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2017

(Prepared by the Independent Evaluation Office of the GEF)

TABLE OF CONTENTS

I Background and main Findings	1
Background	1
Main Findings	1
Management Action Record	4
Council Decision with a Substantial Level of Adoption	5
Council Decisions with a Medium Level of Adoption	5
Issues for Future Consideration	6
II Scope and Methodology	7
Topics covered	7
Coverage	7
Sustainability Analysis	10
Management Action Record	11
Performance Matrix	11
III Project Outcomes	12
IV Special focus: sustainability analysis	17
Key Questions	17
Methodological Approach	17
Findings	19
V Project Implementation, Execution, Co-financing and M&E	35
Project implementation and execution	35
Co-financing	36
VI Terminal Evaluation Reporting	41
Submission of Terminal Evaluations	41
Quality of Terminal Evaluation Reports	42
VII. The Management Action Record	44
Ratings Approach	44
Findings	45
References	49
Annex	52

TABLE, FIGURES AND BOX

TABLE

Table 1: Composition of the APR 2005–16 and APR 2017 cohorts, and cumulative coverage	9
Table 2: Source of performance ratings	10
Table 3: Outcome ratings of GEF projects: APR2017 versus other cohorts	12
Table 4: Outcome rating at post completion verification versus sustainability rating at completion	25
Table 5: Change in the level of outcomes by country group- post completion versus project completion	25
Table 6: Environmental status change/stress reduction and broader adoption.....	28
Table 7: Environmental status and broader adoption: post completion compared to at completion	29
Table 8: Broader adoption processes and the elements that get adopted – Post completion versus at completion status (at completion status in parentheses) (n=53).....	29
Table 9: Change in level of risks at post completion verification compared to at completion	30
Table 10: M&E design rating versus outcome and sustainability ratings.....	31
Table 11: Quality of design for FSP – percentage of project with a ‘yes’ response	32
Table 12: Outcome and Sustainability ratings of project portfolios of select multilateral organizations..	34
Table 13: Coverage by Phase, Agency and Project Size	42
Table 14: Performance Matrix	48

FIGURES

Figure 1: Coverage of Approved Projects in APR 2017 – number	8
Figure 2: Distribution of the 2017 cohort - number of projects by replenishment period	8
Figure 3: Projects with Outcomes Rated in Satisfactory Range- by GEF Replenishment Period.....	13
Figure 4: Projects rated in the satisfactory range for outcomes - three year rolling average by year of approval (observations in parentheses)	13
Figure 5: Projects with outcome rated in satisfactory range by GEF regions.....	14
Figure 6: Projects with outcome rated in satisfactory range - by country groups	15
Figure 7: Project with outcome rated in satisfactory range by project size and scope.....	15
Figure 8: Percentage of completed projects with likelihood of sustainability of outcomes rated in 'likely' range - by replenishment period	20

Figure 9: Projects rated in the likely range for sustainability - three year rolling average based on year of approval	21
Figure 10: Projects rated in the likely range for sustainability - three year rolling average based on year of approval	22
Figure 11: National projects with sustainability rated in the 'likely' range - by select country groups.....	22
Figure 12: Completed projects with sustainability rated in the 'likely' range - by focal area.....	23
Figure 13: Broader adoption - by percentage of projects reporting a process (n=53)	29
Figure 14: Projects with Quality of Implementation Rated in Satisfactory Range-by GEF Period.....	35
Figure 15: Projects with Quality of Execution Rated in Satisfactory Range-by GEF Period	36
Figure 16: Promised and Realized Cofinancing per dollar of GEF Grant for Completed GEF Projects- by Period	37
Figure 17: Materialized Cofinancing for Completed Projects vis-a-vis Promised Cofinancing by Period...	37
Figure 18: Promised and Realized Cofinancing per dollar of GEF Grant for Completed GEF Project-by Focal Area.....	38
Figure 19: Materialized Cofinancing for Completed Projects vis-a-vis Promised Cofinancing - by Region 39	
Figure 20: Projects with M&E Design Rated in Satisfactory Range-by GEF Period.....	39
Figure 21: Projects with M&E Implementation Rated in Satisfactory Range-by GEF Period	40
Figure 22: Projects with M&E Implementation Rated in	40
Figure 23: Projects Collecting Gender Disaggregated Data by Region	40
Figure 24: Quality of Terminal Evaluation Reports- by Year of TE completion and Project Size.....	42
Figure 25: Quality of Terminal Evaluations Rated in the Satisfactory Range, by Agency	43

Box

Box 1: Outcome Sustainability in Ba Be Protected Area.....	26
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I BACKGROUND AND MAIN FINDINGS

Background

1 The annual performance report (APR) provides an update on performance of the Global Environment Facility's (GEF) portfolio of completed projects. It provides an update on project outcomes, the likelihood of sustainability of project outcomes, the quality of project implementation and execution, co-financing trends, the quality of project M&E systems, and the coverage and quality of terminal evaluation reports. It also includes the adoption of GEF Council decisions that are based on GEF IEO recommendations, and a summary assessment of the performance of GEF Agencies. Reporting in the APR is primarily based on the evidence provided in the terminal evaluation reports of completed projects. All terminal evaluations and ratings are reviewed and validated by the IEO and/or the evaluation office of the respective GEF partner Agency.

2 In addition to the details on performance, APR2017 also takes an in-depth look into the issue of sustainability. The analysis presented in APR2017 includes a cumulative portfolio of 1,372 completed projects, representing \$6.1 billion in GEF funding and \$30.1 billion in realized co-financing. This includes 188 projects for which terminal evaluations were recently received. These 188 projects account for \$861.8 million in GEF funding, and \$5.6 billion in realized co-financing, and are referred to as the APR2017 cohort.

3 The 2017 Management Action Record (MAR) tracks four separate GEF Council decisions and reports on the level of adoption of these decisions. The performance matrix summarizes the performance of GEF partner Agencies on key indicators related to project outcomes, the quality of implementation, the co-financing materialized, project extensions and the quality of terminal evaluation reporting.

Main Findings

Performance

- (a) As of APR 2017, 1,358 projects have been rated on overall outcome achievement. 80 percent of completed GEF projects perform satisfactorily in achieving their expected outcomes. 76 percent of the APR2017 cohort of rated projects (185) are assessed to be in the satisfactory range.
- (b) Overall, 80 percent of all completed GEF projects with terminal evaluations have satisfactory outcomes, with some variation. Outcome ratings for the 2017 cohort of closed projects was slightly lower at 76 percent. Among the GEF regions a significantly lower percentage of projects in Africa have satisfactory outcomes (74 percent) relative to outcomes for other regions. In addition, a lower percentage of projects implemented in Small Island Developing States (SIDS), Least Developed

Countries (LDCs) and Fragile States have satisfactory outcomes as compared with the portfolio average. Among the country groups, there has been a substantial improvement of approximately 20 percentage points after GEF-3, in the outcome ratings in fragile states. Medium-sized projects significantly outperform the full-sized projects on outcomes by approximately 5 percentage points.

- (c) The quality of project implementation has improved, while quality of execution remains the same. The quality of implementation ratings for the 2017 cohort are higher, with 84 percent of projects rated as satisfactory compared to the portfolio average of 79 percent. Quality of execution ratings stand at 78 percent for the 2017 cohort, close to the portfolio average of 81 percent. For both, the quality of implementation and execution, the presence of an effective steering committee is positively correlated with performance ratings. Levels of country support that match or exceed expectations is also correlated with the quality of execution ratings.
- (d) Expected levels of co-financing materialized in 70 percent of the projects. For completed projects, the ratio of realized co-financing to GEF dollars is 6.1 to 1; for the FY17 cohort, it is 8.4 to 1. Climate change projects tend to generate both the highest promised and realized co-financing ratios, whereas chemicals and waste projects mobilize 1.9 dollars of co-financing for every GEF dollar. Seventy (70) percent of projects realized 90 percent or more of promised co-financing; 14 percent of projects received less than 50 percent of co-financing, and this has a negative impact on outcome ratings.
- (e) M&E design and implementation ratings have improved over time. M&E design ratings for GEF-4 completed projects are 10 percent higher than the overall average of 63 percent. Likewise, M&E implementation ratings have improved with 86 percent of completed GEF-5 projects with satisfactory ratings, compared with the overall average of 64 percent. While overall M&E implementation ratings are lowest in Africa, the Africa region outperforms other regions on the collection of disaggregated gender data. Twenty-two (22) percent of projects in Africa collected disaggregated gender data, compared to 14 percent in both Asia and ECA, 9 percent in the LAC region, and 6 percent of projects implemented globally.
- (f) The quality of terminal evaluations remains high although there are some gaps in coverage, particularly for medium-sized projects. Eighty-three (83) percent of all terminal evaluations were rated in the satisfactory range and this has remained fairly stable over time. For GEF-1 through GEF-3, 87 percent of all expected full-sized project terminal evaluations and 79 percent of medium-sized project terminal evaluations have been received. There is a sharp drop in the coverage of medium-sized projects from GEF-2 to GEF-3, from 91 percent to 67 percent. Much of the drop may be attributed to UNDP wherein 57 percent of terminal evaluations were submitted from GEF-3, as compared with 85 percent completions from other agencies for the same period.

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

Sustainability

- (a) Multilateral organizations including GEF have adopted definitions of sustainability that are inspired by the definitions proposed by OECD-DAC and ECG. The GEF approach to measurement of sustainability is broadly consistent with other multilateral organizations despite some differences assessed in dimensions and rating scales. The review indicates that GEF could strengthen its approach to assessing sustainability further by explicitly addressing resilience.
- (b) Sustainability of outcome ratings has improved over the GEF replenishment periods. Sixty-two (62) percent of the completed GEF projects are rated in the 'likely' range for outcome sustainability, with a ten percent increase between GEF-3 and GEF-4 and an increase of 8 percent between GEF-4 and GEF-5. Likelihood of outcome sustainability at project completion is influenced by the quality of project preparation, country context, government support, quality of implementation and execution, and materialized co-financing. Projects in LDCs, fragile states, global projects, and the climate change and biodiversity focal areas, show a statistically significant improvement in sustainability ratings between GEF-2 and GEF-3 and onwards.
- (c) The percentage of GEF completed projects with a likelihood of sustainability at project completion is comparable with other multilateral organizations. Although there are differences among the multilateral organizations in terms of their mandate, geographical coverage, and scale of activities, the percentage of GEF projects that are rated in the likely range for sustainability is not substantially different from other multilateral organizations; it ranges from 52 percent in the African Development Bank to 66 percent in Asian Development Bank. Ratings for IFAD, the Inter-American Development Bank, the World Bank and the GEF are at 60 percent, 62 percent, 65 percent and 62 percent respectively. The only outlier is UNEP where the percentage of projects with likely sustainability is 79 percent.
- (d) Higher sustainability ratings at project completion are associated with higher levels of post project completion outcomes, environmental stress reduction and broader adoption. Fifty-three (53) projects were evaluated in-depth for sustainability. Eighty-four (84) percent of these projects that were rated as sustainable at closure also had satisfactory post completion outcomes, as compared with 55 percent of the

unsustainable projects. In addition, most projects with satisfactory outcome ratings at completion continued to have satisfactory outcome ratings at post completion. Compared with the status at project completion, at post completion more projects achieved environmental stress reduction (66 percent compared to 60 percent) and broader adoption (81 percent compared to 72 percent). Where past outcomes were not sustained, lack of financial support for the maintenance of infrastructure or follow up, lack of sustained efforts from the executing agency, inadequate political support including limited progress on the adoption of legal and regulatory measures, low institutional capacities of key agencies, low levels of stakeholder buy-in, and flaws in the theory of change of projects, were reported as contributing factors.

Management Action Record

4 The GEF Management Action Record (MAR) tracks the level of adoption of GEF Council decisions which are based on the IEO's evaluation recommendations. These recommendations are implemented by the GEF Secretariat and/or the GEF Partner Agencies (together referred to as GEF Management). The MAR serves two purposes: (1) to provide Council a record of its decisions based on the evaluation reports presented by the GEF IEO, the proposed management actions, and the actual status of these actions; and (2) to increase the accountability of GEF Management regarding Council decisions on monitoring and evaluation issues.”¹

5 MAR 2017 reports on the level of adoption of 4 decisions from the following evaluations.

- (a) Annual Country Portfolio Evaluation Report 2012 (GEF/ME/C.42/03)
- (b) Semi-Annual Evaluation Report June 2015, section on the Joint GEF-UNDP Small Grants Program Evaluation (GEF/ME/C.48/02)
- (c) Evaluation of the GEF CSO Network (GEF/ME/C.50/02)
- (d) Annual Performance Report 2015 (GEF/ME/C.50/04)

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

¹ GEF Council, “Procedures and Format of the GEF Management Action Record.” GEF/ME/C.27/3., GEF Council November, 2005.

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

Council Decision with a Substantial Level of Adoption

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

Council Decisions with a Medium Level of Adoption

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

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

10 The second decision relates to the burden of monitoring requirements reported in the 2015 Annual Performance Report. The decision endorsed the recommendation that GEF needs to reassess its approach to tracking tools for GEF-7, and should also assess the burden and utility of its biodiversity tracking tools and other alternatives. Management rated the level of adoption as substantial, however, as a revised results-based management approach is still under development by the Secretariat, the level of adoption is rated as medium by the IEO as an alternative to the tracking tools is still under development.

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

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

Issues for Future Consideration

12 APR2017 does not present any recommendations because most areas for improvement were addressed in OPS-6. However, it does identify issues for the IEO to address going forward. The GEF IEO will work with the Agencies to ensure that the terminal evaluation submission gaps are addressed. The IEO will also work on strengthening its methodology for measuring sustainability, while updating the M&E policy and revising the guidance for terminal evaluations.

II SCOPE AND METHODOLOGY

Topics covered

APR2017 includes the following.

- 13 **An overview of the completed GEF projects and their Outcomes (Chapter 3).** The assessment covers completed projects for which outcome ratings are available. The distribution of ratings presented is based on dimensions including the GEF replenishment period, focal area, region, and project type. It also discusses key determinants of the outcome ratings.
- 14 **A review on outcome sustainability (Chapter 4).** The assessment covers the likelihood of outcome sustainability at completion, actual sustainability during the post completion period, and correlation of project design features with sustainability. The review also presents a reflection on GEF's approach to measurement of sustainability.
- 15 **An overview of project implementation (Chapter 5).** The assessment covers the quality of implementation and execution of completed projects, materialization of co-financing, and quality of project M&E.
- 16 **Analysis of the submission of terminal evaluation reports and their quality (Chapter 6).** The analysis determines the extent to which submission of terminal evaluation reports meets expectations. The analysis also includes an overview of the quality of terminal evaluation reports submitted by GEF Agencies.
- 17 **Presentation of the management action record (Chapter 7).** The MAR reports on the degree to which IEO recommendations endorsed by the GEF Council have been adopted by GEF management.
- 18 **Performance matrix (Chapter 8).** The performance matrix provides a summary of GEF Agency performance on key indicators.

Coverage

- 19 This report is primarily based on the evidence provided in the terminal evaluation reports for 1372 completed GEF projects that account for \$ 6,062.2 million in GEF grants (figures 1 and 2). Of these, 1322 projects were funded through GEF Trust Fund. The remainder were funded through other GEF administered trust funds including 27 through the Least Developed Countries Fund, 22 through the Special Climate Change Fund, and two through the Nagoya Protocol Implementation Fund. Terminal evaluations for 188 were submitted during 2017. The new submissions together account for \$ 861.8 million in GEF grant, and from here on

are referred to as the 2017 cohort. The entire dataset of the 1372 completed projects is referred to as the terminal evaluation review dataset.

Figure 1: Coverage of Approved Projects in APR 2017 – number of projects by GEF replenishment period

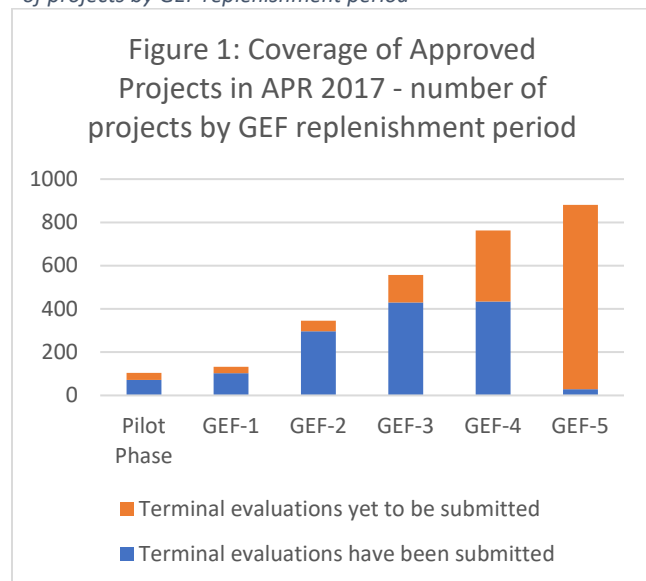
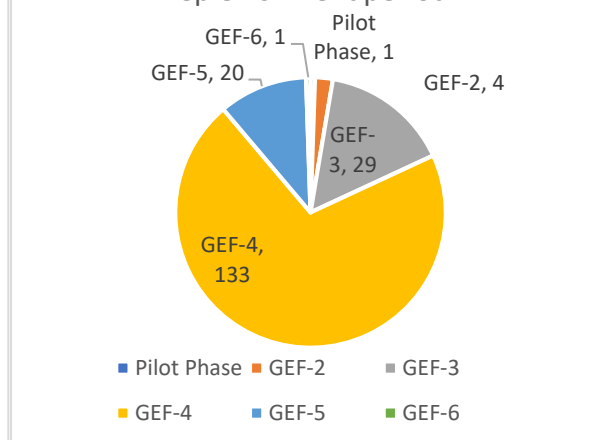


Figure 2: Distribution of the 2017 cohort - number of projects by replenishment period



***Enabling activities are excluded from this graph.**

Figure 2: Distribution of the 2017 cohort - number of projects by replenishment period

20 This report covers completed full sized and medium sized projects, and enabling activities for which direct environmental results are expected and that involve at least \$ 0.5 million in approved GEF funding. Cancelled full sized and medium sized projects, and enabling activities, are excluded if less than \$ 0.5 million of GEF funds were utilized. GEF activities under the Small Grant Programme (SGP) are excluded. Of the projects covered in the report, eight projects are enabling activities. Based on the level of GEF funding, these enabling activities are grouped with full sized projects for analysis.

21 The terminal evaluations generally rate project performance on: outcomes, likelihood of sustainability, project implementation and execution, and M&E design and implementation. The terminal evaluations are reviewed by the GEF IEO and/or the Agency evaluation office to verify the ratings and to assess the quality of the terminal evaluation report (Annex H). Where available, performance ratings provided by the independent evaluation offices of the World Bank, UNDP and UNEP, have been used for reporting. In other instances, ratings provided by the GEF IEO have been used: Ratings for 717 projects (52 percent) were provided by the GEF IEO and for 655 (48 percent) by the Agency evaluation offices (Table 1).

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

Table 1: Composition of the APR 2005–16 and APR 2017 cohorts, and cumulative coverage

	All cohorts, excl. APR 2017		APR 2017 cohort		All cohorts	
	No. of projects	GEF Funding (mil. \$)	No. of Projects	GEF Funding (mil. \$)	No. of Projects	GEF Funding (mil. \$)
Focal Area						
Biodiversity	512	2018.5	65	261.7	577	2,280.2
Chemicals	59	275.6	13	36.3	72	311.8
Climate Change	308	1526.0	74	378.7	382	1904.7
International Waters	130	834.8	10	49.9	140	884.7
Land Degradation	68	188.0	11	48.0	79	236.0
Multi-focal	107	357.7	15	87.0	122	444.8
Regions						
Africa	310	1333.6	47	171.4	357	1505.0
Asia	284	1465.8	54	220.5	338	1686.4
ECA	222	743.3	29	111.5	251	854.8
LAC	248	1118.7	47	258	295	1376.7
Global, Inter-regional	120	539.2	11	100.2	131	639.4
GEF Agency						
IFAD	12	42.9	3	9.9	15	52.8
UNDP	534	1653.5	91	313.5	625	1967.0
UNEP	155	402.8	17	47.5	172	450.2
UNIDO	22	33.8	10	19.6	32	53.3
World Bank	391	2558.7	47	368.9	438	2927.5
Others	19	62.4	13	42.9	32	105.3
Joint	51	446.7	7	59.4	58	506.1
GEF Replenishment						
Pilot Phase	72	451.7	1	5.1	73	456.8
GEF-1	104	843.0	0	0.0	104	843.0
GEF-2	294	1372.0	4	74.0	298	1446.0
GEF-3	402	1773.7	29	229.9	431	2003.6
GEF-4	303	750.7	133	514.5	436	1265.2
GEF-5	9	9.5	20	37.0	29	46.5
GEF-6	0	0.0	1	1.0	1	1.0
Project Size						
Full sized projects	725	4812.5	156	830.7	881	5643.2
Medium sized projects	459	388.1	32	31.1	491	419.1
GEF Portfolio						
Total	1184	5200.6	188	861.8	1372	6062.2

ECA = Europe and Central Asia; LAC = Latin America and the Caribbean. Funding does not include project preparation grants. The chemicals focal area consists of projects in the persistent organic pollutants focal area and the ozone layer depletion focal area; beginning in GEF-4, these have been grouped together in a single GEF focal area.

