



Global Environment Facility

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GEF Council
May 9-11, 2001

**REPORT ON THE IMPLEMENTATION OF
THE SECOND STUDY OF
GEF'S OVERALL PERFORMANCE**

BACKGROUND

1. At its May 2000 meeting the GEF Council requested the Senior Monitoring and Evaluation Coordinator to prepare a plan for the implementation of the Second Study of GEF's Overall Performance (OPS 2). The study would contribute to the third replenishment and the second Assembly of the GEF in 2001-2002. The plan for the study including its budget was approved by the Council in October 2000. At its November 2000 meeting the Council stressed the importance of the study for the replenishment and the Assembly; it requested a report on the progress of the study and the results of the focal areas program studies at the May 2001 Council meeting. It further requested the submission of a draft report of OPS 2 by September 2001.

PURPOSE OF THE STUDY

2. The Second Study of GEF's Overall Performance is designed to assess the extent to which the GEF has achieved, or is on its way to achieving, its main objectives as specified during the restructuring in 1994, and the policies adopted by the GEF Council in subsequent years. The central theme of OPS 2 is the assessment of impacts and results seen in the context of the four GEF focal areas of biodiversity climate change, international waters and ozone, as well as in land degradation as it relates to these areas. The study will also analyze how GEF policies, institutional structures and cooperative arrangements have facilitated or impeded results, by focusing on four main topics: (i) Operational and Program Results; (ii) Effects of GEF Policies on Results; (iii) Effects of GEF's Institutional Structure and Procedures on Results; and (iv) "Country ownership" and sustainability of results. A key issue is whether GEF policies are adequately responding to the objectives of the: the Convention on Biological Diversity; UN Framework Convention on Climate Change; the UN Convention to Combat Desertification; and the effectiveness of GEF efforts in supporting, the Montreal Protocol and other relevant conventions (Ref. Plan for OPS 2).

OPS 2 TEAM

3. In January 2001 the Senior Monitoring and Evaluation Coordinator, in consultation with the Chairman and CEO of the GEF, selected the team to undertake OPS 2, taking into consideration, inter alia, factors such as professional skills, evaluation competence, experience in GEF focal areas as well as skills in institutional, geographical and cross-cutting analyses. The team member's nationality and gender were also factors in the selection process. All the team members were found to be independent of the GEF and its Implementing Agencies. They were found to have a balanced judgment and not an interest in portraying the GEF in an unfair positive or negative manner. Short resumes of the team members are included in the Inception Report.

4. The OPS2 team consists of:

Team Member	Lead Assignment in the team	Nationality
Leif E. Christoffersen	Team Leader	Norway
James Seyani	Biodiversity	Malawi
Thomas Mathew	Biodiversity	India
Ogunlade Davidson	Climate Change/Ozone	Sierra Leone
Allen Hammond	Climate Change/Ozone	USA
Maria Conception Donoso	International Waters/Integrated Resource Management	Panama
John Fargher	International Waters/Integrated Resource Management/Land Degradation	Australia
Emma Hooper	Social Issues	United Kingdom

MAIN AREAS TO BE COVERED IN OPS 2

5. The OPS 2 team prepared an Inception Report for the study, which was sent to the Council on February 13, 2001. The report states that the main emphasis will be to assess the impact and results of GEF within the four focal areas: biodiversity, climate change, international waters, and ozone depletion; and in the crosscutting issue of land degradation as it relates to these four focal areas. Among other crosscutting issues, special attention will be paid to country ownership of GEF activities and institutional and social development issues including stakeholder participation. Various operational modalities will be examined, including regular and smaller size projects.

6. The framework for the assessment is contained in the policy documents of the GEF and its Operational Programs. The Team's findings will be fed into a macro-level strategic evaluation of the cumulative effect of the GEF portfolio in each of its focal areas: (i) on institutions; (ii) on process; and (iii) in relation to cross-cutting issues including transparency, country-level ownership, capacity development, private sector involvement, innovation and replication, and public involvement through inclusive stakeholder participation.

7. The starting point for assessing project impact and results will be the examination of those recorded in GEF Secretariat and Implementing Agency project and program reviews and evaluations, including the annual Project Implementation Reviews, the three program evaluation studies and an external evaluation of the Ozone Program (Ref. GEF/C.17/Inf.4-7, GEF/C.14/Inf.6). These studies and evaluations have been carried out by members of the Monitoring and Evaluation Unit, the three Implementing Agencies, STAP and external consultants.

8. The OPS 2 team will assess and verify the reported impacts and results. It will review documents and conduct meetings with all GEF entities, the Convention Secretariats, executing agencies, government representatives, NGOs, academia, the private sector and other interested partners in a large number of countries.

9. Special efforts will be made to ascertain impact and results which are measurable and verifiable in terms clearly understandable and recognizable to the principal stakeholders in the client countries. The Team will verify reported progress in achieving results and impacts through field visits and through discussion with country focal points, relevant government ministries, project Implementing and executing agencies, NGOs and other partners.

