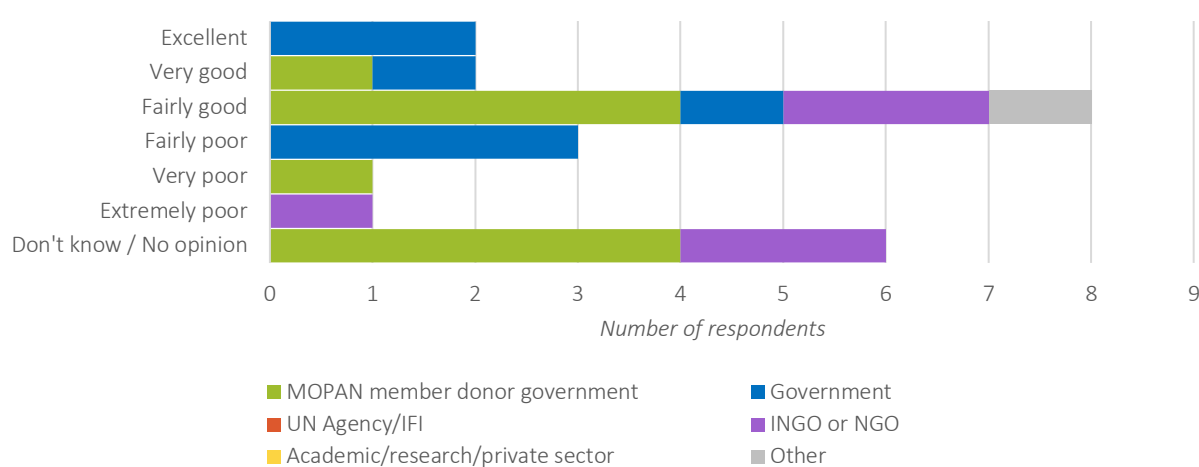
GEF channels resources through country systems as the default option



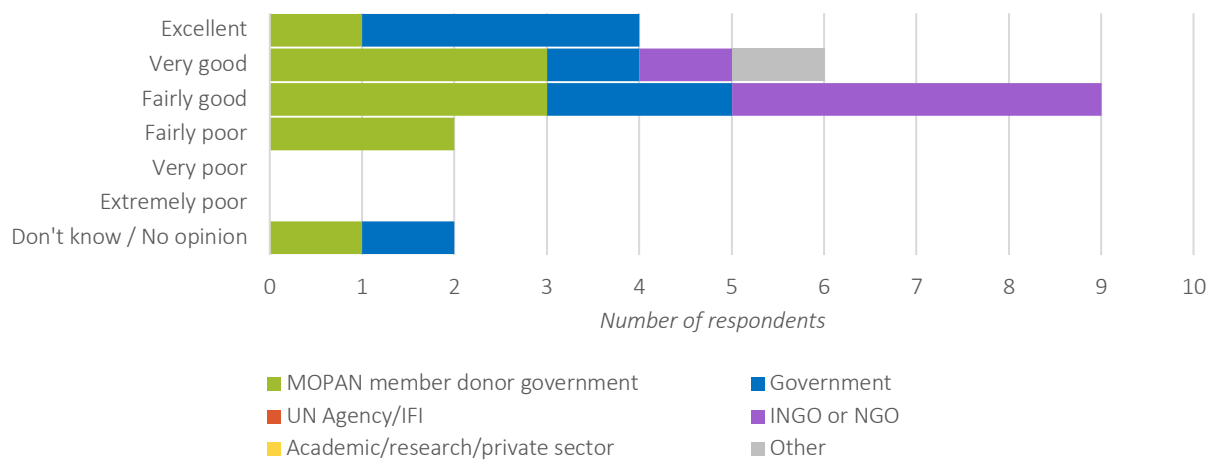
GEF builds capacity in countries where systems are not up to the required standard