Table 2: Source of performance ratings

	All cohorts, excl. APR 2017	APR 2017 cohort	All cohorts
Agency evaluation offices	501	154	655
UNDP	242	96	338
UNEP	97	17	114
World Bank	162	41	203
GEF IEO	683	34	717
ADB	9	2	11
FAO	5	3	8
IDB	5	8	13
IFAD	12	3	15
UNDP	298	0	298
UNEP	63	0	63
UNIDO	22	10	32
World Bank	233	7	240
Joint Projects	36	1	37
Total	1184	188	1372

Sustainability Analysis

23 Sustainability is one of the performance dimensions that is reported in the APR. For APR2017, the GEF IEO undertook a review to assess the sustainability of GEF projects in greater depth. The sustainability analysis sought to answer the following questions:

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

24 Information to answer these questions was gathered through a survey of the literature, a desk review of post completion verification reports, and an analysis of project performance datasets including the terminal evaluation review dataset and a quality at entry assessment undertaken for OPS-6. A detailed account of the methodology adopted for the sustainability analysis is provided in chapter four of this report.

Management Action Record

25 The IEO tracks the level of adoption of its recommendations, endorsed by the GEF Council, by relevant partners within the GEF partnership (here referred to broadly as GEF management) through the Management Action Record (MAR). The MAR is updated annually and is presented to the GEF Council as an information document. Each MAR includes recommendations that have been tracked in previous MARs but have not been graduated or retired. For each recommendation for which adoption is assessed, a record of prior GEF management self-assessment along with the IEO validation is also provided. The methodology used in the preparation of the MAR is discussed in the chapter on Management Action Record (Chapter 7).

Performance Matrix

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

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

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

III PROJECT OUTCOMES

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

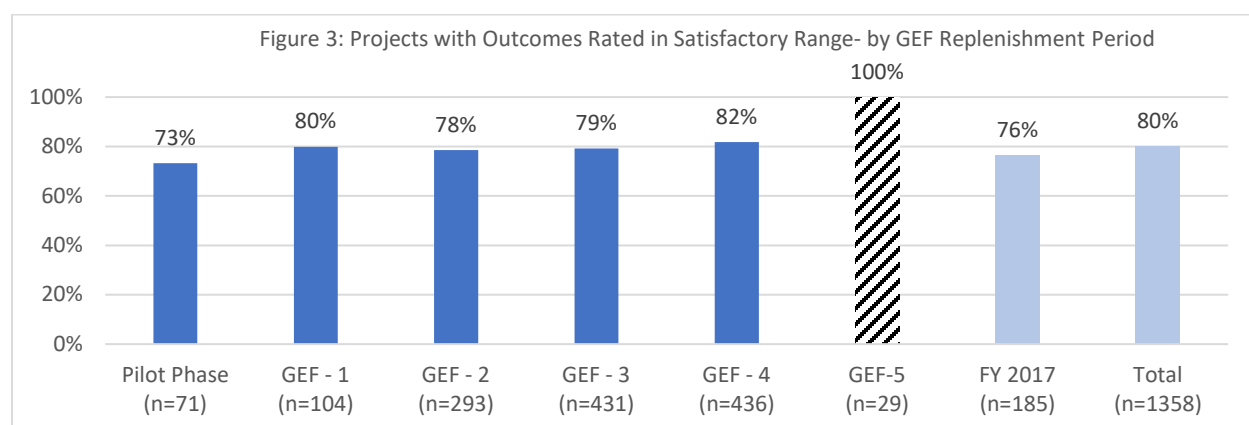
30 Outcomes of most GEF projects are rated in the satisfactory range. However, significant variations are evident in performance across different project categories. During the more recent GEF replenishment periods, outcome ratings of regional projects, projects implemented in fragile states, and in ECA have improved. Outcome ratings of projects in other categories do not show significant change.

31 **Most of the completed GEF projects perform satisfactorily in achieving their expected outcomes.** 80 percent of the rated projects, have outcomes in in the satisfactory range (Figure 3). Of the APR2017 cohort, 76 percent were rated in the satisfactory range which is not statistically different from the long-term average (table 3). Among the recent GEF replenishment periods, 82 percent of the projects approved in the GEF-4 period were rated in the satisfactory range (figure 3).

Table 3: Outcome ratings of GEF projects: APR2017 versus other cohorts

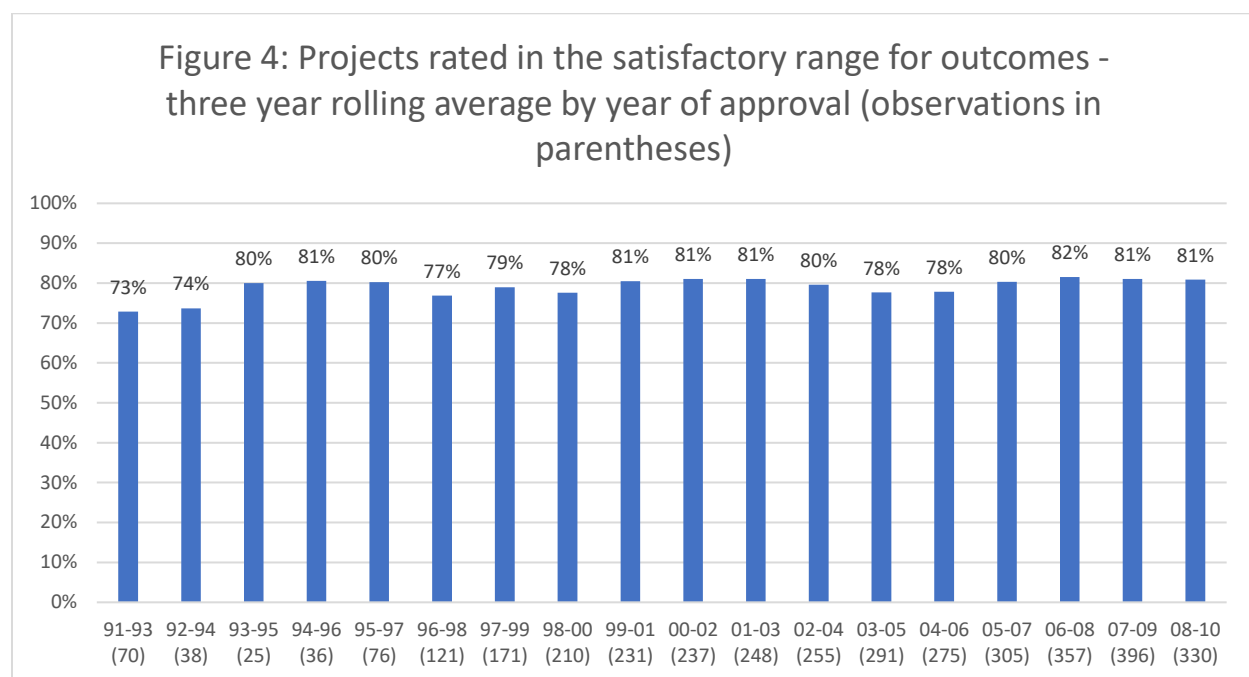
Outcome rating	Percentage of projects		Percentage of funding	
	APR 2017 cohort (n=185)	All other projects (n=1173)	APR 2017 cohort (\$ 848.1 m)	All other projects (\$ 5,181.3 m)
<i>Highly satisfactory</i>	3%	4%	3%	3%
<i>Satisfactory</i>	37%	38%	35%	36%
<i>Moderately satisfactory</i>	36%	38%	35%	39%
Moderately Satisfactory or above	76%	81%	73%	78%
<i>Moderately unsatisfactory</i>	17%	14%	15%	17%
<i>Unsatisfactory</i>	6%	5%	11%	4%
<i>Highly unsatisfactory</i>	1%	<1%	1%	1%

Figure 3: Projects with Outcomes Rated in Satisfactory Range- by GEF Replenishment Period



32 After the pilot phase the outcome ratings of GEF projects have stayed within a narrow range. The three-year moving average of outcome ratings weighted by number of projects based on the year of project approval shows that the outcome ratings of projects improved after 1994. Thereafter, these have remained in the 77 percent to 82 percent range.

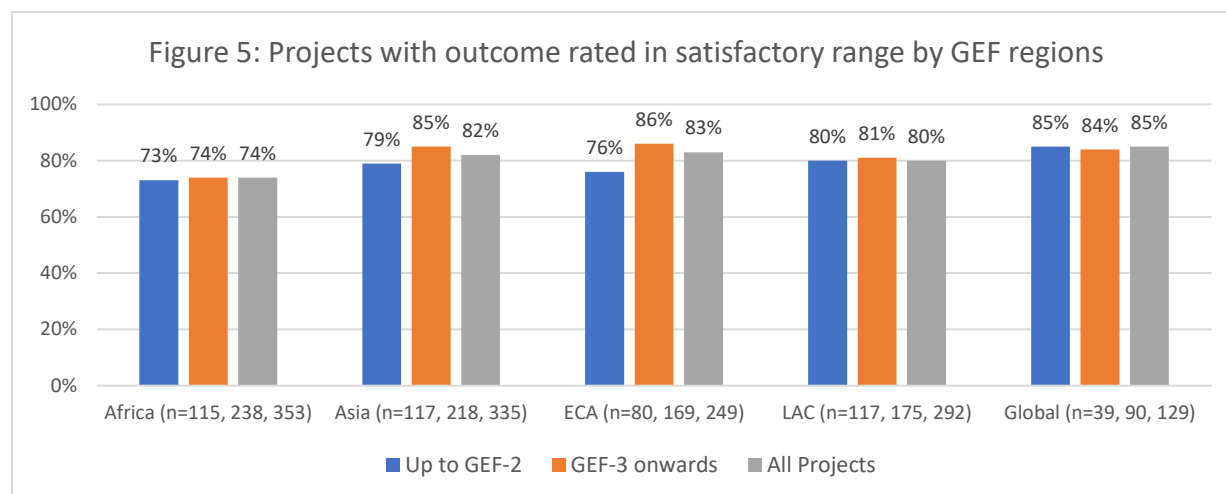
Figure 4: Projects rated in the satisfactory range for outcomes - three year rolling average by year of approval (observations in parentheses)



33 There are variations in outcome performance across regions. A lower percentage of projects in Africa are rated in the satisfactory range and this difference is significant in comparison with projects implemented in other regions. When the projects are divided into two categories – those approved through GEF-2 and those approved in GEF-3 or later – projects

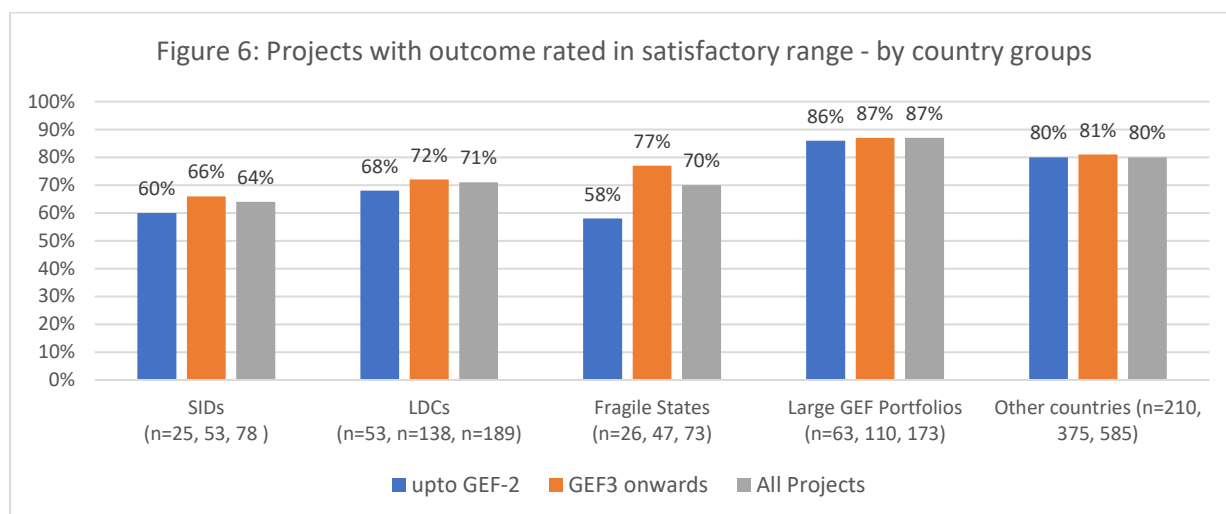
in Europe and Central Asia show a statistically significant improvement. For other regions the differences across the two periods is not statistically significant.

Figure 5: Projects with outcome rated in satisfactory range by GEF regions



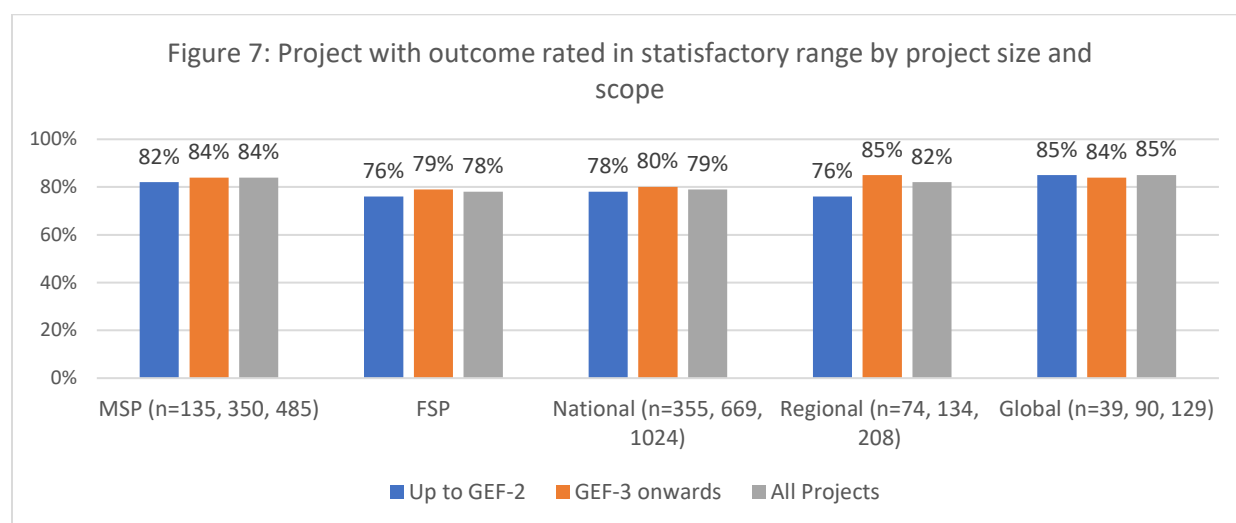
34 **There is substantial difference in the outcome ratings of some of the country groups; performance in fragile states shows significant improvement.** Compared with the overall portfolio average, a smaller percentage of projects implemented in Small Island Developing States (SIDS), Least Developed Countries (LDCs) and Fragile States have satisfactory outcomes. When considered as a group, projects implemented in countries with the large GEF portfolios (Brazil, India, China, Mexico and the Russian Federation), have a relatively higher percentage of projects with satisfactory outcomes (87 percent). This higher rating can be attributed to better project implementation and execution in these countries. Among the country groups, there is a substantial improvement in outcome ratings in the fragile states although reasons for this are not well understood (figure 6).

Figure 6: Projects with outcome rated in satisfactory range - by country groups



35 **A higher percentage of medium sized projects have satisfactory outcomes compared with full sized projects. Even though this difference is about 5 percentage points, it is significant.** Both MSPs and FSPs show a small improvement during the most recent periods. Even though 85 percent of global projects are rated in the satisfactory range, their performance is not significantly different from other projects. Performance of national and global projects has remained stable.

Figure 7: Project with outcome rated in satisfactory range by project size and scope



36 There is little difference in the outcome ratings of the projects supported through the different GEF administered trust funds. Of the projects approved from GEF-3 onwards, 81 percent of the projects from the period funded through the GEF Trust Fund (839 projects), the Least Developed Countries Fund (27 projects), and the Special Climate Change Fund (21 projects), are rated in the satisfactory range for outcomes. Both projects funded through the

Nagoya Protocol Implementation Fund are rated in the satisfactory range – although the observations are too few to draw inferences.

IV SPECIAL FOCUS: SUSTAINABILITY ANALYSIS

37 80 percent of completed GEF projects have satisfactory outcomes, yet sustainability at completion is rated as likely in only 62 percent of projects. During the GEF-7 replenishment negotiations, several participants expressed an interest in understanding the reasons for low ratings on sustainability. To respond to this request, the IEO has conducted an in-depth analysis of sustainability.

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

Key Questions

The review of sustainability aimed at answering the following questions:

- (a) **To what extent are the outcomes of the GEF projects sustainable?** To what extent do GEF projects achieve their expected outcomes, achieve environmental stress reduction and broader adoption? What are the risks to continuation of project benefits, and to a project achieving its expected long-term results?
- (b) **What are the determinants of sustainability?** What are the factors that affect sustainability of project outcomes? To what extent do project design, project implementation, and country circumstances affect project sustainability?
- (c) **To what extent are GEF projects designed for sustainability?** To what extent do the designs of GEF projects incorporate good practices related to M&E indicators, gender, social and environmental safeguards, and stakeholder involvement?
- (d) **To what extent is the GEF IEO's approach to measuring sustainability comparable with other agencies?** How does the GEF IEO approach to assessing sustainability compare with the approach used by other multilateral development organizations? How do the ratings by the GEF IEO compare with those by other evaluation offices?

Methodological Approach

39 **Definition.** The GEF M&E policy defines sustainability as “the likely ability of an intervention to continue to deliver benefits for an extended period of time after completion; projects need to be environmentally as well as financially and socially sustainable.” (GEF IEO 2010). This analysis uses this definition to assess sustainability addressing issues related to outcomes at post completion, environmental stress reduction, broader adoption, risks to

sustainability, and resilience. The analysis separates sustainability of intervention/outcomes from the broader concept of ‘sustainable development’, which is defined as “development that meets the needs of the present without compromising the ability of future generations to meet their own needs” (Brundtland Commission, 1987). The latter is not the focus of this study.

40 The analysis is based on a literature review, analysis of GEF IEO datasets, and, a desk review of field verification reports. Remote sensing data was also used to analyze environmental status post completion in select sites.

41 **Literature review.** The review compared GEF IEO’s approach to assessment of sustainability with the guidance provided by OECD-DAC and ECG, and the approach used by the evaluation offices of eight other multilateral organizations². GEF IEO evaluations on gender mainstreaming (GEF IEO 2018c), social and environmental safeguards (GEF IEO 2018d), and indigenous people (GEF IEO 2018e), provided information on sustainability assessment practices during the project review stage. Portfolio performance reviews prepared by the evaluation offices of multilateral agencies were surveyed to gather information on their rating practices and portfolio performance.

42 **Analysis of project performance related datasets.** GEF IEO’s terminal evaluation review ratings dataset provides sustainability ratings for 1299 completed projects. The GEF IEO’s approach to providing these ratings is discussed in Annex H of this report. This dataset was analyzed to identify patterns and causal relationships. For four sites remote sensing data was also analyzed to assess changes in vegetation.

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

44 Of the 619 completed projects with a detailed review, data was extracted for 140 full sized projects that were approved in the GEF-4 period. This was combined with another dataset including a sample of CEO endorsed full sized projects from GEF-5 (79 projects) and GEF-6 (68 projects). This composite dataset provides information on the design features of 287 full sized projects. Although the samples are not fully representative of the respective replenishment periods, the information on design features is still reliable because biases in selection are unlikely to affect results in any material manner.

² These are: ADB, AfDB, EBRD, IDB, IFAD, UNDP, UNEP, and World Bank.

45 **Desk review of field verification reports for the post completion period³.** The review assessed achievement of anticipated outcomes and durability of project benefits through desk review of the post completion verification reports. To begin with, the evaluations conducted by the GEF IEO and evaluation offices of GEF Agencies were surveyed to identify post completion verifications. In all, 138 completed projects which had a post completion field verification report were identified. Field verifications that were prepared at least three years after project completion were considered. The verification reports were then surveyed to determine adequacy of information on outcomes and sustainability. Information included in 53 projects was found to be adequate and were used for this study.

46 The analysis of the 53 selected projects is based on 61 field verification reports. For 81 percent of the projects the field verification was conducted at least four years after implementation completion. 50 reports were prepared by the GEF IEO including 35 impact evaluation project case studies, 11 were based on the Review of Outcomes to Impacts reports, and four project performance verifications. The World Bank's Independent Evaluation Group prepared the remaining 11 field verification reports – i.e. Project Performance Assessment Reports.