TIMETABLE

10. The remaining phases of the study are the following:

Country Visits, including regional consultations, project field visits, ongoing	March-May 2001
Assessing findings from document reviews and country visits	May-June 2001
Consultation at Council meeting	May 11, 2001
Report writing	August 2001
Preparation of draft for submission to third GEF Replenishment Meeting and Council	September 10–26, 2001
Final report	December 20, 2001
Translation/Publication	January-March 2002

COUNTRY VISITS AND REGIONAL CONSULTATIONS

11. The OPS 2 team selected venues for regional consultations and countries for in-depth studies during March to May 2001. The Team carefully checked its identification of such visits against the criteria set forth in its Terms of Reference—number of GEF projects and size of funds allocated; broad representation of projects in the various focal areas; well performing and innovative projects as well as less-well performing ones; length of GEF involvement; various institutional models for responding to GEF initiatives; and, consideration of geographical and other variations between countries. Some countries in which well documented material is already available were not selected for visits.

12. In consultation with the GEF Secretariat and the Implementing Agencies the Team decided that its main inputs will first be sought through studies of GEF efforts at the country level in Argentina, Brazil, South Africa, Romania, Jordan, Senegal, Jamaica, Nepal, Uganda, China and Samoa, and review of specific GEF projects through site visits in Bulgaria, Hungary, Lebanon, Kenya, and Tanzania. In

addition, four regional meetings are planned with key partners, including GEF-NGO network representatives, in Eastern Europe (Romania); West Africa (Senegal); the Caribbean and Central America (Jamaica and Mexico); and Asia (Bangkok). All the visits and consultations are scheduled for March-May 2001. .

13. In order to prepare the regional consultations and the country visits, the GEF Monitoring and Evaluation Team has made contacts with governments through the Country Focal Points as well as through field representatives of the Implementing Agencies. Although, the OPS 2 team has limited time at its disposal for the visits, the preparations and arrangements in the countries for meetings with government and non-government representatives have worked well.

14. In all the countries the Team has been aided by 1-2 local consultants selected especially for the visits by the OPS2 team. In all the countries, local consultants are preparing for and participating in country visits, and carrying out preparatory studies in: (i) private sector engagement in selected GEF focal areas; (ii) press coverage of GEF-financed projects; and (iii) modalities for institutional interaction regarding GEF Operational focal points. In five selected countries, social development consultants are undertaking preparatory studies on "Participation and Stakeholder Inclusion in GEF-financed projects."

HIGH-LEVEL ADVISORY PANEL

15. In consultation with the GEF CEO and Chairman, the OPS 2 Team Leader and the Senior Monitoring and Evaluation Coordinator appointed a High-level Advisory Panel to provide guidance and advise to the OPS2 team, as described in the Inception Report and in communications to the GEF Council of February 16, 2001. The Panel consists of five distinguished experts with broad experience from global environmental negotiations and conventions and with solid understanding of the policy-making context of GEF-related topics.

16. The members of the Panel are:

Ms. Akiko Domoto (Japan)	Member of Parliament; President of GLOBE
Mr. Jose Goldemberg (Brazil)	Former Minister of Environment; Professor University of Sao Paulo
Mr. Hisham Khatib (Jordan)	Former Minister of Planning; Vice Chairman, World Energy Council
Mr. Zhang Kunmin (China)	Secretary General for International Council for Environment and Sustainable Development
Ms. Corinne Lepage (France)	Former Minister of Environment

17. The Panel's main tasks is to advise the Team on the implementation of the Study and to provide guidance to the Team, once it has begun to bring together its first round of findings, on the formulation of its conclusions and recommendations. The inputs of the Panel are considered to be particularly valuable in giving advice to the team on the political dimensions of its main findings and recommendations. A teleconference was held with the Panel on March 15. The Panel will meet with the Team in Washington, D.C., on June 24-25, 2001.

ELECTRONIC COMMUNICATION

18. As the reports of the OPS 2 team are being completed they will be posted on the GEF website and disseminated in other ways. This will help the Team to function in an open and inclusive manner, and to ascertain transparency and good communications with all cooperating entities and the public at large as the study progresses. Opportunities have also been provided to solicit feedback from all interested parties and stakeholders directly to the Team members to the M&E Unit by ordinary mail and electronic mail: geflessons@gefweb.org.

CONSULTATION OF THE OPS 2 TEAM WITH THE GEF COUNCIL ON MAY 11

19. There will be a consultation by the OPS 2 team with the Council in Washington, D.C., on May 11 (ref. Agenda for the Council May 2001 meeting). Any issue related to the OPS 2 can be brought up at this occasion. Some of the key issues will be:

- (a) What have the GEF operational and program results been (or are likely) in terms of benefits within the four focal areas (e.g. improved conservation and sustainable use of biodiversity, reductions of emissions, reduction of environmental stress, capacity development, institutional changes, increased awareness)?
- (b) What is the effectiveness of GEF policies and programs (in relation to the conventions, innovative project approaches, GEF's integration of scientific and technical assessments, incremental costs, etc.)?
- (c) What is the effectiveness of GEF's institutional structure (including cooperation through the Implementing and executing agencies and the GEF Focal Point system)?
- (d) What has been achieved in terms of country ownership of GEF-supported efforts, sustainability, etc.?
- (e) What are the recommendations to improve GEF's results and impacts?