GEF organisational procedures do not cause delays for implementing partners

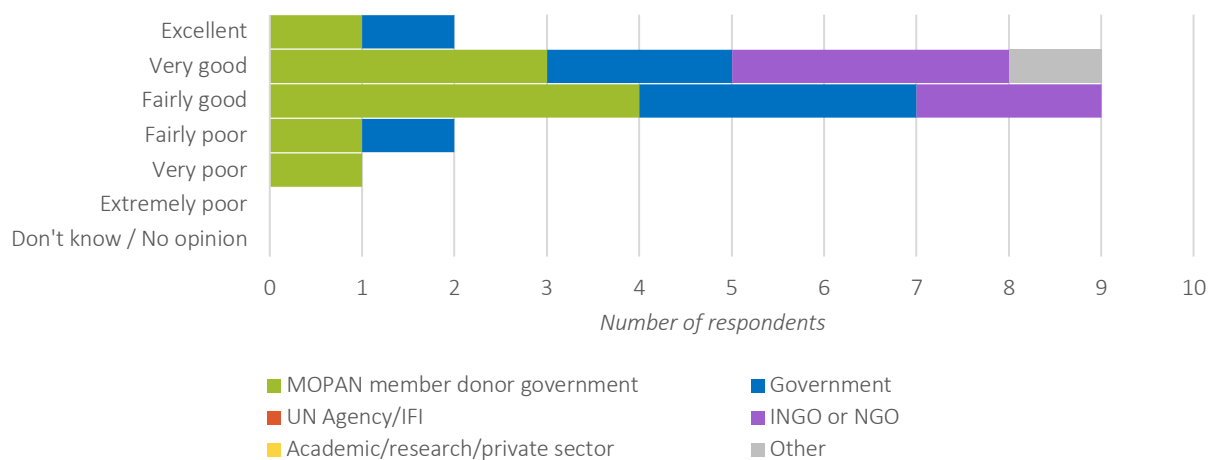


GEF knowledge products are useful for my work

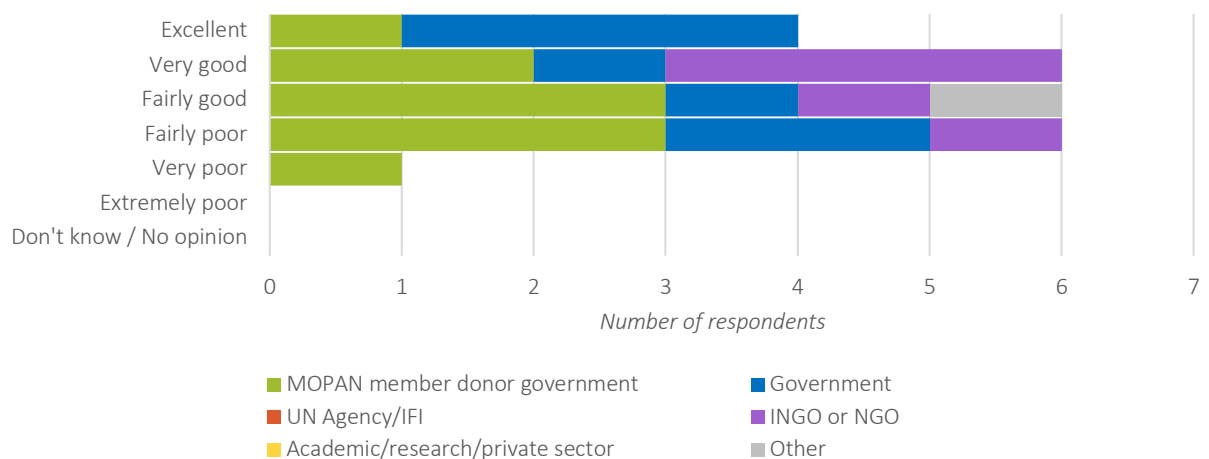


Performance management

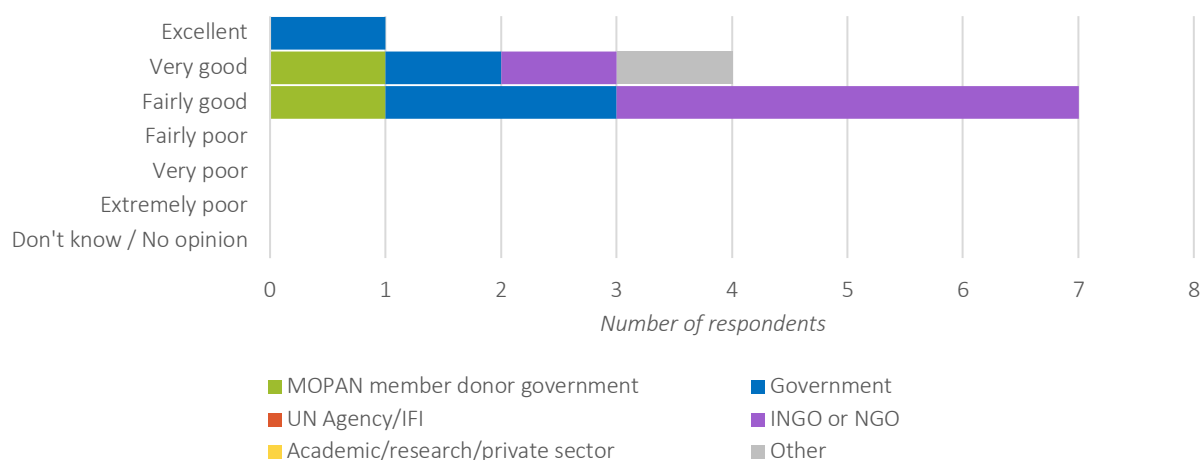
GEF prioritises as results-based approach