47 The 53 selected projects were approved from the Pilot Phase to GEF-3 period. About two-thirds of the selected projects were implemented by the World Bank; UNDP accounts for most of the remainder. The outcome, sustainability, quality of implementation and execution ratings of the selected projects at completion are slightly higher than that of the GEF portfolio (Annex D). However, the quality of M&E design and implementation ratings of the selected projects closely track the ratings for the GEF portfolio. Overall, the selected projects reflect the diversity of the GEF portfolio from the covered period.

Findings

Sustainability of outcomes at project completion

48 Of the completed GEF projects 62 percent are rated likely for outcome sustainability. Likelihood of outcome sustainability at project completion is influenced by the quality of project preparation, country context, support from the government, the quality of implementation and execution, and materialization of co-financing. Some of the categories of projects such as projects in LDCs, fragile states, global projects, climate change and biodiversity focal area, show statistically significant improvements in sustainability ratings through GEF-2 to GEF-3 and onwards.

³ The data from post completion field verification differs from data from terminal evaluation reviews because the former also covers the post completion period, and is generally conducted by the independent evaluation offices. In comparison, terminal evaluations cover period only up to project completion and are generally conducted and/or commissioned by the project management.

49 Sixty two percent of the completed GEF projects are rated in the 'likely' range for outcome sustainability. Across the replenishment periods, there have been two major periods of improvement. From the Pilot Phase to GEF-1 and then again during GEF-4 (figure 8). The trend is similar when one considers the three-year rolling average of projects by year of approval (figure 9).

50 During its Pilot Phase, the GEF processes for project preparation were not robust. The recommendations of the Independent Evaluation of the Pilot Phase (WBG IEG 1994) led to GEF strengthening its project preparation processes during GEF-1. It is plausible that better project preparation is the key driver of the improvement in sustainability ratings from the Pilot Phase to GEF-1. The reason for improvement from GEF-3 to GEF-4 is not as clear. The GEF changed several of its important operation policies and processes. It adopted a resource allocation framework for the biodiversity and climate change focal areas; put greater emphasis on co-financing, and abolished the corporate budget for the original GEF Agencies (i.e. UNDP, UNEP and World Bank) to create a level playing field. Any, or a combination of these, may have affected the quality of projects. This is an area for further study. Although a high percentage of completed projects from the GEF-5 period are rated in the 'likely' range for sustainability, the number of observations is still too small to draw strong inferences. Yet, the direction of change is consistent with the improvements observed during GEF-4.

Figure 8: Percentage of completed projects with likelihood of sustainability of outcomes rated in 'likely' range - by replenishment period

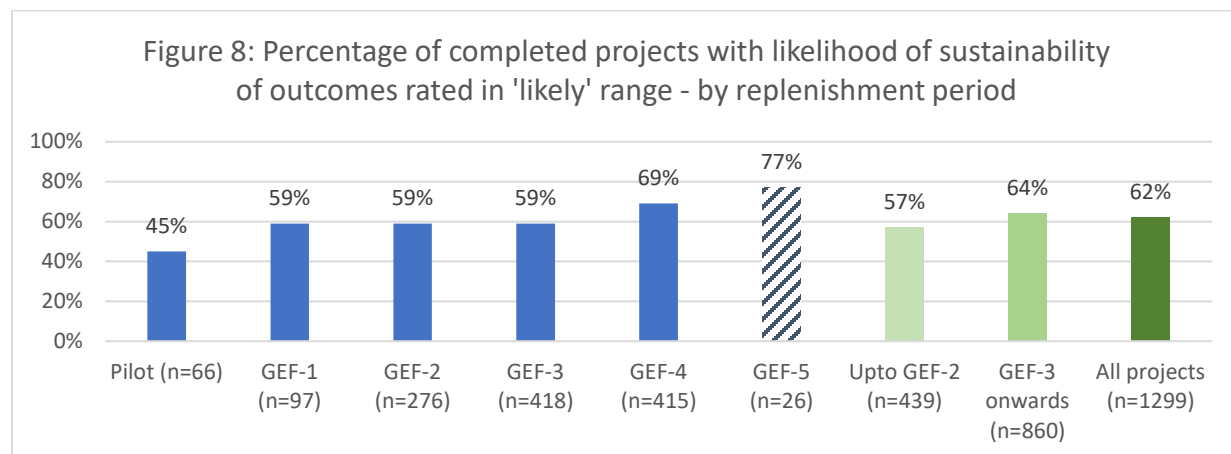
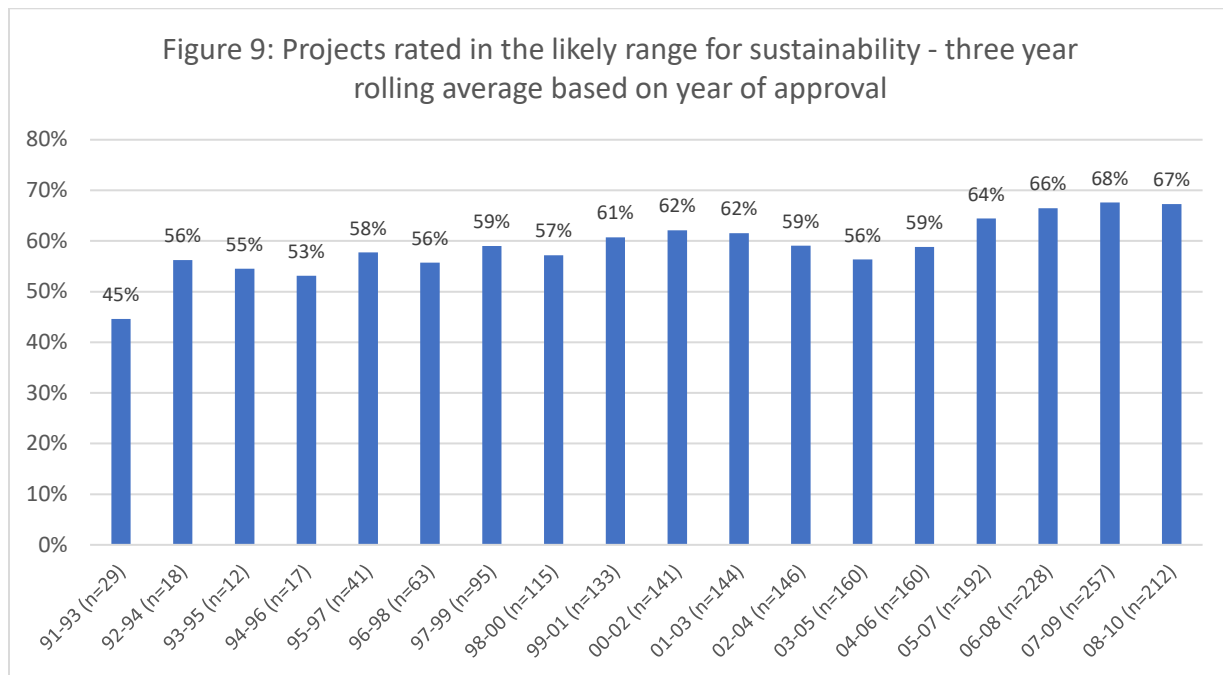
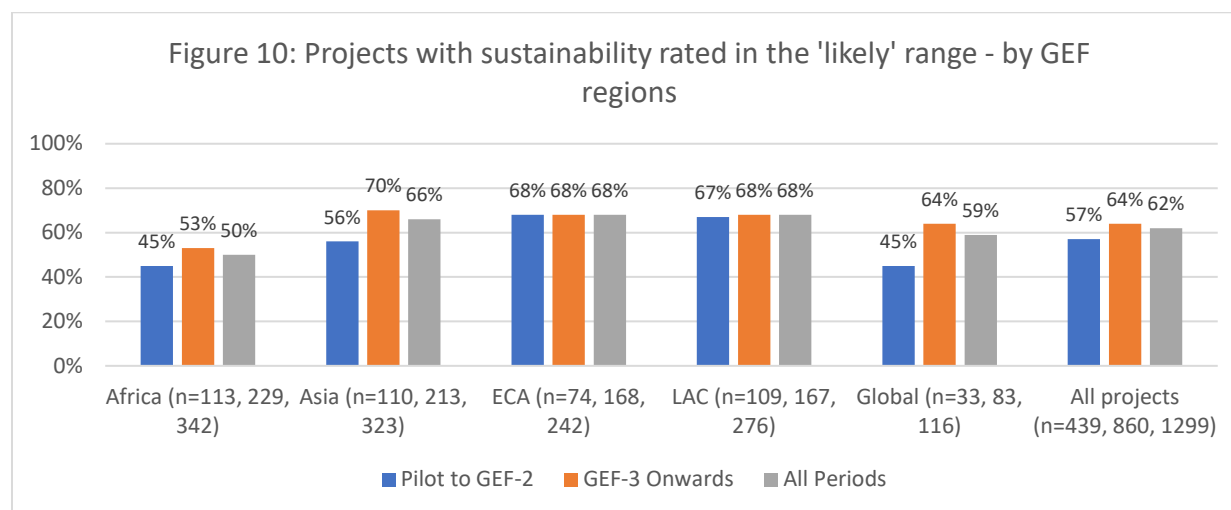


Figure 9: Projects rated in the likely range for sustainability - three year rolling average based on year of approval



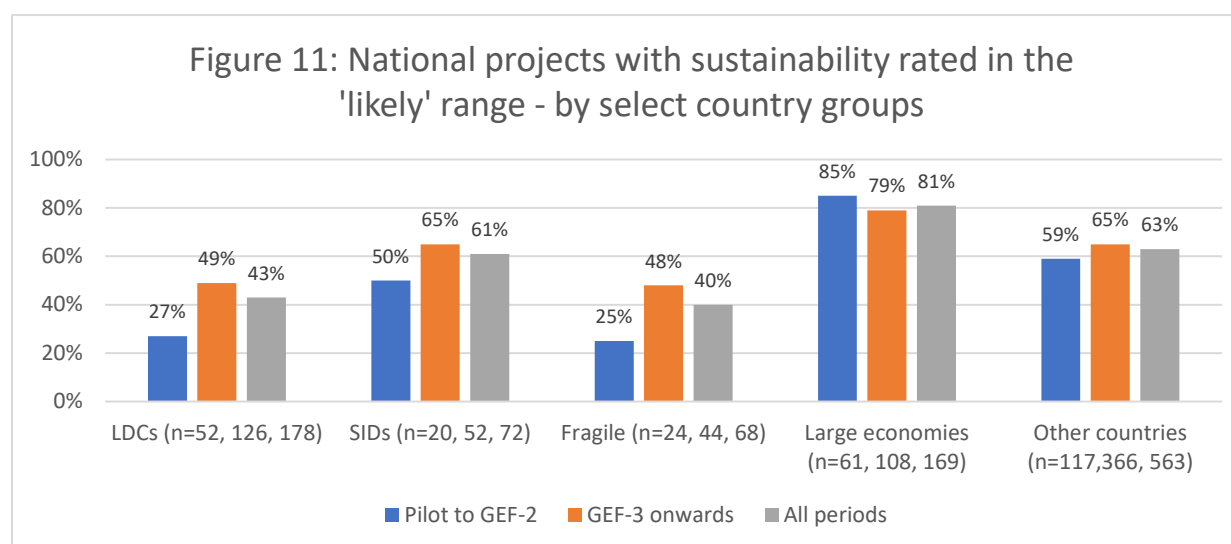
51 To facilitate analysis of trends in various subsets of the GEF portfolio, the completed projects were divided into two categories – those approved from inception to GEF-2, and those approved during or after GEF-3. A comparison of sustainability ratings among the GEF regions shows a difference in baseline and in the change across the two periods (figure 10). Projects in Africa are less likely to be rated in the ‘likely’ range for sustainability than other projects. While sustainability ratings in Africa show improvement, the change is not statistically significant. In comparison, the improvement in the sustainability ratings of projects in Asia and of global projects is statistically significant (at 90 percent confidence). Projects in Europe and Central Asia (ECA) and Latin American and Caribbean (LAC) regions show no change across the two periods.

Figure 10: Projects rated in the likely range for sustainability - three year rolling average based on year of approval



52 Compared to other country groups, a higher percentage of projects in the countries with large GEF portfolios (Brazil, China, India, Mexico and Russia), and a lower percentage of projects in LDCs and in fragile states are rated in the 'likely' range for sustainability. Performance in SIDS and other countries closely tracks the GEF portfolio average. When performance up to GEF-2 and GEF-3 onwards is compared, projects in LDCs and in fragile states show substantial and statistically significant improvement (at 90 percent confidence). While projects in SIDS also show a nominal improvement, the change is not significant.

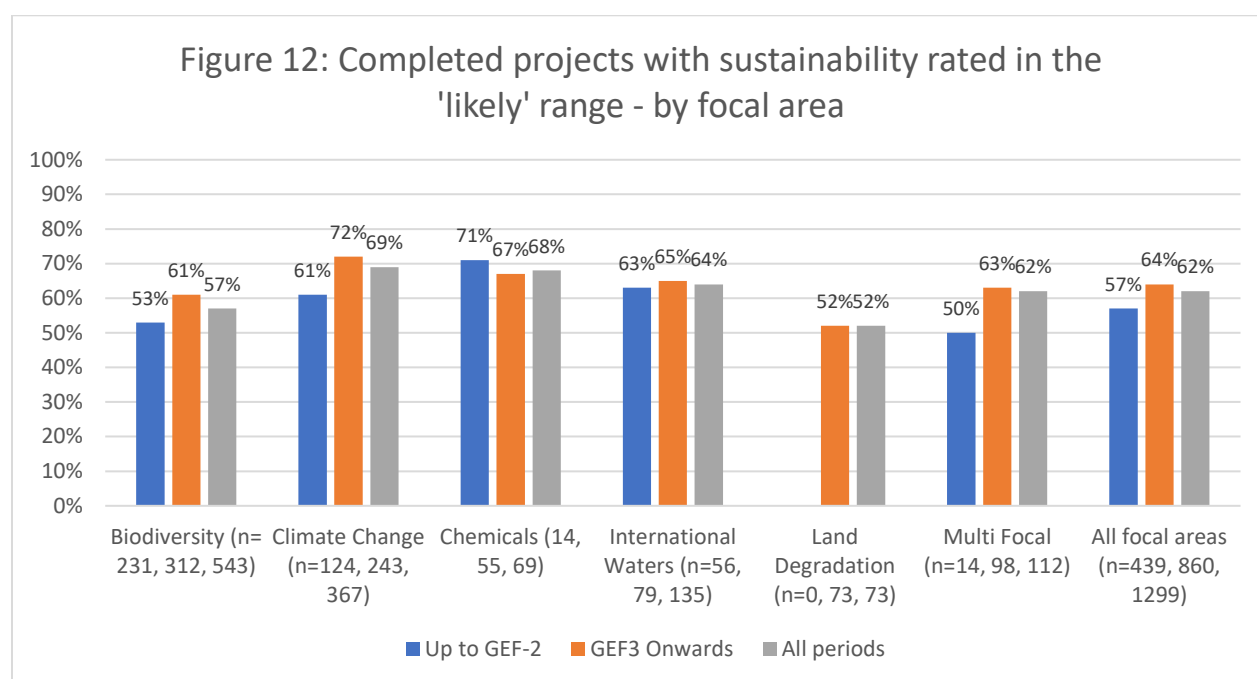
Figure 11: National projects with sustainability rated in the 'likely' range - by select country groups



53 OPS-6 reported that a higher percentage of projects from the climate change focal area are rated in the 'likely' range for sustainability as compared with the other focal areas (GEF IEO 2018b). This continues to be the case as 69 percent of projects in climate change are rated in

the 'likely' range (figure 12). The percentage of projects rated in the likely range for sustainability for the other focal areas is not significantly different from the remaining projects in GEF portfolio. GEF started providing support for the land degradation focal area from GEF-3 onwards. The percentage of the land degradation focal area projects rated in the likely range for sustainability is lower than the other focal areas if only the approvals from GEF-3 onwards are considered. This is mainly because a relatively high proportion of land degradation projects are implemented in LDCs. This difference is not statistically significant when the higher concentration of land degradation projects in LDCs is accounted for. Across the two periods – up to GEF-2 and GEF-3 onwards – projects in the climate change and biodiversity focal areas show statistically significant improvement (at least 90 percent confidence level) in sustainability ratings.

Figure 12: Completed projects with sustainability rated in the 'likely' range - by focal area



54 After implementation start, 14 projects (26 percent) experienced unanticipated shocks that negatively affected their results. These include the negative effect of 9/11 2001 terrorist attack on international tourist flows in Kenya⁴; downstream effects of regime change in Mexico (2000)⁵, Bolivia (2003)⁶, and in Ecuador (2003-2007)⁷; effect of the Russian economic crisis of 1998 on projects in Russia⁸ and Poland⁹; and major structural reforms or changes in the

⁴ Lewa Wildlife Conservancy, World Bank, GEF ID 18.

⁵ Renewable Energy for Agriculture, World Bank, GEF ID 643,

⁶ Biodiversity Conservation, World Bank, GEF ID 57.

⁷ National Protected Area System, World Bank, GEF ID 945.

⁸ Biodiversity Conservation, World Bank, GEF ID 90,

⁹ Phaseout of Ozone Depleting Substances, World Bank, GEF ID 115,

agencies responsible for project execution and follow up. Generally, the GEF projects were resilient and overcame these shocks because of the sustained efforts of the executing agency, corrective administrative measures by the government, greater supervision support by the GEF implementing agencies, and restructuring of the projects. In other cases, economic expansion that followed the crisis reduced the financial risks.

55 OPS-6 (GEF IEO 2018b) reported that country context, the quality of implementation and the quality of execution influence sustainability ratings. Regression analysis based on the updated terminal evaluation review data – with additional data on the APR 2017 cohort – confirms these relationships (Annex C). It also shows that there is a positive and statistically significant relationship between materialized co-financing and sustainability ratings. When less than half of the promised co-financing materializes for a project, controlling for other observed variables, probability of a likely sustainability rating is 11 percent lower. In comparison, when promised co-financing materializes fully, the probability is higher by 7 percent. The analysis also confirms an improving trend in sustainability ratings.

56 For 619 projects, within the terminal evaluation review dataset, detailed information on project design and implementation related indicators is available. This allows analysis of the correlates of sustainability ratings with indicators on project design and preparation, and implementation. Multiple regression models continue to suggest the relationships identified using the full set of data. The models also show that some of the indicators of country support and ownership are linked to sustainability ratings. For example, projects for which country support during implementation was assessed to be either ‘as expected’ or ‘greater than expected’ were more likely to be rated in the ‘likely’ range for sustainability than those for which the support was ‘lower than expected’. Similarly, projects that were assessed to be a low priority to at least one of the crucial government tiers or departments or agencies during implementation were less likely to be rated in the ‘likely’ range for sustainability. The models did not indicate a correlation with project design indicators which were included (e.g. pilot projects, follow up projects, stakeholder consultations, gender analysis, and, project risks).

Sustainability of outcomes during post completion period

57 Outcomes of most of the GEF projects are sustained during the post completion period. A higher percentage of projects achieve environmental stress reduction and broader adoption at post completion. The key factors that contribute to higher outcomes include high stakeholder buy-in, political support, availability of financial support for follow up, and sustained efforts from the executing agency. A few projects regressed to a lower outcome level because of factors such as lack of financial support for follow up, low political support, low institutional capacities, low stakeholder buy-in, and flaws in the project’s theory of change.

58 Higher sustainability ratings are correlated with higher outcome ratings at post completion. The review assessed outcomes of the 53 completed projects during the post completion period. Of these, GEF IEO had rated likelihood of sustainability at project completion for 48. Of the projects that were assessed to be sustainable at completion, 84 percent had satisfactory outcome ratings at post completion (table 4). In comparison, only 55 percent of the projects that were assessed to be unsustainable at completion, had satisfactory outcome ratings.

Table 4: Outcome rating at post completion verification versus sustainability rating at completion

Likelihood of outcome 'Sustainability' rating at completion	Outcome achievement at post completion verification	
	Satisfactory	Unsatisfactory
Likely (n=37)	84% (31)	16% (6)
Not likely (n=11)	55% (6)	45% (5)
All rated projects (n=48)	77% (37)	23% (11)

59 34 percent of projects had higher outcomes at post completion, 16 percent had lower outcomes. Projects implemented in countries with large GEF portfolios were significantly more likely to have higher levels of outcomes at post completion. This is consistent with the findings from terminal evaluations review dataset that indicates a lower risk to sustainability for the projects implemented in the large GEF portfolio countries.