GEF uses robust performance data when designing and implementing interventions

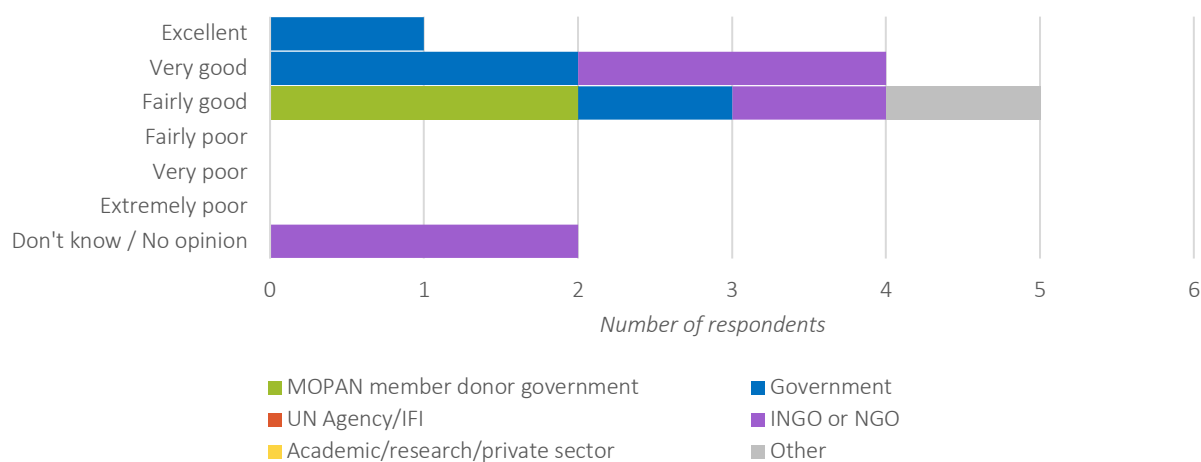


GEF bases its policy and strategy decisions on robust performance data

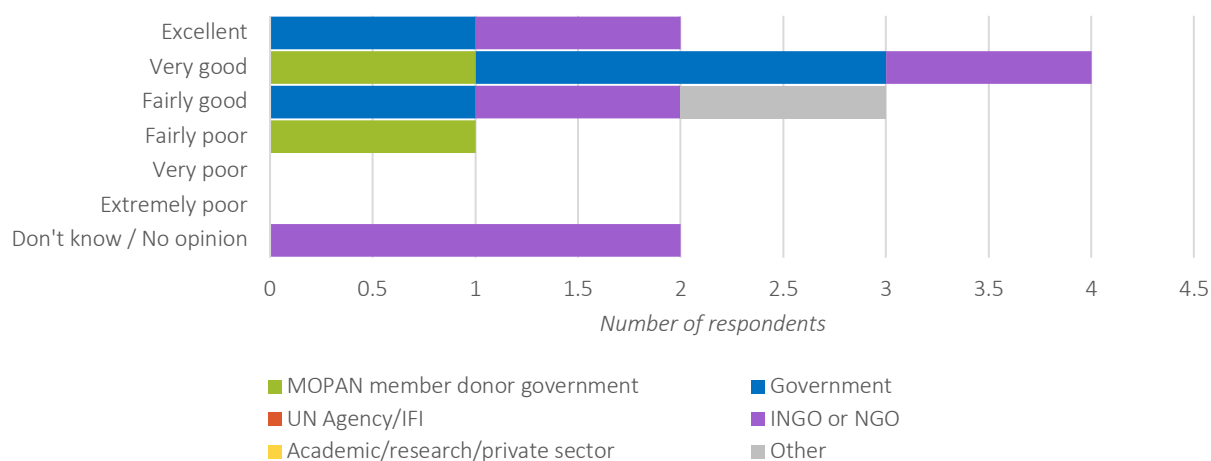


Evidence base for planning and programming

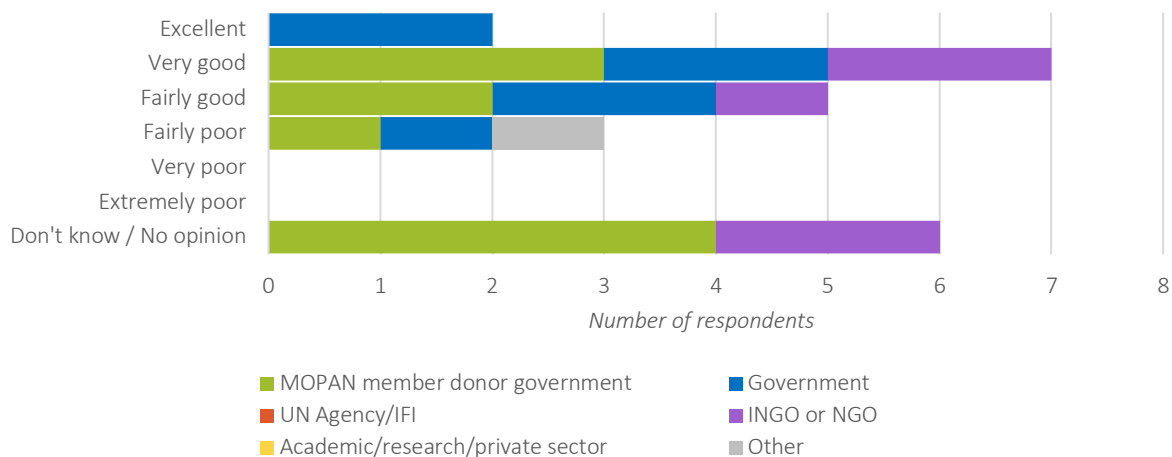
GEF has a clear statement on which of its interventions must be evaluated



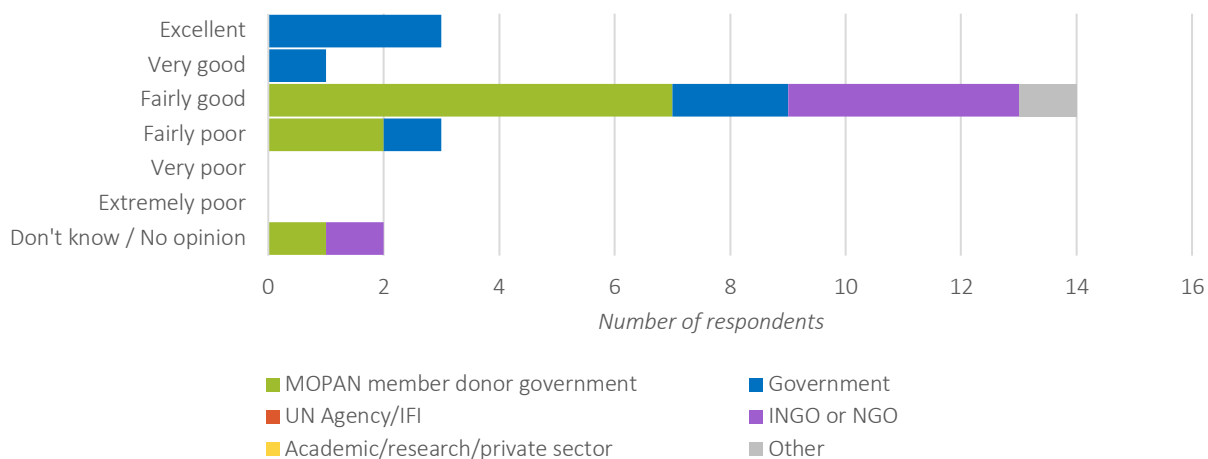
Where required, GEF ensures that evaluations are carried out