Table 5: Change in the level of outcomes by country group- post completion versus project completion

Country group	Higher	Same	Lower
Large GEF portfolios (n=15)	60%** (9)	40% (6)	0% (0)
LDC/SIDS (n=7)	14% (1)	57% (4)	29% (2)
Other Countries (n=20)	25% (5)	60% (12)	15% (3)
Global and regional projects (n=8)	25% (2)	38% (3)	38% (3)
All projects (n=50)	34% (17)	50% (25)	16% (8)

Number of observations in parentheses. **compared to other projects significant at 95 percent confidence level.

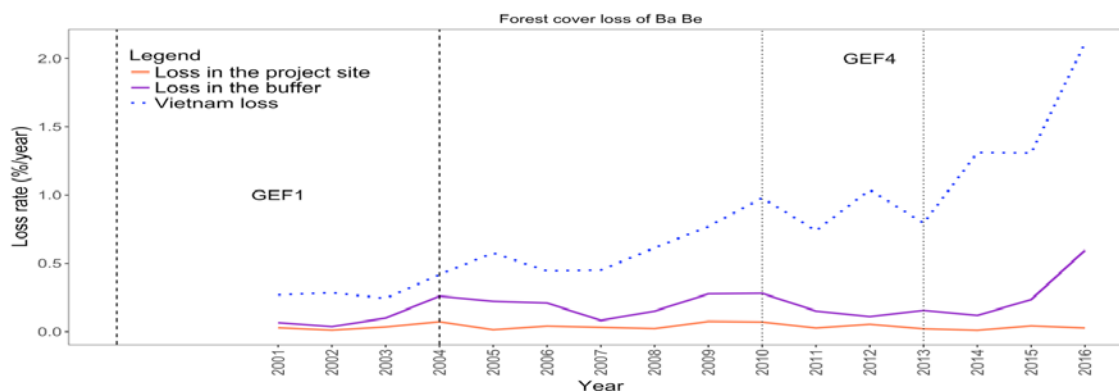
60 Several key factors led to higher outcomes during post implementation. These include high stakeholder and/or beneficiary buy in (9 projects), political support including adoption of complementary legal and regulatory measures (9 projects), financial support for follow up (eight projects), and sustained efforts of the executing agency (eight projects) (see Box 1). For example, the China Renewable Energy Development project (GEF ID 446) achieved a higher level of outcome because the government adopted the Renewable Energy Law of 2006. The Lewa Wildlife Conservancy Project (GEF ID 18) enhanced capacities of the Lewa Wildlife

Conservancy, an NGO, in Kenya. The project also increased the conservancy's credibility, which in turn helped it attract greater level of financing. Continued trust and buy-in from communities to the Lewa Wildlife Conservancy's efforts facilitated creation and management of new community conservancies, which led to stable and improved wildlife populations. The India Ecodevelopment Project (GEF ID 84) piloted a financing mechanism in a national park. This contributed to the amendment of the Wildlife Act requiring a similar mechanism to be established in all tiger reserves in India.

61 In eight projects past outcomes were not sustained. Main reasons for the decline were a lack of financial support for the maintenance of infrastructure or follow up (three projects), lack of sustained efforts from executing agency (three projects), inadequate political support (three projects), low institutional capacities of key agencies (three projects), low stakeholder buy-in (two projects), and flaws in the theory of change of projects (two projects). Although the Mainstreaming Adaptation to Climate Change Project (GEF ID 105) established 18 sea level rise monitoring stations, none of these were transmitting data consistently after project completion because network maintenance had not been funded. The Conservation and Sustainable use of Medicinal Plants project implemented in Ethiopia (GEF ID 631), stalled after completion due to a lack of funding for the Bale Mountains National Park, where the project's in situ conservation activities were focused. A follow up GEF project, expected immediately after project completion, could start only after six years due to change in the GEF Agency.

Box 1: Outcome Sustainability in Ba Be Protected Area

The GEF project 'Promotion of Sustainable Forest and Land Management in the Vietnam Uplands' (GEF ID 3627), implemented from 2010 to 2013, supported sustainable forest management in Ba Be National Park. The project focused on local communities and it piloted: improved systems for animal husbandry and conservation of sloping lands, bio-energy applications; payment for ecosystem services including participatory approaches to forest protection; and, eco-tourism. The threats to the forest included fragmentation of habitat, conversion of forest land for infrastructure and agriculture, illegal hunting and over use for non-timber forest products. At completion the project was rated moderately satisfactory for outcomes and moderately likely for sustainability. Remote sensing data shows that despite forest loss at the national level and in the buffer areas, Ba Be Protected Area's forest cover has been stable due to a community focused project design, attention to income generation activities, and sustained support from provincial governments. The key risks to sustainability remain and need sustained conservation efforts.



2001



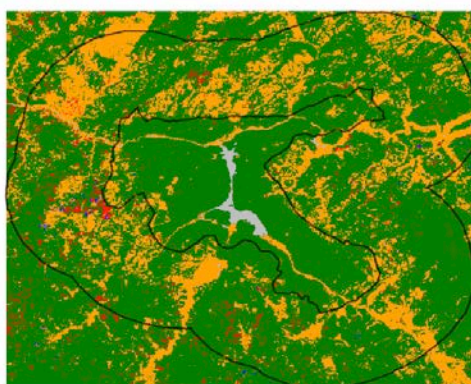
2005



2010



2016



Cover

- Forest
- Non-forest
- Forest gain
- Forest loss
- Water
- No data

Project Site

— GEF1_209_Ba Be

62 **A higher number of projects achieve environmental stress reduction and broader adoption at post completion.** At implementation completion it may still be too early for project outcomes to manifest fully. For example, it may take more than a decade for the environmental status of protected areas to change. Similarly, targeted stakeholders may adopt the promoted technologies and policy measures after completion of implementation. The data from field verification reports is consistent with these expectations. Compared to the status at implementation completion, several additional projects were achieving environmental status change / stress reduction and broader adoption during the post completion period (table 6). For example, stakeholder involvement in the Conservation and Sustainable use of the Mesoamerican Barrier Reef System Project (GEF ID 837) led to an assessment by UNESCO two years after completion, and the official placement of the Belize Barrier Reef World Heritage Site on the list of endangered sites. The bikeshare system introduced in Rosario, Argentina, by the LAC Regional Sustainable Transport and Air Quality Project (GEF ID 2767) had higher usage rates three years after project completion than at completion, with rates expected to increase further with planned expansion.

Table 6: Environmental status change/stress reduction and broader adoption

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

63 During the post completion period most GEF projects made progress in achieving their long-term environmental results and catalytic effects. During the post completion period, more projects were achieving environmental stress reduction (36 percent) and broader adoption (49 percent) at a higher scale and/or intensity (table 7).

Table 7: Environmental status and broader adoption: post completion compared to at completion

Change from project completion (n=53)	Higher	Same	Lower	Unable to Assess
Environmental Status Change/ Stress Reduction	36% (19)	38% (20)	4% (2)	23% (12)
Broader Adoption	49% (26)	28% (15)	4% (2)	19% (10)

64 The catalytic processes of broader adoption were observed in a higher percentage of projects at post completion than at implementation completion (figure 13). Projects that achieved broader adoption at post completion were also achieving it at a greater intensity – technology dissemination and governance arrangements promoted by the GEF projects were being adopted at a higher frequency (table 8). Although management approaches and interventions focused on enhancing institutional capacities were sustained by a substantial percentage of projects, their adoption by other stakeholders was moderate.

Figure 13: Broader adoption - by percentage of projects reporting a process (n=53)

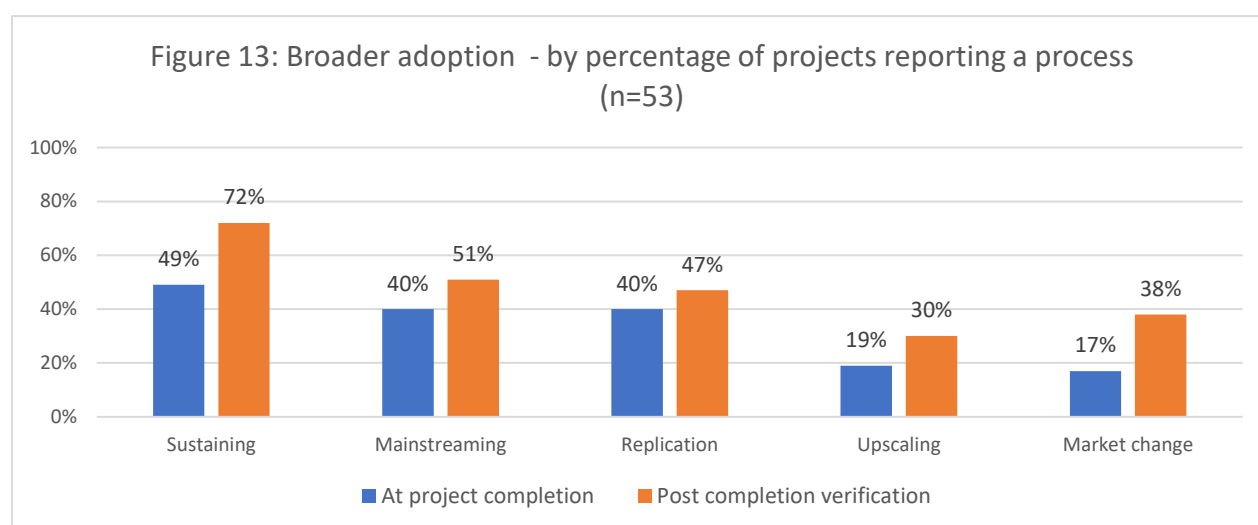


Table 8: Broader adoption processes and the elements that get adopted – Post completion versus at completion status (at completion status in parentheses) (n=53)

	Sustaining	Mainstreaming	Replication	Upscaling	Mkt. change
Technology Dissemination	26% (11%)	8% (6%)	28% (15%)	13% (4%)	34% (15%)
Governance Arrangements (includes legal and policy measures)	42% (21%)	40% (23%)	4% (2%)	9% (13%)	19% (8%)
Management Approaches (management plans, strategies)	40% (17%)	6% (9%)	13% (13%)	11% (8%)	4% (0%)
Institutional Capacities (training, awareness, operational infrastructure)	42% (38%)	17% (13%)	25% (21%)	11% (4%)	11% (4%)

65 **For more than half the projects risks stayed the same; in about a third of the projects the risks changed during the post completion period.** For most projects the level of risks remained the same during post completion (table 9). However, for more than a third the risks changed. Of the seven projects (14 percent) where the risks reduced at post completion verification, the most common reasons were: increased and/or assured availability of financial resources (six projects), greater than expected political support (four projects), sustained follow up by the executing agency (two projects), and increased support from local communities (two projects). For example, Bwindi Forest and Mgahinga Gorilla National Park Conservation Project's (GEF ID 54, Uganda) emphasis on benefit sharing led to a reduction in conflict and increased buy-in of the local communities for wild life conservation. Similarly, in the Lewa Wild Life Conservancy Project (GEF ID 18, Kenya) the financial risks reduced with increase in the budget support by the government and fund-raising abilities of the protected area management.

Table 9: Change in level of risks at post completion verification compared to at completion

	Likelihood of sustainability rating at project completion					
	L	ML	MU	U	Not rated	Total
Lower level of risks	8% (4)	6% (3)	0% (0)	0% (0)	0% (0)	14% (7)
Same level of risks	18% (9)	22% (11)	8% (4)	6% (3)	8% (4)	63% (31)
Higher risks	8% (4)	10% (5)	4% (2)	0% (0)	0% (0)	22% (11)
Total	35% (17)	39% (19)	12% (6)	6% (3)	8% (4)	100% (49)

66 Among the 11 projects (22 percent) that faced increased risks to sustainability of outcomes, the common reasons were: lack of financial support for follow up (eight projects); changes in political priorities (six projects); and downsizing of and/or low capacities of key institutions (five projects). For example, the National System for Protected Areas Project (GEF ID 945, Ecuador) experienced increased risks because the new government regulations made it more difficult for the Federal System of Natural Areas to mobilize funds from international donors. Similarly, the Ozone Depleting Substances Phaseout Project (GEF ID 107, Ukraine) experienced increased risks because the government did not provide adequate financial support for implementation and enforcement of the related legislation promoted by the project.

Sustainability and Project Design

67 It is likely that an improvement in the quality of project design led to an increase in sustainability ratings from the pilot phase to GEF-1. However, the role of project design in improvement in sustainability ratings during the more recent replenishment periods is not as clear. The terminal evaluation dataset finds a significant correlation of the quality of M&E design – which may be a good proxy for quality of project design – with sustainability. Determining the extent to which GEF projects are designed for sustainability is difficult. Overall,

the GEF portfolio does indicate an improving trend in quality of project design, which may – in due course - improve sustainability of GEF projects.

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

69 The quality of M&E design is correlated with sustainability ratings. The correlation between M&E design and sustainability is moderate but statistically significant and remains important even when other observable variables are controlled for. It is plausible that the quality of M&E design is a good proxy for quality of project design but that the improvement in the quality of M&E design alone would not lead to improvement in sustainability.

Table 10: M&E design rating versus outcome and sustainability ratings

Quality of M&E Design	Outcomes ‘Satisfactory’	Sustainability ‘Likely’
Satisfactory Range	86% (807)	68% (779)
Unsatisfactory Range	68% (473)	51% (451)
GEF Portfolio	80% (1280)	62% (1230)

Number of observations in parentheses

70 The data on some of the indicators of quality of project design shows improving attention to gender (table 11). This is consistent with the findings of the Evaluation of Gender Mainstreaming in the GEF (GEF IEO, 2018c), which also found improvement in inclusion of gender indicators and analysis in project design after approval of the GEF policy on gender mainstreaming in 2011. The evaluation noted gaps in institutional capacity to achieve gender mainstreaming and in GEF meeting the best practice standards. Based on the recommendations of the evaluation, the GEF updated its policy on gender (GEF 2017). The revised policy clarifies the GEF requirements for addressing gender equality and mandates the GEF Secretariat to track compliance. The revised policy also lays emphasis on tracking gender disaggregated results.

71 The need for involvement of major groups and local communities in the project cycle is explicitly mentioned in the GEF instrument (GEF 2015). The self-reported information presented in the project documents indicates that GEF Agencies undertake stakeholder

consultations to prepare projects and almost all of them include plans to conduct such consultations during implementation (table 11).

Table 11: Quality of design for FSP – percentage of project with a ‘yes’ response

Project design assessment parameters	GEF4 (n=140)	GEF-5 (n=79)	GEF-6 (n=68)
Stakeholder consultations			
Key stakeholders identified in project documents	94%	96%	97%
Key stakeholders consulted for project preparation	84%	75%	81%
Planned consultations during implementation	87%	87%	97%
Key risks identification and mitigation			
Identification of key risks	99%	96%	99%
Measures to mitigate key risks included in design	94%	96%	96%
Coverage of gender issues			
At least some gender issues addressed	25%	73%	93%
At least some gender related concern/s identified	19%	62%	93%
At least some measures to mitigate gender concerns included	16%	61%	90%
At least one indicator specified to track gender relevant concerns	10%	47%	66%
Project M&E at design stage			
Indicators specified for all key results	98%	95%	93%
Specified indicators are appropriate	74%	89%	90%

*GEF-4 data from completed projects that were reviewed for APR 2013-2017; GEF5 and GEF-6 data is from the review of CEO endorsed FSPs that were CEO Endorsed during the first two years of the respective replenishment periods.

72 Design of almost all the GEF projects identify key risks to the project and include measures to mitigate those risks (table 11). However, some of GEF projects may pose financial, social and environmental risks and it is important to ensure that such projects are identified and the risks are mitigated. The GEF IEO’s Review of the GEF Policy on Agency Minimum Standards on Environmental and Social Safeguards (GEF IEO 2018d) assessed the merits of the GEF safeguards and the extent to which these were being applied. The review found that Agencies assessed or were assessing risks for most projects (84 percent). Of the projects for which risks had been assessed, only 3 percent were classified as high risk. The review found that environmental and social assessment, indigenous peoples, natural habitats, and involuntary resettlement related safeguards were triggered more frequently by the GEF projects. The review also identified several areas where the GEF approach needs to be strengthened further.

GEF approach compared with other multilateral organizations

73 Multilateral organizations including GEF have adopted definitions of sustainability that are inspired by those proposed by OECD-DAC and ECG. The GEF approach to measurement of sustainability is broadly consistent other multilateral organizations despite some differences in assessed dimensions and rating scales. The GEF IEO’s sustainability ratings for the GEF portfolio

are towards the middle of the range vis-à-vis ratings by other evaluation offices. One possible area for the GEF to strengthen its approach to assessing sustainability is by explicitly addressing resilience.

74 The definition of sustainability used by the GEF is consistent with those used by others. However, the GEF's definition does not explicitly address resilience to risks. The definitions of sustainability used by multilateral organizations, including GEF, are inspired by the definitions provided by OECD-DAC (OECD 2002) and ECG (ECG 2012) ¹⁰. The definitions incorporate continuation of benefits of evaluated activities during the period after implementation and risks to their continuation. Although the definitions used by OECD-DAC, ECG, IFAD, and ADB, address resilience to risks, this is not explicitly addressed in the definition adopted by several other organizations including GEF. Resilience to risks ensures continuation of benefits despite setbacks and, therefore, is important to achieve sustainability.

75 All definitions address the continuation of outcomes/benefits but most don't distinguish between outcomes that have already been achieved with those that are anticipated. The focus of the definitions used by the multilateral organizations, including GEF, is on the likelihood of continuation of benefits. This includes both--benefits from outcomes that are achieved during the project implementation and those that are anticipated. However, most definitions, including the one used by GEF, don't distinguish between the two. The GEF definition of sustainability may need to specify the anticipated outcomes because many outcomes of GEF projects materialize during the post completion period.

76 The GEF IEO approach to measuring sustainability is broadly consistent with that of others. Most multilateral organizations, including GEF, consider financial (and/or economic), socio-political, and institutional risks to assess sustainability. Some of these – for example EBRD, IDB, IFAD, UNDP – also assess risks related to the ownership of government and/or other stakeholders. Others, such as GEF and UNEP, embed ownership related risks within their assessment of socio-political and institutional risks. Most multilateral organizations, including GEF, use a four-point scale to measure sustainability based on an overall assessment of the probability and the potential effects of risks materializing. Agencies use different explanatory terms for levels within the rating scale. For example, GEF rates on a scale that ranges from likely to unlikely, IDB from highly probable to improbable, and ADB from most likely sustainable to unlikely sustainable. IFAD and UNEP use a six-point scale to assess sustainability. They also differ from others as their rating categories convey degrees of satisfaction - highly satisfactory to highly unsatisfactory. All organizations use scales that are balanced, which allows for division of ratings into two broad categories that indicate a high or low level of sustainability.

¹⁰ The definitions used by ADB, AfDB, EBRD, GEF, IDB, IFAD, UNDP, UNEP, and World Bank, were compared.

77 The percentage of the completed projects of GEF and of other multilateral organizations rated in the ‘likely’ range for sustainability and ‘satisfactory’ range for outcome are in the same ball park. Comparison of sustainability ratings shows that the percentage of GEF projects that are rated in the ‘likely’ range for sustainability is not substantially different from other multilateral organizations. Among the multilateral organizations UNEP and AfDB are outliers (table 12). While a high percentage of UNEP portfolio is rated in the ‘likely’ (satisfactory) range for sustainability by its evaluation office, the percentage of the African Development Bank portfolio in this range is at the lower end of the spectrum. Although the reasons for high level of sustainability rating for UNEP’s portfolio are not clear, the lower level of ratings for project portfolio of AfDB is consistent with the lower ratings of the Africa portfolio of other multilaterals that also have a global presence – e.g. GEF (GEF IEO 2018a), IFAD (IFAD IOE 2015) and World Bank (WBG IEG 2009). Overall, the percentage of GEF projects in the likely range for sustainability is not significantly different from others. A higher percentage of completed projects are rated as satisfactory as compared with sustainability in the case of comparator agencies as well, broadly consistent with the findings for the GEF.

Table 12: Outcome and Sustainability ratings of project portfolios of select multilateral organizations

Name of the organization	Assessment period	Outcomes rated in the satisfactory range	Sustainability rated in the likely range
Global Environment Facility	2005-2017	80% (n=1358)	62% (n=1299)
Asian Development Bank ¹¹	2010-2017	72% (n=383)	66% (n=383)
African Development Bank ¹²	2011	58% (n=124)	52% (n=120)
Interamerican Development Bank ¹³	2014-2016	80% (n=21)	62% (n=21)
IFAD ¹⁴	2007-2015	75% (n=283)	60% (n=275)
UNEP ¹⁵	2010-15	86% (n=148)	79% (n=139)
World Bank ¹⁶	1995-2008	74% (n=4111)	65% (n=3502)

¹¹ ADB IED, 2018. 2018 - Annual Evaluation Review. Calculated from table 3, page 39 for sovereign operations. <https://www.adb.org/sites/default/files/evaluation-document/388366/files/2018-aer.pdf>.