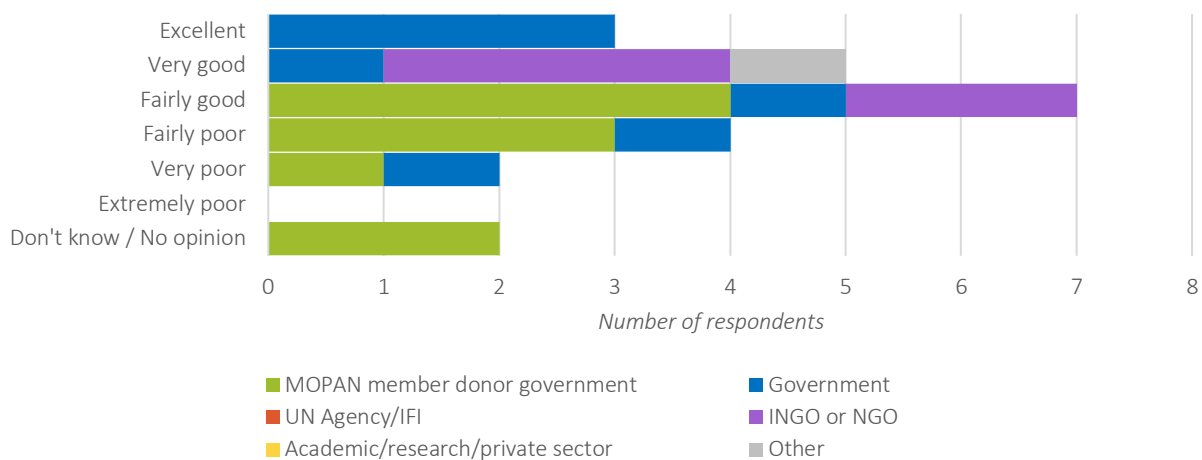
GEF participates in joint evaluations at the country/regional level



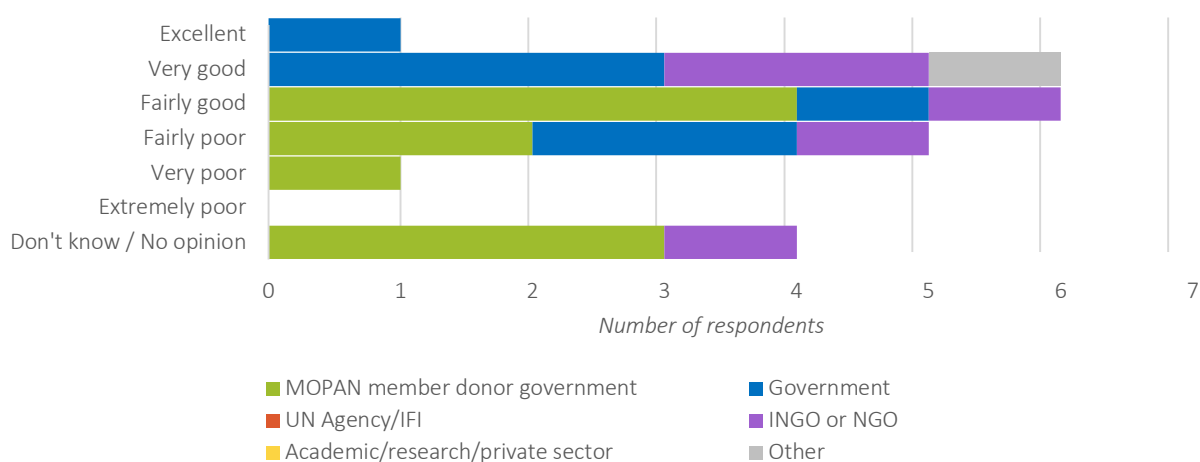
GEF intervention designs contain a statement of the evidence base