¹² <https://www.oecd.org/derec/afdb/2011-Quality-of-Project-Results-Report.pdf>

¹³ IDB Office of Evaluation and Oversight, 2018. IDB and IIC Project Performance: OVE’s Review of 2016 Project Completion Reports and Expanded Supervision Reports. <https://publications.iadb.org/bitstream/handle/11319/8727/IDB-and-IIC-Project-Performance.-OVes-Review-of-2016-Project-Completion-Reports-and-Expanded-Supervision-Reports.PDF?sequence=1&isAllowed=y>.

¹⁴ Calculated from pg. 98, 100, in ARRI2017 (IFAD IOE 2018), effectiveness rating used as proxy for outcomes. https://www.ifad.org/documents/38714182/39709977/ARRI2017_web.pdf/98a9b688-b397-46e0-b122-a3f458059b00

¹⁵ Calculated from Evaluation Synthesis Report (UNEP EO 2016), pg 30, 33. Effectiveness as a proxy for outcome. <https://wedocs.unep.org/bitstream/handle/20.500.11822/7132/Biennial%20Evaluation%20Synthesis%20Report%202014-15.pdf?sequence=1&isAllowed=y>

¹⁶ WBG IEG, 2009: [http://wbln1023.worldbank.org/oed/oeddoclib.nsf/DocUNIDViewForJavaSearch/C96DB942D128C7C3852576C0005AD81A/\\$file/arde09.pdf](http://wbln1023.worldbank.org/oed/oeddoclib.nsf/DocUNIDViewForJavaSearch/C96DB942D128C7C3852576C0005AD81A/$file/arde09.pdf) ; and, World Bank Independent Evaluation Group dataset on performance ratings of completed projects downloaded from <http://ieg.worldbankgroup.org/data> on 25th of April 2018. World Bank IEG discontinued its sustainability rating from 2009 onwards.

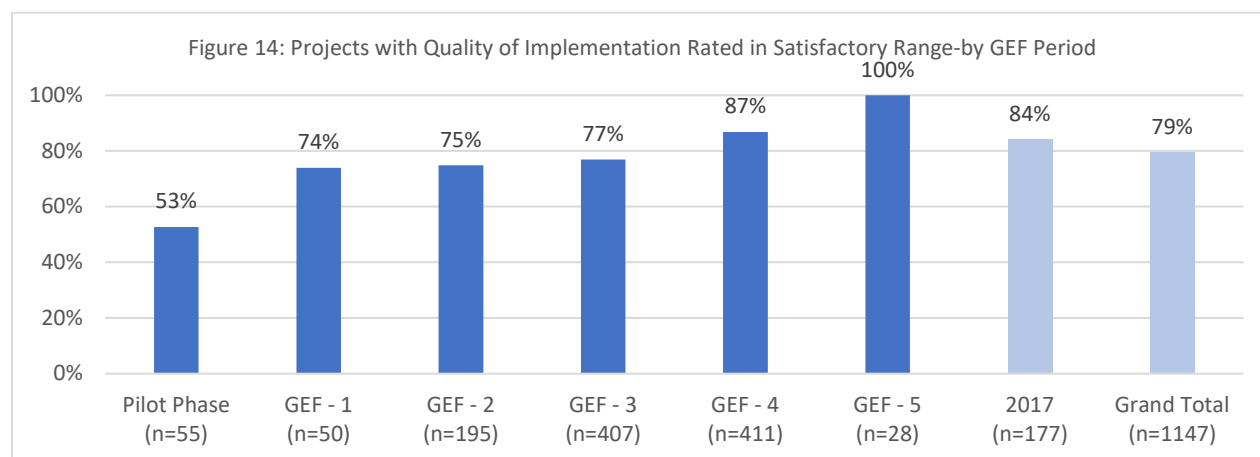
V PROJECT IMPLEMENTATION, EXECUTION, CO-FINANCING AND M&E

Project implementation and execution

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

79 Cumulatively, 79 percent of projects were satisfactorily implemented. Significant improvement is noted in Agency performance from the pilot phase to GEF-1 and then again between GEF-3 and GEF-4. For GEF-5 the number of observations are still too few to draw conclusions. Of the projects in the FY2017 cohort, 84 percent were rated as satisfactory compared to the portfolio average of 79 percent. The quality of implementation varies by implementing agency with projects implemented by UNEP having higher ratings (89 percent) and those implemented by World Bank having lower ratings (71 percent). Much of the lower implementation performance of the World Bank is related to projects approved during GEF-3 period (64 percent). Although projects which are implemented jointly have a lower than average quality of implementation ratings, this difference is not statistically significant when other factors are controlled for.

Figure 14: Projects with Quality of Implementation Rated in Satisfactory Range-by GEF Period



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

81 81 percent of the completed projects have satisfactory ratings for the quality of execution. This indicates that partner agencies perform well in accomplishing project activities on ground. Of the FY17 cohort, 78 percent were rated in the satisfactory range, which – although nominally lower – is the same as the portfolio average. Quality of implementation and country context affect the quality of execution. For example, projects implemented in LDCs or SIDS have lower ratings than projects implemented in other countries. Similarly, projects implemented in Africa have lower quality of execution ratings than other regions. Structured approach to the review of project progress through a steering committee is positively correlated with the quality of execution. Quality of execution is also higher when the level of country support to the project matches or exceeds expectations.

Figure 15: Projects with Quality of Execution Rated in Satisfactory Range-by GEF Period



Co-financing

82 A GEF project usually gets a substantial percentage of its total financing from non-GEF sources. Project activities are designed with an assumption that the promised co-financing will materialize in a timely manner during project start-up and implementation. Therefore, co-financing is often essential for ensuring timely accomplishment of project activities on ground. Non-materialization or delayed materialization of co-financing may delay project start-up and implementation, and/or lead to downscaling/restructuring of the project. OPS-6 found that the full materialization of cofinancing is positively correlated with project outcome ratings, and that materialization of less than 50 percent is negatively correlated with outcome performance (GEF IEO 2018b). For the 619 projects that were covered through detailed terminal evaluation reviews, governments in the recipient countries provided at least some cofinancing in 76 percent of projects, GEF Agencies provided cofinancing in 40 percent of the projects, and executing agencies provided some cofinancing in 36 percent. Contribution of cofinancing by GEF Agencies and executing partners for a substantial percentage of projects demonstrates that they have an incentive to ensure that GEF projects achieve their expected results.

83 For completed projects, the ratio of realized co-financing to GEF dollars is 5.9 to 1, while in the FY17 cohort, it is 7.2 to 1 (figure 16). Co-financing commitments are fully met or exceeded in 59 percent of the projects. (figure 17). The materialization of promised co-financing was less than half in 14 percent of the projects.

Figure 16: Promised and Realized Cofinancing per dollar of GEF Grant for Completed GEF Projects- by Period

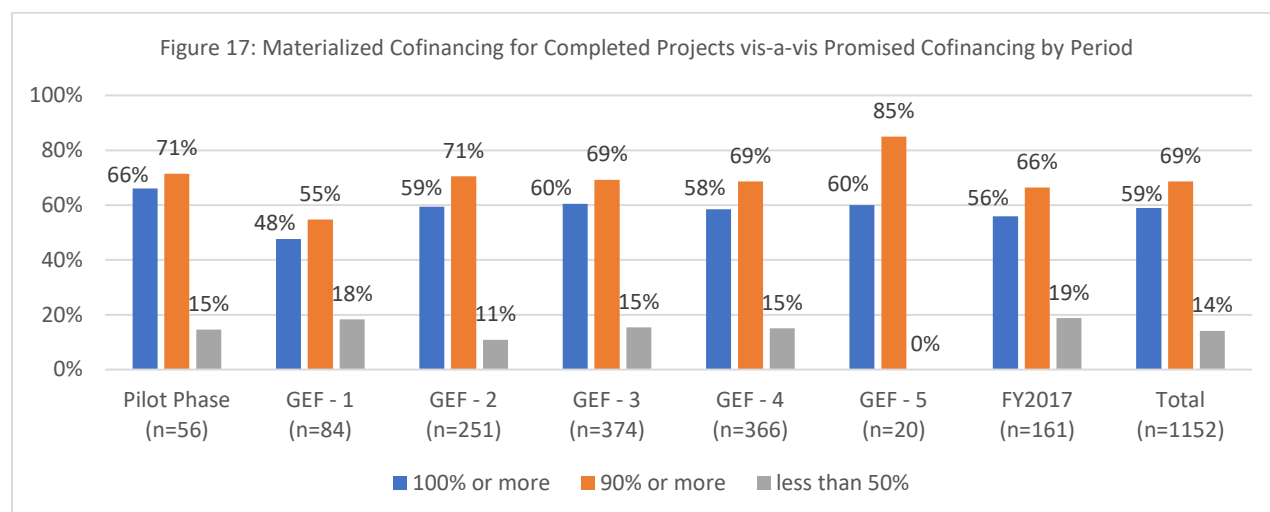
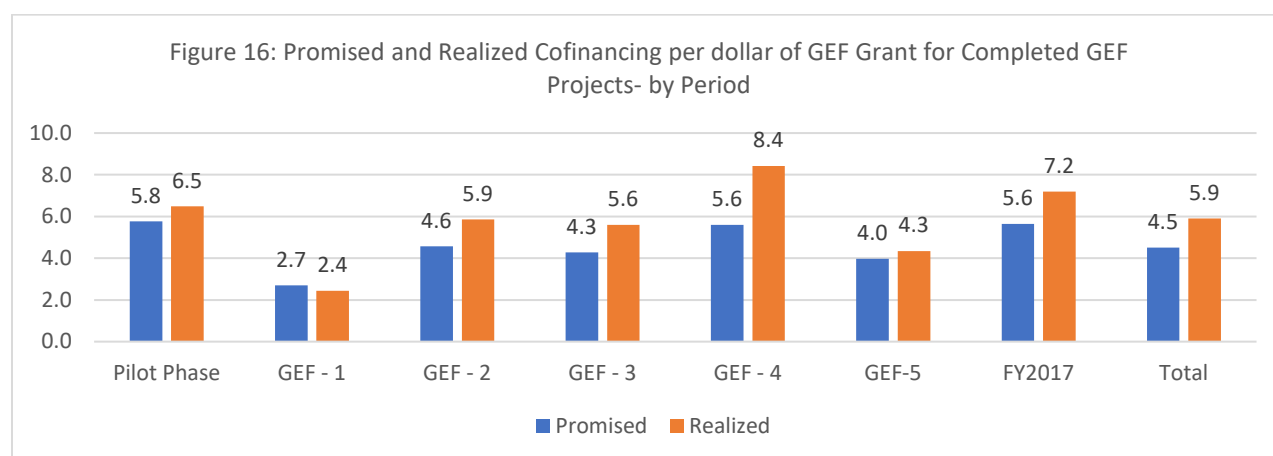
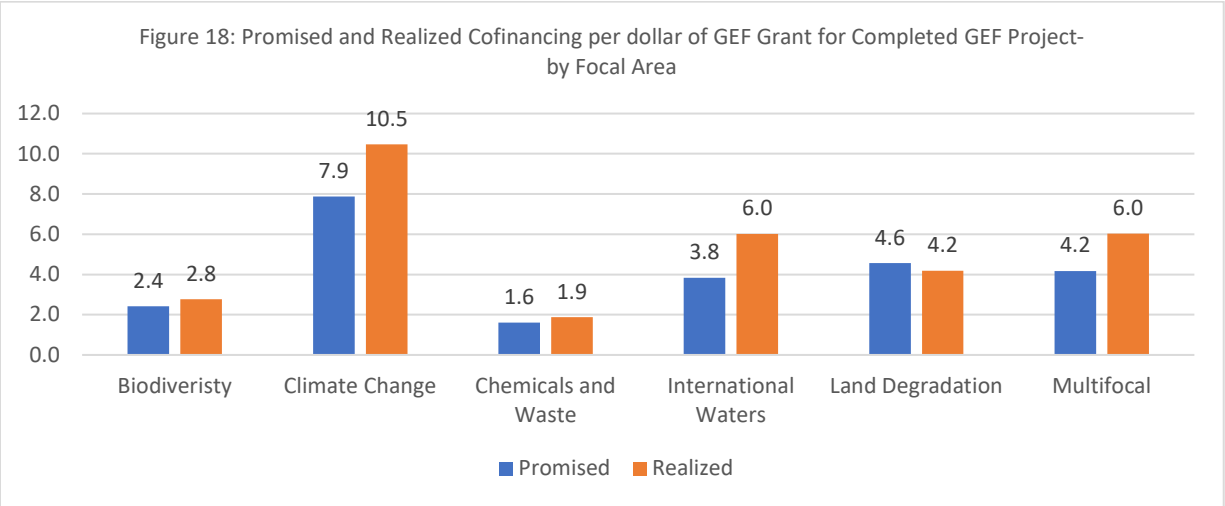


Figure 17: Materialized Cofinancing for Completed Projects vis-a-vis Promised Cofinancing by Period

84 Climate change projects tend to generate the highest promised and realized co-financing ratios, with a ratio of 7.9 to 1 for promised co-financing and 10.5 to 1 per GEF dollar, for realized co-financing. Compared to 1.6 dollars of promised cofinancing per GEF dollar, projects from chemicals and waste focal area mobilized 1.9 dollars of co-financing. The low level of cofinancing mobilized by the chemicals and waste focal area is due to nature of underlying activities. For example, climate change activities are more likely to yield benefits that are easy to monetize, and therefore, likely to attract co-financing from the private sector and even national governments. In contrast, projects from the chemicals and waste focal area

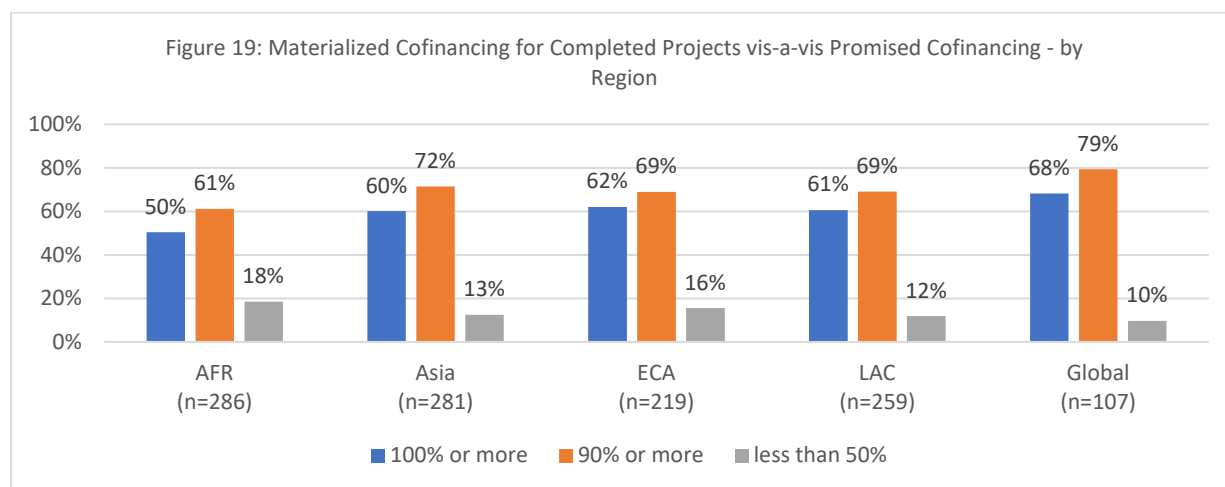
that were approved in GEF-3 and GEF-4 focus on facilitating preparation of national action plans to tackle persistent pollutants. It is often difficult to raise high levels of cofinancing for such activities despite their being essential. From a performance perspective projects from both the focal areas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

Figure 18: Promised and Realized Cofinancing per dollar of GEF Grant for Completed GEF Project-by Focal Area



85 Some patterns related to cofinancing are salient. Promised levels of co-financing are more likely to be fully met in global projects. Among regions, promised cofinancing for projects in Africa was fully realized in half of the projects. This is lower than other regions by at least 10 percent (figure 19). Among the GEF Agencies, World Bank, UNDP, UNEP and UNIDO have a strong record at ensuring that cofinancing commitments are met. For other Agencies the observations are too few.

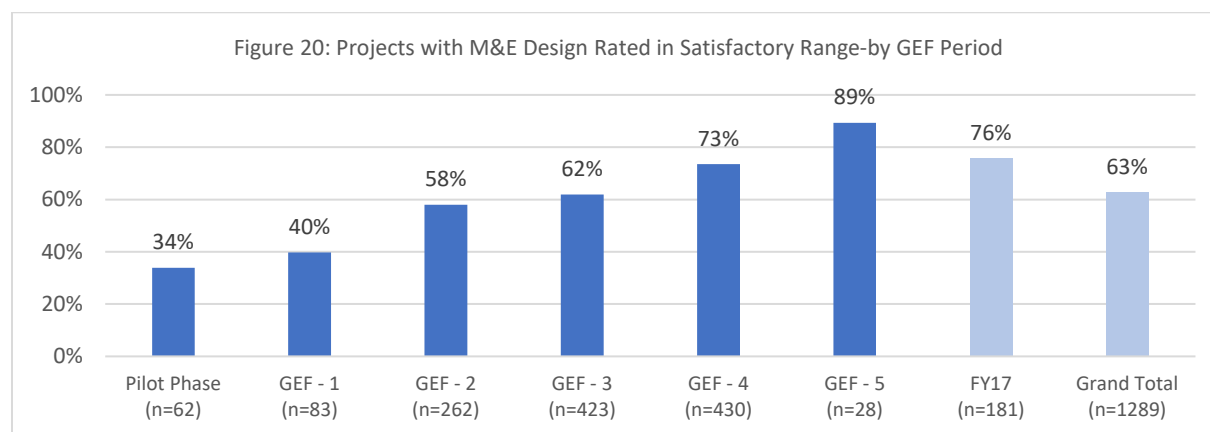
Figure 19: Materialized Cofinancing for Completed Projects vis-a-vis Promised Cofinancing - by Region



Monitoring and Evaluation

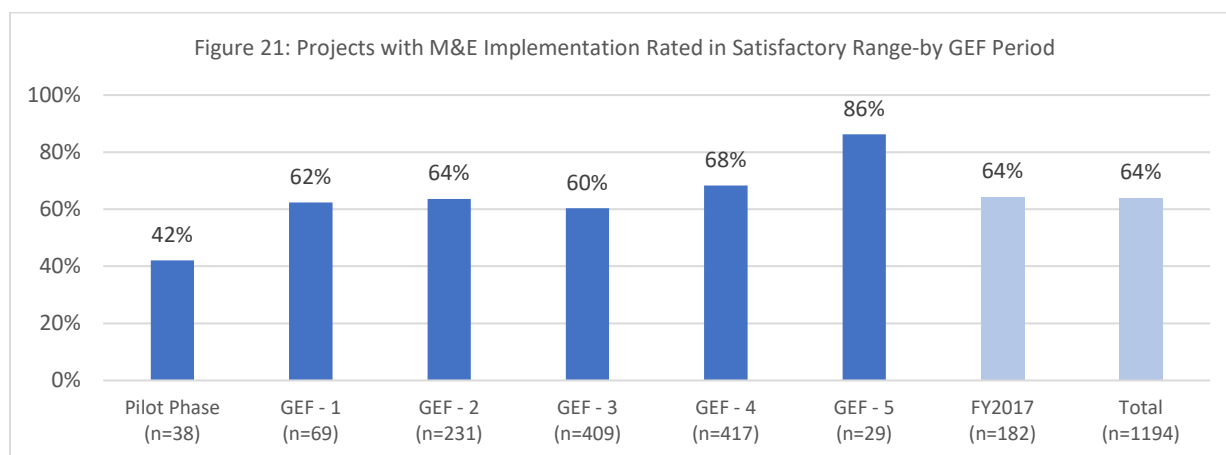
86 Project M&E is vital to provide information for course correction, facilitate effective implementation, and maintain a reliable account of project accomplishments and challenges. While the portfolio average for projects with satisfactory M&E design ratings is 63 percent, this is more than 10 percentage points higher in the FY17 cohort. Ratings are especially higher than the average for projects approved in GEF4, with 73 percent of these rated in the satisfactory range. This demonstrates improvements in M&E design over time.

Figure 20: Projects with M&E Design Rated in Satisfactory Range-by GEF Period



87 Of the GEF portfolio, and of the FY17 cohort, 64 percent of projects are rated satisfactory for M&E Implementation. This was slightly higher at 68 percent in GEF-4 projects, showing an improvement in performance over the preceding periods. The improvement continues in GEF-5. (figure 21).

Figure 21: Projects with M&E Implementation Rated in Satisfactory Range-by GEF Period



88 The percentages of projects with satisfactory M&E implementation ratings range from 52 percent for projects in Africa to 76 percent in Europe and Central Asia. However, projects implemented in Africa show more substantial improvement than other regions, over time. Projects implemented in Africa are more likely to collect disaggregated gender data: 22 percent of projects in the Africa region collected disaggregated gender data, compared to 14 percent in both Asia and ECA, 9 percent in LAC, and 6 percent of global projects. This is consistent with findings from the GEF IEO's 2018 Evaluation of Gender Mainstreaming in the GEF, which assigned the highest weighted gender rating score to the Africa region, based on a review of completed projects (GEF IEO 2018c). Among GEF Agencies, the M&E implementation ratings for World Bank projects from GEF-3 and GEF-4 periods are lower as compared with the other Agencies.

Figure 22: Projects with M&E Implementation Rated in Satisfactory Range-by Region

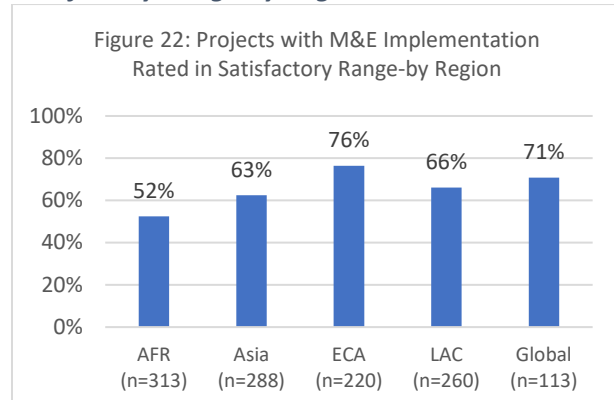


Figure 23: Projects Collecting Gender Disaggregated Data by Region

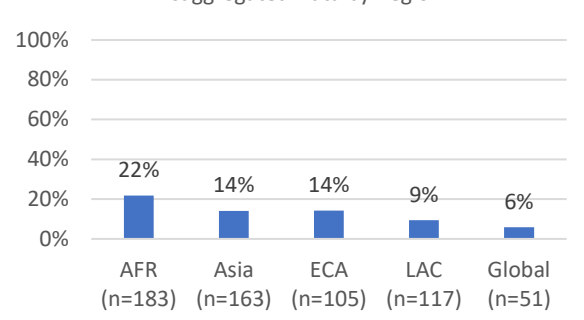


Figure 23: Projects Collecting Gender Disaggregated Data by Region

VI TERMINAL EVALUATION REPORTING

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

Submission of Terminal Evaluations

90 A terminal evaluation of completed GEF project is a requirement. The three original Agencies (UNDP, UNEP, and World Bank) reported in 1994 that the preparation of terminal evaluations for GEF projects is part of their internal M&E requirement (GEF 1994). Subsequently, several policy related documents approved by the Council, e.g. the GEF Project Cycle (GEF 1995) and 'Framework and Work Program for GEF's Monitoring, Evaluation and Dissemination Activities' (GEF 1996) established the requirement for preparation of terminal evaluation for completed projects. Despite the requirement, there are gaps in submission of terminal evaluations which should have been completed by now, particularly for projects approved in GEF-3 or earlier.

91 Overall, from the Pilot Phase to GEF-2 there is a slight increase in percentage of projects for which terminal evaluations have been submitted, but the number is lower for GEF-3. While some GEF-3 projects are still under implementation, the gap in completed terminal evaluations is higher than expected, particularly for medium sized projects implemented by UNDP. (table 13). UNDPs GEF-3 terminal evaluations submissions for medium sized projects vary across regions: 41 percent in Latin America and Caribbean, 45 percent in Asia, 58 percent in Africa and 88 percent in Europe and Central Asia.

92 Among other GEF Agencies, World Bank has a strong record of submitting terminal evaluations, for both full sized and medium sized projects. From GEF-2 onwards UNEPs performance is similar to or exceeds the performance of other Agencies.

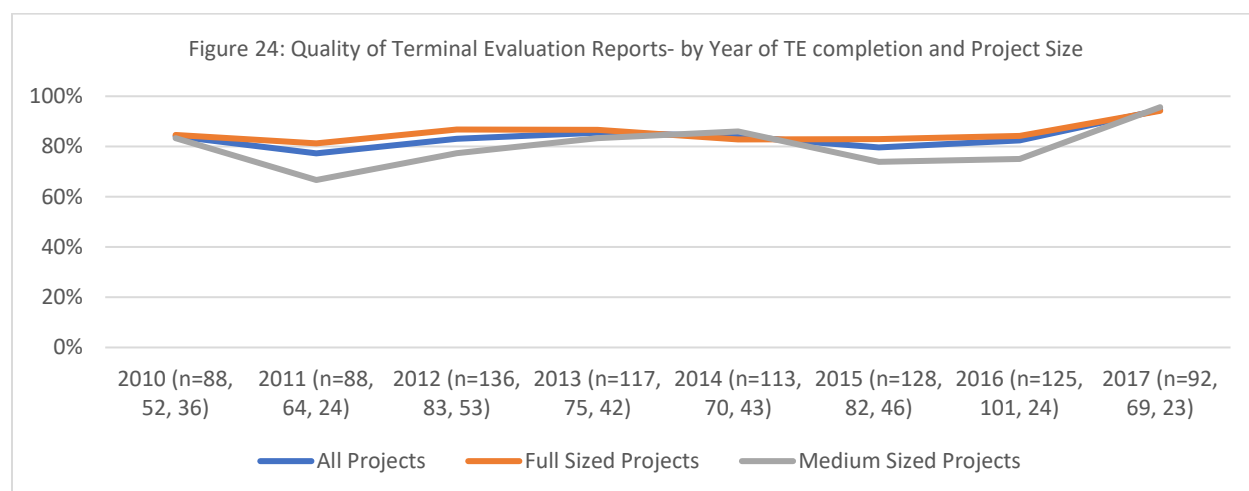
Table 13: Coverage by Phase, Agency and Project Size

Agency	Project Size	Pilot Phase	GEF-1	GEF-2	GEF-3
UNDP	FSP	83% (54)	86% (51)	86% (66)	83% (120)
	MSP	-	100% (3)	89% (61)	57% (123)
World Bank	FSP	96% (45)	98% (48)	92% (77)	86% (133)
	MSP	-	100% (3)	92% (61)	88% (34)
UNEP	FSP	100% (1)	80% (5)	100% (17)	82% (34)
	MSP	-	75% (4)	94% (33)	87% (46)
Joint	FSP	100% (4)	89% (19)	100% (23)	78% (36)
	MSP	-	-	100% (6)	71% (7)
Others	FSP	0% (1)	-	100% (1)	84% (19)
	MSP	-	-	-	60% (5)
All	FSP	89% (105)	91% (123)	92% (184)	84% (342)
	MSP	-	90% (10)	91% (161)	69% (215)
Total		89% (105)	91% (133)	92% (345)	78% (557)

Quality of Terminal Evaluation Reports

93 The quality of terminal evaluation reports received by the GEF IEO remains high, with 83 percent of all terminal evaluations rated in the satisfactory range (n=1,356.) Trends in TE quality ratings from 2010 to 2017 – based on year of terminal evaluation completion – shows little change (figure 24).

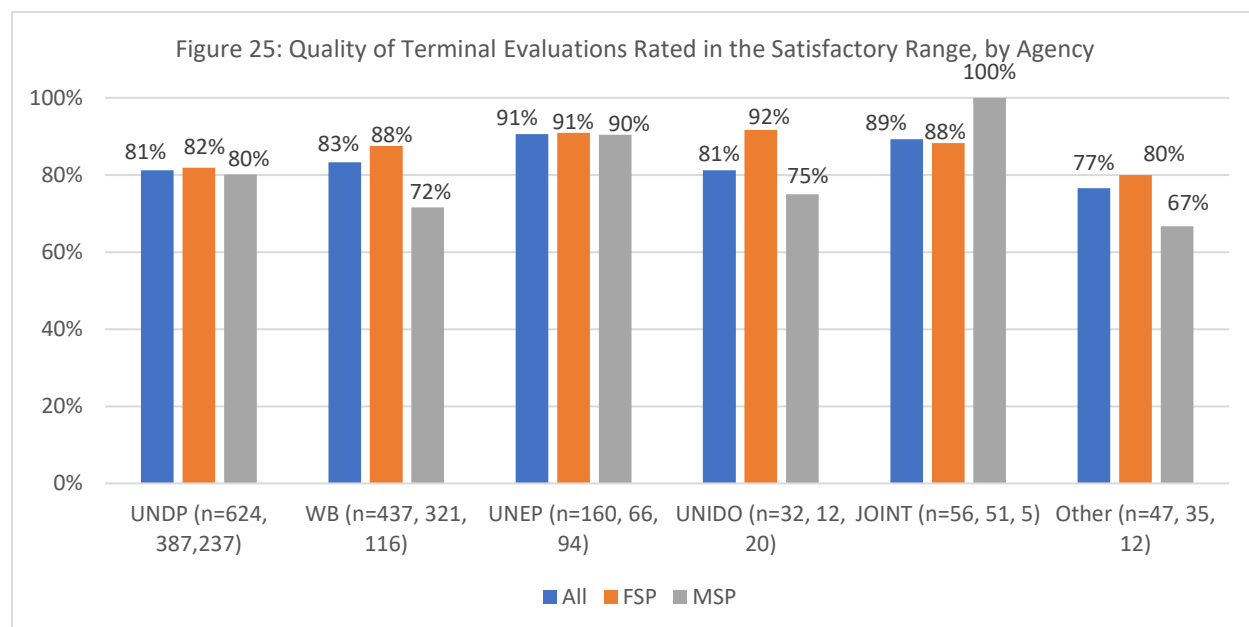
Figure 24: Quality of Terminal Evaluation Reports- by Year of TE completion and Project Size



94 The quality of terminal evaluations submitted by UNDP and UNEP do not differ for full-sized or medium-sized projects. However, the quality of World Bank's terminal evaluations for

medium-size projects is lower than for full-size projects. For the other Agencies the number of observations are still too small to draw strong inferences.

Figure 25: Quality of Terminal Evaluations Rated in the Satisfactory Range, by Agency



95 33 percent of the terminal evaluations assessed in depth include gender relevant information (n=619). This has improved over time from 21 percent in GEF-2 projects (n=67) to 35 percent in GEF-3 projects (n=226), and 55 percent of GEF-4 projects (n=281). There is also a sharp increase in the percentage of projects with gender related information after the adoption of the GEF Gender Mainstreaming Policy in May 2011, from 18 percent prior to the policy to 57 percent after the adoption of the policy.

VII. THE MANAGEMENT ACTION RECORD

96 The GEF Management Action Record (MAR) tracks the level of adoption of GEF Council decisions which are based on the IEO's evaluation recommendations. These recommendations are implemented by the GEF Secretariat and/or the GEF Partner Agencies (together referred to as GEF Management). The MAR serves two purposes: (1) to provide Council a record of its decisions based on the evaluation reports presented by the GEF IEO, the proposed management actions, and the actual status of these actions; and (2) to increase the accountability of GEF Management regarding Council decisions on monitoring and evaluation issues."¹⁷

97 MAR 2017 reports on the level of adoption of 4 decisions from the following evaluations.

- (a) Annual Country Portfolio Evaluation Report 2012 (GEF/ME/C.42/03)
- (b) Semi-Annual Evaluation Report June 2015, section on the Joint GEF-UNDP Small Grants Program Evaluation (GEF/ME/C.48/02)
- (c) Evaluation of the GEF CSO Network (GEF/ME/C.50/02)
- (d) Annual Performance Report 2015 (GEF/ME/C.50/04)

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

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

Ratings Approach

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

¹⁷ GEF Council, "Procedures and Format of the GEF Management Action Record." GEF/ME/C.27/3., GEF Council November, 2005.

- (a) **High:** Fully adopted and fully incorporated into policy, strategy or operations.
- (b) **Substantial:** Decision largely adopted but not fully incorporated into policy, strategy or operations as yet.
- (c) **Medium:** Adopted in some operational and policy work, but not to a significant degree in key areas.
- (d) **Negligible:** No evidence or plan for adoption, or plan and actions for adoption are in a very preliminary stage.
- (e) **Not rated:** ratings or verification will have to wait until more data is available or proposals have been further developed.
- (f) **N/A:** Not-applicable (see commentary).

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

- (a) **Graduated** due to high or, where appropriate, substantial level of adoption of Council decision
- (b) **Retired** as the Council decision has become less relevant, or subsequent Council decisions have made high level of adoption of the decision difficult, or further progress on adoption of the decision is likely to be slow and long drawn. An automatic reason for retirement would be if a decision has been reported on in the MAR for five years.

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

Findings

Council Decision with a Substantial Level of Adoption

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

Council Decisions with a Medium Level of Adoption

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

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

104 The second decision relates to the burden of monitoring requirements reported in the 2015 Annual Performance Report. The decision endorsed the recommendation that GEF needs to reassess its approach to tracking tools for GEF-7, and should also assess the burden and utility of its biodiversity tracking tools and other alternatives. Management rated the level of adoption as substantial, however, as a revised results-based management approach is still under development by the Secretariat, the level of adoption is rated as medium by the IEO as an alternative to the tracking tools is still under development.

105 The third decision relates to the review of the Joint GEF-UNDP Small Grants Program Evaluation, with a recommendation for the Secretariat and UNDP to continue upgrading the SGP Country Program, and to revisit the criteria for selection of countries for upgrading. The level of adoption is rated as medium by both management and IEO. Management reported that UNDP and the Central Program Management Team, in consultation with the GEF Secretariat and relevant stakeholders, will revisit the upgrading criteria in GEF 7. The program will focus on consolidating and scaling up successful on-the-ground actions in the existing 15 Upgraded Country Programs for community based landscape planning and management, in GEF-7.

VIII. PERFORMANCE MATRIX

106 The performance matrix serves to highlight recent performance of GEF Agencies. Much of the information presented in this chapter may be gleaned from other chapters of this report. The purpose of the matrix is to summarize the information and present it in an accessible format.

107 Performance on indicators such as outcome, implementation, materialization of cofinancing, and M&E implementation, is presented for projects that were approved in GEF-4 (FY2007 to FY2010). This period is appropriate for these indicators because it is the most recent replenishment period for which sufficient data is available. For incidence of project extensions, data on projects approved during GEF-3 (FY2003 to FY2006) has been presented. For more recent periods (e.g. GEF-4) it is likely that the projects that require extension are still under implementation. Data on the quality of terminal evaluations prepared during calendar years 2015 to 2017 has been considered so that the focus remains on more recent performance. For

terminal evaluation submission related indicators, approvals from GEF-1 to GEF-3 (FY 1995 to FY2006) are considered as we may expect implementation of most projects from this period to be complete.

108 Before agency performance is compared, some caution is necessary. Some of the differences in agency performance ratings may be due to differences in the extent to which the respective evaluation offices are conservative in assessing performance. Similarly, the candor in information provided in terminal evaluations is difficult to assess in the absence of field verification, which may be another source of variance. Reporting practices for co-financing vary across GEF Agencies. Some, such as the World Bank, generally include only those resources that are supervised by the project management unit. Others may also include funding for activities that are not supervised by the project management unit but implemented in parallel to the activities funded by GEF.

109 Some patterns in performance are salient. The performance of World Bank on the quality of M&E implementation is substantially lower. Similarly, the quality of terminal evaluation reports for medium sized projects submitted by the World Bank is also lower than UNDP and UNEP. Compared to other Agencies, UNDP's terminal evaluation submission rate for GEF-3 MSPs is lower than other Agencies.

110 UNDP raises higher level of co-financing both per dollar of GEF funding and vis-à-vis promised cofinancing. The reasons for UNDP's higher performance on these indicators need to be better understood. World Bank raises a higher level of cofinancing per dollar of GEF grant for a median project than other Agencies. Projects implemented by UNEP raise lower levels of cofinancing, which is primarily driven by the nature of underlying project activities.

Table 14: Performance Matrix

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

Note: Numbers of rated projects are shown in parentheses. *Other includes Asian Development Bank, Food and Agriculture Organization of the United Nations, Inter-American Development Bank, and International Fund for Agricultural Development. Jointly implemented projects are not presented, but are included in the Overall GEF figures.

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ANNEX

Annex A: Project design attributes and correlation with outcomes and likelihood of sustainability

Attributes of a given project	Outcomes		Sustainability	
	Number of projects	Outcome – satisfactory range	Number of projects	Sustainability – Likely range
Quality of M&E design Satisfactory	807	86%	779	68%
Quality of M&E design Unsatisfactory	473	69%	451	51%
Pilots an approach	309	78%	291	64%
- Does not pilot an approach	268	79%	254	63%
Replicates an approach	68	72%	66	64%
- Does not replicate an approach	509	80%	479	63%
Scales-up an approach	48	73%	45	69%
- Does not scale-up an approach	529	79%	500	63%
Mainstreams an approach	45	82%	44	77%
- Doesn't mainstream an approach	532	79%	501	62%
Promotes new technology	58	83%	55	65%
- Does not promote a new technology	519	78%	490	63%
Is a follow up on a GEF project	60	80%	55	62%
- Is not a follow up of a GEF project	517	79%	490	64%
Includes activities to develop legal / regulatory measures	242	79%	233	64%
- Doesn't include activities to develop legal/regulatory measures	335	79%	312	63%
Includes activities to influence legal / regulatory environment	334	79%	320	63%
- Doesn't include activities to influence legal/regulatory environ.	243	78%	225	65%
Includes activities aimed at improving administration/enforcement	410	78%	384	63%
- Doesn't include activities aimed at improving administration / enforcement	167	80%	161	66%
Key stakeholders consulted during project preparation	456	79%	433	64%
- Key stakeholders not consulted during project preparation	121	80%	112	61%
Plans consultations with key stakeholders during implementation	486	79%	461	63%
- Doesn't plan consultations with key stakeholders during implementation	91	80%	84	64%
Design addresses a gender concern identified in the gender analysis	65	82%	61	67%
- Design does not address any gender concerns	512	79%	484	63%
Measures included to address key risks	458	78%	432	65%
- Measures not included to address key risks	119	82%	113	58%

Extensive consultations with CSOs for project preparation	205	77%	193	61%
- Some consultations with CSO	178	78%	169	64%
- No consultations with CSOs or unable to assess	166	81%	156	67%
Cofinancing by the recipient country (national projects)	430	80%	416	65%
- No cofinancing by the recipient country (national projects) or unable to assess	59	71%	55	65%
Funds committed by recipient country for follow up	96	88%	93	82%
- Funds not committed by recipient country for follow up	294	74%	284	60%
Experienced start up delays	286	78%	270	63%
- Did not experience start up delays	257	80%	248	64%
Project was a low priority for at least some of the crucial government tiers/agencies/departments	97	60%	93	45%
Was a priority for crucial government tiers/agencies/departments	421	84%	405	68%

Annex B: Project Classification Based on Level of Attention to Gender

Annex B of the Evaluation of Gender Mainstreaming in the GEF (2018) defines the categories used for classifying projects based on the level of attention given to gender concerns as follows:

Not gender relevant. Gender plays no role in the planned intervention.

Gender blind. Project does not demonstrate awareness of the roles, rights, responsibilities, and power relations associated with being male or female. Gender is not mentioned in project documents beyond an isolated mention in the context description, gender is not tracked by the tracking tools and monitoring and evaluation instruments, no gender analysis took place, and no gender action plan or gender strategy was developed for the project.

Gender aware. Project recognizes the economic/social/political roles, rights, entitlements, responsibilities, obligations, and power relations socially assigned to men and women, but might work around existing gender differences and inequalities, or does not sufficiently show how it addresses gender differences and promotes gender equality. Gender is mentioned in the project document, but how gender equality is being promoted is unclear. One or two gender-disaggregated indicators might be present, but whether and how that data informs project management is unclear. Gender might be mentioned in a social assessment, but what is done with that information is unclear. No gender action plan or gender strategy was developed for the project.

Gender sensitive. Project adopts gender-sensitive methodologies to address gender differences and promote gender equality. A gender analysis or social analysis with gender aspects is undertaken, gender-disaggregated data are collected, gender-sensitive indicators are integrated in monitoring and valuation, and the data collected inform project management. But the gender focus is only apparent in a limited number of project activities.

Gender mainstreamed. Project ensures that gender perspectives and attention to the goal of gender equality are central to most, if not all, activities. It assesses the implications for women and men of any planned action, including legislation, policies, or programs, in any area and at all levels. Like the gender-sensitive category, but gender-relevant components are present in most, if not all, activities.

Gender transformative. Project goes beyond gender mainstreaming and facilitates a “critical examination” of gender norms, roles, and relationships; strengthens or creates systems that support gender equity; and/or questions and changes gender norms and dynamics. Like the gender-mainstreamed category, but the way gender is addressed might result in behavioral changes toward gender norms and dynamics in the systems targeted by and systems beyond the project.