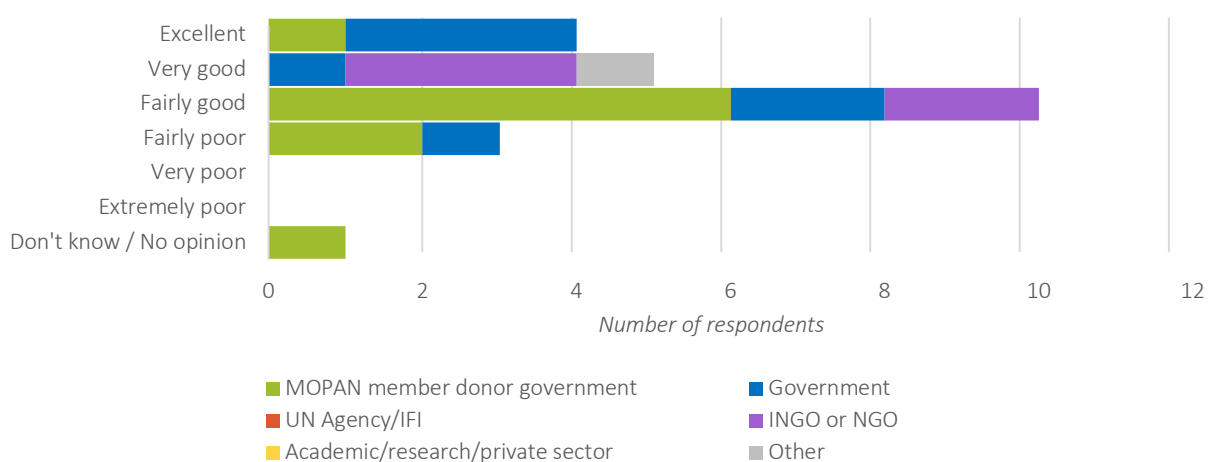
GEF identifies under-performing interventions



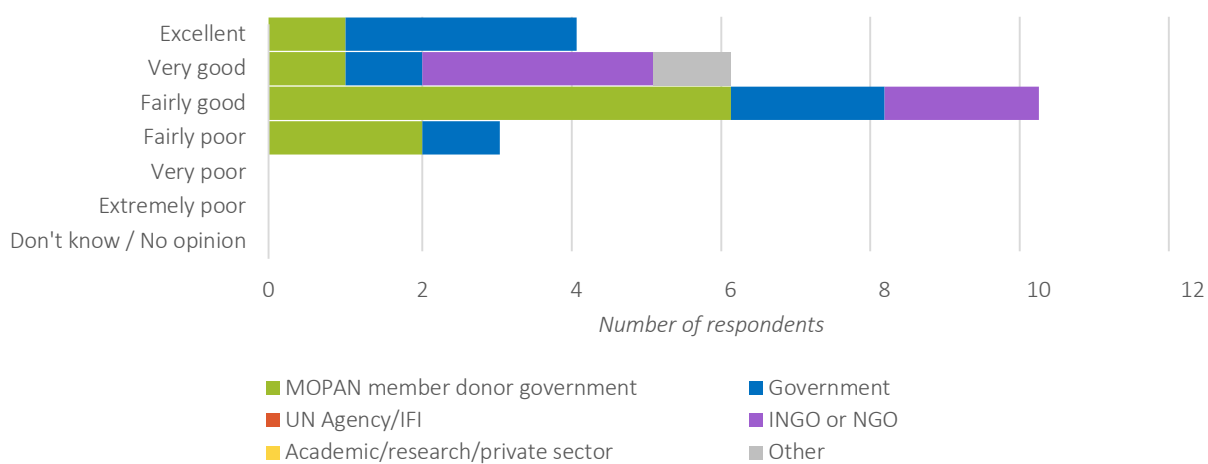
GEF addresses any areas of intervention under-performance



GEF follows up evaluation recommendations systematically



GEF learns lessons from experience rather than repeating the same mistakes





For any questions or comments, please contact:

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