Annex C: Regression analysis

OLS Models

VARIABLES	(1) Outcomes model 1	(2) Outcomes model 2	(3) Outcomes model 3	(4) Outcomes model 4	(5) Outcomes model 5	(6) Outcomes model 6
Quality of Implementation	0.444*** (0.0489)	0.448*** (0.0488)	0.405*** (0.0577)	0.440*** (0.0420)	0.435*** (0.0448)	0.441*** (0.0444)
Quality of Execution	0.383*** (0.0498)	0.385*** (0.0498)	0.395*** (0.0578)	0.350*** (0.0427)	0.313*** (0.0464)	0.314*** (0.0452)
Large GEF Portfolios	0.0313 (0.0238)					
LDC		0.0202 (0.0249)				
SIDs			-0.0424 (0.0396)			
AFR				0.00207 (0.0210)		
<50% materialized co-financing					-0.0954*** (0.0348)	
100% or greater of co-financing materialized						0.0506** (0.0197)
<i>Variables included for control</i>						
Focal Area	yes	yes	yes	yes	yes	yes
GEF Funding	yes	yes	yes	yes	yes	yes
Year of CEO Endorsement	yes	yes	yes	yes	yes	yes
Project Preparation Grant Given	yes	yes	yes	yes	yes	yes
Observations	861	861	647	1,117	968	980
R-squared	0.525	0.524	0.469	0.484	0.475	0.464

Robust standard errors in parentheses

*** p<0.01, ** p<0.05, * p<0.1

Probit Models

VARIABLES	(1) Outcomes model 1	(2) Outcomes model 2	(3) Outcomes model 3	(4) Outcomes model 4	(5) Outcomes model 5	(6) Outcomes model 6
Quality of Implementation	1.586*** (0.151)	1.610*** (0.152)	1.422*** (0.174)	1.570*** (0.132)	1.578*** (0.144)	1.573*** (0.140)
Quality of Execution	1.357*** (0.153)	1.369*** (0.154)	1.378*** (0.175)	1.245*** (0.131)	1.133*** (0.147)	1.131*** (0.143)
Large GEF Portfolios	0.242 (0.175)					
LDC		0.126 (0.161)				
SIDs			-0.246 (0.200)			
AFR				0.00804 (0.128)		
<50% materialized co-financing					-0.479*** (0.163)	
100% or greater of co-financing materialized						0.285** (0.117)
<i>Variables included for control</i>						
Focal Area	yes	yes	yes	yes	yes	yes
GEF Funding	yes	yes	yes	yes	yes	yes
Year of CEO Endorsement	yes	yes	yes	yes	yes	yes
Project Preparation Grant Given	yes	yes	yes	yes	yes	yes
Observations	861	861	647	1,117	968	980

Robust standard errors in parentheses

*** p<0.01, ** p<0.05, * p<0.1

Additional Variables

VARIABLES	(1) Outcomes OLS model 1	(2) Outcomes OLS model 2	(3) Outcomes OLS model 3	(4) Outcomes OLS model 4	(5) Outcomes probit model 1	(6) Outcomes probit model 2	(7) Outcomes probit model 3	(8) Outcomes probit model 4
Quality of Implementation	0.603*** (0.0582)	0.643*** (0.0588)	0.529*** (0.0544)	0.551*** (0.0577)	2.223*** (0.212)	2.561*** (0.258)	1.870*** (0.181)	1.982*** (0.203)
Quality of Execution	0.266*** (0.0585)	0.253*** (0.0575)	0.302*** (0.0549)	0.295*** (0.0588)	1.205*** (0.230)	1.318*** (0.242)	1.210*** (0.191)	1.225*** (0.213)
Country Support Level	0.0563 (0.0396)	0.0417 (0.0361)			0.415 (0.253)	0.329 (0.259)		
Delays During Implementation			-0.0518** (0.0250)	-0.0314 (0.0258)			-0.329* (0.189)	-0.182 (0.202)
Indicators included for all results in project design		0.0663 (0.0622)		0.0253 (0.0711)		0.725* (0.396)		0.208 (0.449)
Stakeholders consulted in design		0.0313 (0.0353)		0.0113 (0.0363)		0.321 (0.333)		0.0642 (0.283)
Key risks taken into account		-0.0104 (0.0496)		-0.0394 (0.0444)		0.321 (0.362)		-0.138 (0.333)
<i>Variables included for control</i>								
Focal Area	yes	yes	yes	yes	yes	yes	yes	yes
GEF Funding	yes	yes	yes	yes	yes	yes	yes	yes
Year of CEO Endorsement	yes	yes	yes	yes	yes	yes	yes	yes
Project Preparation Grant Given	yes	yes	yes	yes	yes	yes	yes	yes
Observations	460	422	543	495	460	422	543	495
R-squared	0.641	0.666	0.547	0.573				

Robust standard errors in parentheses

*** p<0.01, ** p<0.05, * p<0.1

OLS Models

VARIABLES	(1) Sustainability model 1	(2) Sustainability model 2	(3) Sustainability model 3	(4) Sustainability model 4	(5) Sustainability model 5	(6) Sustainability model 6	(7) Sustainability model 7
Quality of Implementation	0.173*** (0.0529)	0.172*** (0.0531)	0.185*** (0.0627)	0.185*** (0.0625)	0.178*** (0.0452)	0.180*** (0.0487)	0.166*** (0.0481)
Quality of Execution	0.268*** (0.0537)	0.262*** (0.0537)	0.233*** (0.0601)	0.233*** (0.0599)	0.263*** (0.0453)	0.225*** (0.0501)	0.241*** (0.0489)
Large GEF Portfolios	0.198*** (0.0387)						
LDC		-0.171*** (0.0421)					
SIDs			0.0621 (0.0537)	0.0661 (0.0536)			
AFR					-0.116*** (0.0329)		
<50% materialized co-financing						-0.105** (0.0464)	
100% or greater of co-financing materialized							0.0723** (0.0311)
Climate Change Focal Area	0.0933*** (0.0326)	0.0950*** (0.0324)	0.0458 (0.0390)		0.0760** (0.0297)	0.0946*** (0.0320)	0.0951*** (0.0317)
<i>Variables included for control</i>							
GEF Funding	yes	yes	yes	yes	yes	yes	yes
Year of CEO Endorsement	yes	yes	yes	yes	yes	yes	yes
Project Preparation Grant Given	yes	yes	yes	yes	yes	yes	yes
Observations	840	840	629	629	1,092	948	957
R-squared	0.148	0.146	0.109	0.107	0.138	0.115	0.115

Robust standard errors in parentheses

*** p<0.01, ** p<0.05, * p<0.1

Probit Models

VARIABLES	(1) Sustainability model 1	(2) Sustainability model 2	(3) Sustainability model 3	(4) Sustainability model 4	(5) Sustainability model 5	(6) Sustainability model 6
Quality of Implementation	0.472*** (0.141)	0.472*** (0.141)	0.494*** (0.164)	0.484*** (0.119)	0.481*** (0.126)	0.444*** (0.125)
Quality of Execution	0.733*** (0.145)	0.716*** (0.145)	0.633*** (0.158)	0.712*** (0.121)	0.603*** (0.131)	0.644*** (0.129)
Large GEF Portfolios	0.651*** (0.143)					
LDC		-0.490*** (0.119)				
SIDs			0.191 (0.169)			
AFR				-0.334*** (0.0921)		
<50% materialized co-financing					-0.308** (0.129)	
100% or greater of co-financing materialized						0.216** (0.0889)
Climate Change Focal Area	0.286*** (0.102)	0.293*** (0.101)	0.142 (0.120)	0.233** (0.0922)	0.288*** (0.0996)	0.290*** (0.0983)
<i>Variables included for control</i>						
GEF Funding	-0.0118 (0.00966)	0.000741 (0.00973)	0.00993 (0.0113)	0.00283 (0.00786)	-0.00237 (0.00881)	-0.00317 (0.00880)
Year of CEO Endorsement	0.0103 (0.00987)	0.0156 (0.00995)	0.0608*** (0.0194)	0.0202** (0.00890)	0.0201** (0.00984)	0.0216** (0.00964)
Project Preparation Grant Given	0.118 (0.107)	0.0742 (0.107)	0.0950 (0.116)	0.0985 (0.0907)	0.111 (0.0995)	0.146 (0.0984)
Observations	840	840	629	1,092	948	957

Robust standard errors in parentheses

*** p<0.01, ** p<0.05, * p<0.1

Additional Variables

VARIABLES	(1) Sustainability reg model 1	(2) Sustainability reg model 2	(3) Sustainability reg model 3	(4) Sustainability probit model 1	(5) Sustainability probit model 2	(6) Sustainability probit model 3
Quality of Implementation	0.228*** (0.0661)	0.237*** (0.0665)	0.209*** (0.0687)	0.621*** (0.177)	0.660*** (0.181)	0.575*** (0.184)
Quality of Execution	0.170** (0.0722)	0.176** (0.0730)	0.189** (0.0746)	0.476** (0.196)	0.503** (0.201)	0.533*** (0.202)
Country Support Level	0.181*** (0.0627)	0.216*** (0.0653)	0.175*** (0.0654)	0.516*** (0.171)	0.627*** (0.182)	0.506*** (0.181)
Indicators included for all results in project design			0.0400 (0.1000)			0.149 (0.300)
Stakeholders consulted in design			-0.107 (0.0696)			-0.355 (0.247)
Key risks taken into account			0.0807 (0.0786)			0.272 (0.228)
Government Co-financing Given		-0.0882 (0.0656)			-0.298 (0.218)	
<i>Variables included for control</i>						
Focal Area	yes	yes	yes	yes	yes	yes
GEF Funding	yes	yes	yes	yes	yes	yes
Year of CEO Endorsement	yes	yes	yes	yes	yes	yes
Project Preparation Grant Given	yes	yes	yes	yes	yes	yes
Observations	443	428	407	443	428	407
R-squared	0.175	0.191	0.181			

Robust standard errors in parentheses
 *** p<0.01, ** p<0.05, * p<0.1

Annex D: Outcome Ratings Tables

Criterion	Pilot Phase	GEF-1	GEF-2	GEF-3	GEF-4	GEF-5	FY17	Total
Focal Area								
Biodiversity	76% (45)	82% (57)	81% (147)	84% (171)	84% (143)	100% (10)	74% (65)	83% (573)
Chemicals	-	60% (5)	78% (9)	73% (15)	86% (36)	100% (7)	92% (13)	82% (72)
Climate Change	61% (18)	76% (29)	76% (83)	79% (107)	78% (133)	100% (6)	72% (71)	77% (376)
Int'l waters	88% (8)	80% (10)	75% (40)	68% (44)	81% (36)	-	80% (10)	75% (138)
Land Degradation	-	-	-	72% (47)	77% (31)	100% (1)	73% (11)	75% (79)
Multifocal	-	100% (3)	79% (14)	81% (43)	85% (54)	100% (5)	93% (15)	84% (120)
Region								
Africa	75% (24)	79% (28)	70% (63)	70% (120)	78% (113)	100% (5)	72% (46)	74% (353)
Asia	63% (19)	85% (27)	82% (71)	82% (91)	84% (120)	100% (6)	77% (53)	82% (335)
ECA	78% (9)	72% (18)	77% (53)	83% (86)	88% (78)	100% (5)	86% (28)	83% (249)
LAC	75% (16)	83% (18)	81% (83)	81% (84)	79% (85)	100% (6)	70% (47)	80% (292)
Global	100% (3)	77% (13)	87% (23)	87% (46)	78% (37)	100% (7)	91% (11)	84% (129)
GEF Agency								
UNDP	64% (33)	76% (41)	83% (104)	85% (177)	81% (249)	100% (14)	72% (89)	81% (619)
World Bank	81% (36)	81% (48)	77% (133)	66% (149)	83% (65)	100% (1)	74% (46)	75% (432)
UNEP	100% (2)	100% (6)	80% (41)	90% (62)	85% (54)	100% (5)	94% (17)	87% (170)
UNIDO	-	-	-	67% (3)	95% (21)	100% (8)	100% (10)	94% (32)
Joint	-	78% (9)	50% (14)	85% (20)	86% (14)	100% (1)	86% (7)	76% (58)
Other	-	-	100% (1)	94% (16)	70% (30)	-	69% (16)	79% (47)
Country groups								
SIDS	56% (9)	50% (4)	72% (18)	68% (25)	71% (42)	100% (1)	73% (22)	69% (100)
LDCs	58% (12)	69% (13)	71% (28)	66% (53)	75% (80)	100% (2)	68% (31)	71% (188)
Fragile States	50% (8)	63% (8)	60% (10)	81% (26)	71% (21)	-	80% (5)	70% (73)

Criterion	Pilot Phase	GEF-1	GEF-2	GEF-3	GEF-4	GEF-5	FY17	Total
Large GEF Portfolio	88% (8)	100% (15)	80% (40)	82% (50)	91% (58)	100% (2)	82% (33)	87% (173)
Project Size								
FSP	73% (71)	79% (96)	76% (166)	76% (285)	82% (249)	100% (6)	75% (153)	78% (873)
MSP	-	88% (8)	82% (127)	85% (142)	82% (184)	100% (23)	81% (32)	84% (485)
Scope								
National	73% (59)	80% (74)	78% (222)	77% (305)	81% (343)	100% (21)	73% (153)	79% (1024)
Regional	67% (9)	82% (17)	75% (48)	83% (78)	87% (54)	100% (1)	90% (21)	82% (208)
Global	100% (3)	77% (13)	87% (23)	86% (44)	81% (37)	100% (7)	91% (11)	85% (127)
Total	73 (71)	80% (104)	78% (293)	79% (427)	82% (433)	100% (29)	76% (185)	80% (1358)

Outcome ratings at project completion and post completion verification

A comparison of the GEF IEO's outcome ratings at project completion and post completion verification shows that compared to 88 percent of projects at completion 77 percent rated satisfactory at post completion verification. This is despite the conclusion of the review that during the post completion period most projects either sustained or enhanced their outcomes, and status for outcome achievement increased across the two periods for more projects than decreased. These two seemingly contradicting findings are largely due to a difference in source of information considered for rating. The post completion verification reports prepared by evaluation offices are likely to be more candid than terminal evaluation reports prepared or commissioned by the project management. Thus, ratings based on post completion field verification were lower than those based on terminal evaluations.

Outcome rating at post completion verification versus outcome ratings at completion

Outcome ratings at completion	Outcome ratings at post completion verification		
	Satisfactory	Unsatisfactory	All rated projects
Satisfactory	73% (38)	15% (8)	88% (46)
Unsatisfactory	4% (2)	8% (4)	12% (6)
All rated projects	77% (40)	23% (12)	100% (52)

Annex E: TE Submission by region for UNDP

Region	Project Size	Pilot Phase	GEF-1	GEF-2	GEF-3
Africa	FSP	93% (15)	92% (13)	83% (12)	64% (36)
	MSP	-	100% (3)	82% (11)	58% (31)
Asia	FSP	75% (16)	82% (17)	95% (22)	88% (32)
	MSP	-	-	90% (20)	45% (31)
ECA	FSP	67% (3)	100% (6)	73% (11)	100% (23)
	MSP	-	-	100% (13)	88% (25)
LAC	FSP	93% (14)	73% (11)	89% (18)	86% (22)
	MSP	-	-	100% (14)	41% (27)
Global	FSP	67% (6)	100% (4)	67% (3)	86% (7)
	MSP	-	-	0% (3)	56% (9)
Total		83% (54)	87% (54)	87% (127)	70% (243)

Annex F: FY2017 Cohort

GEF ID	Name	Agency	Country	GEF funding (mil \$)	Focal Area	Fund	Phase	Outcome	Sustainability	Source
6	Hydrogen Fuel Cell Buses for Urban Transport	UNDP	Brazil	12.27	CC	GET	GEF - 2	MS	ML	IAEO
12	Hybrid Solar Thermal Power Plant	WB	Mexico	49.35	CC	GET	GEF - 2	U	MU	IAEO
71	In-Situ Conservation of Genetic Biodiversity	WB	Turkey	5.10	BD	GET	Pilot Phase	S	UA	IAEO
614	Demonstrations of Innovative Approaches to the Rehabilitation of Heavily Contaminated Bays in the Wider Caribbean	UNDP	Regional	6.91	IW	GET	GEF - 2	MS	L	IAEO
1025	In Situ/On Farm Conservation and Use of Agricultural Biodiversity (Horticultural Crops and Wild Fruit Species) in Central Asia	UNEP	Regional	5.72	BD	GET	GEF - 3	HS	L	IAEO
1156	Mainstreaming Conservation and Sustainable Use of Medicinal Plant Diversity in Three Indian States	UNDP	India	4.94	BD	GET	GEF - 3	MS	MU	IAEO
1199	Removal of Barriers to Biomass Power Generation, Part I	UNDP	India	5.65	CC	GET	GEF - 3	NR	U	IAEO
1322	Conservation of Biodiversity in the Central Zagros Landscape Conservation Zone	UNDP	Iran	3.80	BD	GET	GEF - 3	U	MU	IAEO
1356	Forest Sector Development Project	WB	Viet Nam	9.00	BD	GET	GEF - 3	MS	ML	IAEO
1505	Namib Coast Biodiversity Conservation and Management (NACOMA)	WB	Namibia	4.90	BD	GET	GEF - 3	S	MU	IAEO
1607	Increased Access to Electricity Services	WB	Zambia	4.50	CC	GET	GEF - 3	MS	MU	IAEO
1900	Large Scale Renewable Energy Development Project	WB	Mexico	25.00	CC	GET	GEF - 3	S	ML	IAEO
1904	Small Scale Hydro Power Development in Haiti	UNDP	Haiti	0.98	CC	GET	GEF - 4	U	L	IAEO
2000	Environmental Business Finance Program (EBFP)	WB	Global	20.00	MF	GET	GEF - 3	MS	UA	GEFIO
2108	Philippines Sustainable Energy Finance Program	WB	Philippines	5.30	CC	GET	GEF - 3	S	ML	GEFIO
2132	WB-GEF MED Neretva and Trebisnjica Management Project - under Investment Fund for the Mediterranean Sea LME Partnership	WB	Regional	8.00	MF	GET	GEF - 3	MS	ML	IAEO
2139	SIP: Transboundary Agro-Ecosystem Management Programme for the Kagera River Basin (Kagera TAMP)	FAO	Regional	6.36	LD	GET	GEF - 4	MS	ML	GEFIO
2354	Forest Protection and Reforestation	WB	Kazakhstan	5.00	LD	GET	GEF - 3	MS	MU	IAEO

GEF ID	Name	Agency	Country	GEF funding (mil \$)	Focal Area	Fund	Phase	Outcome	Sustainability	Source
2355	Agricultural Productivity and Sustainable Land Management	WB	Kenya	10.00	LD	GET	GEF - 3	MU	U	IAEO
2369	PRC-GEF Partnership: An IEM Approach to the Conservation of Biodiversity in Dryland Ecosystems - under the PRC-GEF Partnership on Land Degradation in Dryland Ecosystem Program	IFAD	China	4.55	MF	GET	GEF - 4	S	L	GEFIEO
2379	Sustainable Management of Arid and Semi-arid Ecosystems to Combat Desertification in Patagonia (resubmission)	UNDP	Argentina	5.18	LD	GET	GEF - 3	MS	UA	IAEO
2450	Rio Grande Do Sul Biodiversity Conservation	WB	Brazil	5.00	BD	GET	GEF - 4	S	ML	IAEO
2472	Strengthening Capacity to Control the Introduction and Spread of Alien Invasive Species	UNDP	Sri Lanka	1.83	BD	GET	GEF - 4	MS	MU	IAEO
2555	Promotion of a Wind Power Market	WB	Jordan	6.00	CC	GET	GEF - 3	MS	L	IAEO
2596	Ghana Urban Transport	WB	Ghana	7.00	CC	GET	GEF - 3	U	MU	IAEO
2611	Integrated Energy Services for Small Localities of Rural Mexico	WB	Mexico	15.00	CC	GET	GEF - 3	MU	MU	IAEO
2613	Supporting Country Early Action on Protected Areas (resubmission from Feb 2006 IWP)	UNDP	Global	9.40	BD	GET	GEF - 3	HS	UA	IAEO
2641	Sustainable Cerrado Initiative	WB	Brazil	13.00	BD	GET	GEF - 3	MU	MU	IAEO
2687	Improvement of Management Effectiveness in the Maya Biosphere Reserve (MBR)	IDB	Guatemala	3.66	BD	GET	GEF - 4	MU	U	GEFIEO
2690	SFM Improving the Conservation of Biodiversity in Atlantic Forest of Eastern Paraguay	WB	Paraguay	4.50	MF	GET	GEF - 4	MS	ML	IAEO
2699	Pacific Islands Greenhouse Gas Abatement through Renewable Energy Project (PIGGAREP)	UNDP	Regional	5.23	CC	GET	GEF - 3	MU	MU	IAEO
2754	Biodiversity Conservation in Productive Forestry Landscapes	WB	Argentina	7.00	BD	GET	GEF - 3	MU	ML	IAEO
2820	Supporting the Development and Implementation of Access and Benefit Sharing Policies in Africa	UNEP	Regional	1.18	BD	GET	GEF - 4	MS	ML	IAEO
2844	Energy Efficiency Improvements in the Indian Brick Industry	UNDP	India	0.70	CC	GET	GEF - 4	MU	MU	IAEO
2881	Integrated Management of Marine and Coastal Resources in Puntarenas	IDB	Costa Rica	3.00	BD	GET	GEF - 4	MU	MU	GEFIEO
2929	Reducing Conflicting Water Uses in the Artibonite River	UNDP	Regional	3.08	MF	GET	GEF - 4	S	MU	IAEO

GEF ID	Name	Agency	Country	GEF funding (mil \$)	Focal Area	Fund	Phase	Outcome	Sustainability	Source
	Basin through Development and Adoption of a Multi-focal Area Strategic Action Programme									
2934	SFM Catalyzing the Contribution of Indigenous Lands to the Conservation of Brazil's Forest Ecosystems	UNDP	Brazil	6.00	BD	GET	GEF - 4	S	MU	IAEO
2939	Solar Water Heating Market Transformation and Strengthening Initiative, Phase 1	UNDP	Global	12.00	CC	GET	GEF - 3	MS	ML	IAEO
2942	Promote Energy Efficiency in Buildings	UNDP	Turkey	2.62	CC	GET	GEF - 4	NR	UA	IAEO
2948	Biodiversity Conservation Project	WB	Sierra Leone	5.00	BD	GET	GEF - 3	MS	MU	IAEO
2950	Lighting the "Bottom of the Pyramid"	WB	Regional	5.40	CC	GET	GEF - 3	UA	ML	GEFIO
2970	DBSB: Integrated Nutrient Pollution Control Project-under the WB-GEF Investment Fund for Nutrient Reduction in the Danube River and Black Sea	WB	Romania	5.50	IW	GET	GEF - 2	MS	ML	IAEO
2972	WB/GEF POL: Liaoning Medium Cities Infrastructure - under WB/GEF Partnership Investment Fund for Pollution Reduction in the LME of East Asia	WB	China	5.00	IW	GET	GEF - 3	MS	MU	IAEO
3000	SFM: Sustainable Management of the Miombo Woodland Resources of Western Tanzania	UNDP	Tanzania	2.75	MF	GET	GEF - 4	S	ML	IAEO
3021	Mainstreaming Biodiversity Conservation into the Operation of the Tourism and Fisheries Sectors in the Archipelagos of Panama	UNDP	Panama	1.73	BD	GET	GEF - 4	U	MU	IAEO
3091	Market Transformation of Energy-Efficient Bricks and Rural Buildings (MTEBRB)	UNDP	China	7.00	CC	GET	GEF - 4	S	L	IAEO
3103	Climate-resilient Infrastructure in Northern Mountain Province of Viet Nam	ADB	Viet Nam	3.40	CC	SCCF	GEF - 4	MU	ML	IAEO
3159	Adaptation to Climate Change Impacts on the Coastal Wetlands	WB	Mexico	4.50	CC	SCCF	GEF - 4	MS	ML	IAEO
3218	Integrating Climate Change into the Management of Priority Health Risks	UNDP	Ghana	1.72	CC	SCCF	GEF - 4	MU	ML	IAEO
3223	WB/GEF POL: Shanghai Agricultural and Non-Point Pollution Reduction project (SANPR) - under WB/GEF Strategic Partnership Investment Fund for Pollution	WB	China	4.79	IW	GET	GEF - 4	MS	ML	IAEO

GEF ID	Name	Agency	Country	GEF funding (mil \$)	Focal Area	Fund	Phase	Outcome	Sustainability	Source
	Reduction in the LME of East Asia									
3232	CACILM: Partnership Framework - Land Improvement Project	ADB	Uzbekistan	3.00	LD	GET	GEF - 3	MS	ML	GEFIO
3234	CACILM: Rural Development Project under CACILM Partnership Framework, Phase I	ADB	Tajikistan	3.50	LD	GET	GEF - 3	MU	MU	GEFIO
3241	Sustainable Urban Transport Project	WB	India	22.50	CC	GET	GEF - 4	MS	ML	IAEO
3263	Strengthening Institutions, Regulations and Enforcement Capacities for Effective and Efficient Implementation of the National Implementation Plan (NIP) in China	UNIDO	China	5.41	Chem	GET	GEF - 4	S	ML	GEFIO
3269	Environmentally Sound Management and Disposal of PCBs in Argentina	UNDP	Argentina	3.40	Chem	GET	GEF - 4	MS	ML	IAEO
3276	Promoting Sustainable Land Management in Las Bambas	UNDP	Peru	4.00	LD	GET	GEF - 4	S	MU	IAEO
3287	Community Based Adaptation to Climate Change through Coastal Afforestation	UNDP	Bangladesh	3.30	CC	LDCF	GEF - 4	HS	L	IAEO
3321	Mainstreaming Groundwater Considerations into the Integrated Management of the Nile River Basin	UNDP	Regional	1.00	IW	GET	GEF - 4	U	MU	IAEO
3359	Promoting Renewable Energy in Mae Hong Son Province	UNDP	Thailand	2.71	CC	GET	GEF - 4	MU	ML	IAEO
3362	SIP: Catchments and Landscape Management	IFAD	Eritrea	4.35	LD	GET	GEF - 4	MS	MU	GEFIO
3364	SIP: Sustainable Land Management Pilot Project	UNDP	Eritrea	1.82	LD	GET	GEF - 4	MU	MU	IAEO
3370	SIP: Mainstreaming Sustainable Land Management in Agropastoral Production Systems of Kenya	UNDP	Kenya	3.03	LD	GET	GEF - 4	S	ML	IAEO
3396	SIP: Improving Policy and Practice Interaction through Civil Society Capacity Building	UNDP	Regional	1.74	LD	GET	GEF - 4	MS	U	IAEO
3408	Implementing NAPA Priority Interventions to Build Resilience in the most Vulnerable Coastal Zones in Djibouti	UNEP	Djibouti	2.07	CC	LDCF	GEF - 4	MU	U	IAEO
3445	SFM: Integrated Community-based Forest and Catchment Management through an Ecosystem Service Approach (CBFCM)	UNDP	Thailand	1.76	MF	GET	GEF - 4	MU	MU	IAEO
3517	Catalyzing Sustainability of Thailand's Protected Area System	UNDP	Thailand	3.36	BD	GET	GEF - 4	MS	ML	IAEO

GEF ID	Name	Agency	Country	GEF funding (mil \$)	Focal Area	Fund	Phase	Outcome	Sustainability	Source
3539	Pakistan Sustainable Transport Project	UNDP	Pakistan	4.80	CC	GET	GEF - 4	MU	ML	IAEO
3543	Environmentally Sound Management and Disposal of PCBs	UNIDO	Azerbaijan	2.12	Chem	GET	GEF - 4	MS	MU	GEFIEO
3548	Marine and Coastal Biodiversity Conservation	IDB	Ecuador	4.00	BD	GET	GEF - 4	U	U	GEFIEO
3554	IND: Improving Energy Efficiency in the Indian Railway System - under the Programmatic Framework for Energy Efficiency	UNDP	India	5.20	CC	GET	GEF - 4	MU	L	IAEO
3599	Promoting and Strengthening an Energy Efficiency Market in the Industry Sector	IDB	Chile	2.64	CC	GET	GEF - 4	MS	ML	GEFIEO
3603	Removing Barriers Hindering PA Management Effectiveness in Viet Nam	UNDP	Viet Nam	3.54	BD	GET	GEF - 4	S	ML	IAEO
3607	Application of a Regional Approach to the Management of Marine and Coastal Protected Areas in Cuba's Southern Archipelagos	UNDP	Cuba	5.71	BD	GET	GEF - 4	S	L	IAEO
3608	PRC-GEF Partnership: Sustainable Development in Poor Rural Areas	WB	China	4.27	MF	GET	GEF - 4	MS	MU	IAEO
3611	PRC-GEF Partnership: Mainstreaming Biodiversity Protection within the Production Landscapes and Protected Areas of the Lake Aibi Basin	WB	China	2.98	MF	GET	GEF - 4	S	ML	IAEO
3616	Establishing a Financially Sustainable National Protected Areas System	UNDP	Haiti	2.63	BD	GET	GEF - 4	MU	MU	IAEO
3619	CTI Strategies for Fisheries Bycatch Management	FAO	Regional	3.00	IW	GET	GEF - 4	MS	L	GEFIEO
3626	PAS: The Micronesia Challenge : Sustainable Finance Systems for Island Protected Area Management - under the GEF Pacific Alliance for Sustainability	UNEP	Regional	5.45	BD	GET	GEF - 4	S	ML	IAEO
3637	SFM Transforming Management of Biodiversity-rich Community Production Forests through Building National Capacities for Market-based Instruments - under the Sustainable Forest Management Program	UNDP	Mexico	6.90	BD	GET	GEF - 4	S	ML	IAEO
3643	BS Completion and Strengthening of the Cuban National Biosafety Framework for the Effective	UNEP	Cuba	0.90	BD	GET	GEF - 4	S	L	IAEO

GEF ID	Name	Agency	Country	GEF funding (mil \$)	Focal Area	Fund	Phase	Outcome	Sustainability	Source
	Implementation of the Cartagena Protocol									
3658	RUS: Transforming the Market for Efficient Lighting	UNDP	Russian Federation	7.02	CC	GET	GEF - 4	S	ML	IAEO
3664	PAS: Prevention, Control and Management of Invasive Alien Species in the Pacific Islands	UNEP	Regional	3.03	BD	GET	GEF - 4	S	L	IAEO
3687	Madagascar's Network of Managed Resource Protected Areas	UNDP	Madagascar	6.00	BD	GET	GEF - 4	S	ML	IAEO
3694	Increasing Resilience of Coastal Areas and Community Settlements to Climate Change	UNDP	Tuvalu	3.30	CC	LDCF	GEF - 4	MU	MU	IAEO
3700	Promoting Energy Efficient Room Air Conditioners (PEERAC) Project	UNDP	China	6.26	CC	GET	GEF - 4	S	L	IAEO
3703	Increased Resilience and Adaptation to Adverse Impacts of Climate Change in Guinea's Vulnerable Coastal Zones	UNDP	Guinea	2.97	CC	LDCF	GEF - 4	MU	MU	IAEO
3709	Environmentally Sound Management and Disposal of PCBs	UNIDO	Peru	2.58	Chem	GET	GEF - 4	S	ML	GEFIO
3724	Transforming the Market for Efficient Lighting	UNDP	Ukraine	6.50	CC	GET	GEF - 4	MS	MU	IAEO
3725	WB/GEF MED: Coastal Cities Pollution Control (APL 2)	WB	Croatia	6.40	IW	GET	GEF - 3	S	L	IAEO
3732	Demonstration of BAT and BEP in Fossil Fuel-fired Utility and Industrial Boilers in Response to the Stockholm Convention on POPs	UNIDO	Regional	4.00	Chem	GET	GEF - 4	MS	ML	GEFIO
3733	Strengthening Adaptive Capacities to Address Climate Change Threats on Sustainable Development Strategies for Coastal Communities in Haiti	UNDP	Haiti	3.50	CC	LDCF	GEF - 4	S	MU	IAEO
3736	Mainstreaming Agro-biodiversity Conservation into the Farming Systems of Ethiopia	UNDP	Ethiopia	3.86	BD	GET	GEF - 4	MS	ML	IAEO
3737	Namibia Protected Landscape Conservation Areas Initiative (NAM PLACE)	UNDP	Namibia	4.50	BD	GET	GEF - 4	S	ML	IAEO
3745	Improving the Coverage and Management Efficiency of Protected Areas in the Steppe Biome of Russia	UNDP	Russian Federation	5.30	BD	GET	GEF - 4	S	ML	IAEO
3747	Improving Energy Efficiency in Industry	UNDP	Turkey	5.90	CC	GET	GEF - 4	MS	ML	IAEO
3753	Sustainable Financing of the Protected Area System in Mozambique	UNDP	Mozambique	4.85	BD	GET	GEF - 4	MS	ML	IAEO

GEF ID	Name	Agency	Country	GEF funding (mil \$)	Focal Area	Fund	Phase	Outcome	Sustainability	Source
3760	SPWA-BD: Integrating the Sustainable Management of Faunal Corridors into Niger's Protected Area System	UNDP	Niger	1.77	BD	GET	GEF - 4	MS	MU	IAEO
3764	Strengthening the Operational and Financial Sustainability of the National Protected Area System	UNDP	Jamaica	2.77	BD	GET	GEF - 4	MU	U	IAEO
3770	SPWA-BD: Incorporation of Sacred Forests into the Protected Areas System of Benin	UNDP	Benin	0.95	BD	GET	GEF - 4	MS	MU	IAEO
3772	CBSP Forest and Nature Conservation Project	WB	Congo DR	6.00	BD	GET	GEF - 4	U	U	IAEO
3773	Support to the Madagascar Foundation for Protected Areas and Biodiversity (through Additional Financing to the Third Environment Support Program Project (EP3)	WB	Madagascar	10.00	BD	GET	GEF - 4	MU	U	IAEO
3776	Enhancing Adaptive Capacity and Resilience to Climate Change in the Agriculture Sector in Mali	UNDP	Mali	2.34	CC	LDCF	GEF - 4	S	ML	IAEO
3781	SPWA-BD: Evolution of PA systems with regard to climate change in the West Africa Region	UNEP	Regional	3.54	BD	GET	GEF - 4	MS	U	IAEO
3791	Energy Efficiency Standards and Labels in Peru	UNDP	Peru	2.00	CC	GET	GEF - 4	S	ML	IAEO
3794	SPWA-CC: Promoting Energy Efficiency in Residential and Public Sector in Nigeria	UNDP	Nigeria	2.68	CC	GET	GEF - 4	S	ML	IAEO
3796	SPWA-CC: Integration of Greenhouse Gas Emission Reductions in Niger's Rural Energy Service Access Program	UNDP	Niger	1.77	CC	GET	GEF - 4	MU	MU	IAEO
3804	Less Burnt for a Clean Earth: Minimization of Dioxin Emission from Open Burning Sources	UNDP	Nigeria	4.15	Chem	GET	GEF - 4	S	ML	IAEO
3807	Project for Ecosystem Services (ProEcoServ)	UNEP	Global	6.30	BD	GET	GEF - 4	S	ML	IAEO
3819	PAS: Forestry and Protected Area Management	FAO	Regional	6.28	BD	GET	GEF - 4	MS	ML	GEFIEO
3824	Sino-Singapore Tianjin Eco-City Project (SSTCP)	WB	China	6.16	CC	GET	GEF - 4	MS	U	IAEO
3829	Sustainable Financing of Ecuador's National System of Protected Areas (SNAP) and Associated Private and Community-managed PA Subsystems	UNDP	Ecuador	6.40	BD	GET	GEF - 4	MU	MU	IAEO

GEF ID	Name	Agency	Country	GEF funding (mil \$)	Focal Area	Fund	Phase	Outcome	Sustainability	Source
3844	Sustainable Rural Biomass Energy	UNDP	Bhutan	1.70	CC	GET	GEF - 4	S	MU	IAEO
3855	Strengthening the Implementation of Access to Genetic Resources and Benefit-Sharing Regimes in Latin America and the Caribbean	UNEP	Regional	0.85	BD	GET	GEF - 4	S	L	IAEO
3857	Adapting Water Resource Management in Comoros to Increase Capacity to Cope with Climate Change	UNDP	Comoros	3.74	CC	LDCF	GEF - 4	MS	ML	IAEO
3859	CTI: Partnerships for Biodiversity Conservation: Mainstreaming in Local Agricultural Landscapes	UNDP	Philippines	4.50	BD	GET	GEF - 4	MU	MU	IAEO
3860	Save Our Species	WB	Global	4.90	BD	GET	GEF - 4	U	MU	IAEO
3863	Mainstreaming Biodiversity Management into Fisheries and Tourism Activities carried out in Coastal /Marine Ecosystems	UNDP	El Salvador	2.35	BD	GET	GEF - 4	MU	ML	IAEO
3865	Strengthening the Marine and Coastal Protected Areas System	UNDP	Venezuela	7.45	BD	GET	GEF - 4	MS	MU	IAEO
3867	Improving Effectiveness of Protected Areas to Conserve Biodiversity in Burundi	UNDP	Burundi	0.86	BD	GET	GEF - 4	MU	U	IAEO
3875	Promoting Sustainable Energy in the Bahamas	IDB	Bahamas	1.000	CC	GET	GEF - 4	MU	ML	GEFIEO
3883	Safe PCB Management Programme in Morocco, Pillar II	UNIDO	Morocco	2.44	Chem	GET	GEF - 4	MS	ML	GEFIEO
3888	The Global Fuel Economy Initiative	UNEP	Global	0.98	CC	GET	GEF - 4	MS	L	IAEO
3890	Vulnerability Assessment and Adaptation Programme for Climate Change in the Coastal Zone of Cambodia Considering Livelihood Improvement and Ecosystems	UNEP	Cambodia	1.64	CC	LDCF	GEF - 4	S	MU	IAEO
3891	Sustainable Energy Framework for Barbados	IDB	Barbados	1.000	CC	GET	GEF - 4	MS	MU	GEFIEO
3897	PAS: Phoenix Islands Protected Area (PIPA)	UNEP	Kiribati	0.87	BD	GET	GEF - 4	MS	L	IAEO
3907	Technology Needs Assessments	UNEP	Global	8.18	CC	SCCF	GEF - 4	S	L	IAEO
3932	Mainstreaming Biodiversity in Silvo-Pastoral and Rangeland Landscapes in the Pockets of Poverty of Jordan	IFAD	Jordan	1.00	BD	GET	GEF - 4	MS	ML	GEFIEO
3934	Reducing Disaster Risks from Wildfire Hazards Associated with Climate Change	UNDP	South Africa	3.54	CC	SCCF	GEF - 4	MS	ML	IAEO

GEF ID	Name	Agency	Country	GEF funding (mil \$)	Focal Area	Fund	Phase	Outcome	Sustainability	Source
3945	Catalyzing Financial Sustainability of Armenia's Protected Areas System	UNDP	Armenia	0.99	BD	GET	GEF - 4	MU	ML	IAEO
3949	Ensuring Sufficiency and Predictability of Revenues for the Protected Areas Systems	UNDP	Georgia	1.00	BD	GET	GEF - 4	MS	ML	IAEO
3953	Wind Hybrid Power Generation (WHyPGen) Marketing Development Initiatives	UNDP	Indonesia	2.16	CC	GET	GEF - 4	MU	ML	IAEO
3955	Enhancing the Prevention, Control and Management of Invasive Alien Species in Vulnerable Ecosystems	UNDP	Cuba	5.02	BD	GET	GEF - 4	S	ML	IAEO
3956	Consolidating Costa Rica's Marine Protected Areas (MPAs)	UNDP	Costa Rica	1.21	BD	GET	GEF - 4	S	MU	IAEO
3957	Removing Barriers to Invasive Species Management in Production and Protection Forests in SE Asia	UNEP	Regional	3.08	BD	GET	GEF - 4	S	ML	IAEO
3965	Strengthening the Protected Area Network in Southern Tanzania: Improving the Effectiveness of National Parks in Addressing Threats to Biodiversity	UNDP	Tanzania	5.30	BD	GET	GEF - 5	MS	MU	IAEO
3967	Integrating Climate Change in the Implementation of the Plan Maroc Vert Project	WB	Morocco	4.35	CC	SCCF	GEF - 4	MS	MU	IAEO
3973	Armenia Energy Efficiency Project	WB	Armenia	1.82	CC	GET	GEF - 4	HS	ML	IAEO
3978	MED: Regional Coordination on Improved Water Resources Management and Capacity Building Horizontal Adaptable Programmatic Programme (H-APL)(TA)	WB	Global	5.64	IW	GET	GEF - 4	S	ML	IAEO
3991	MED: Enhanced Water Resources Management	WB	Egypt	6.68	IW	GET	GEF - 4	S	MU	IAEO
3992	CBPF: Strengthening the Effectiveness of the Protected Area System in Qinghai Province	UNDP	China	5.35	BD	GET	GEF - 4	S	ML	IAEO
3997	Improving Coverage and Management Effectiveness of Marine and Coastal Protected Areas	UNDP	Albania	0.95	BD	GET	GEF - 4	MS	ML	IAEO
3999	Third National Communication to the UNFCCC	UNDP	Brazil	5.72	CC	GET	GEF - 4	S	L	IAEO
4013	Sustainable Transport in the City Of Almaty	UNDP	Kazakhstan	4.89	CC	GET	GEF - 4	MS	ML	IAEO
4023	PAS: Implementing the Island Biodiversity Programme of Work by Integrating the Conservation Management of Island Biodiversity	UNEP	Regional	1.74	BD	GET	GEF - 4	S	L	IAEO

GEF ID	Name	Agency	Country	GEF funding (mil \$)	Focal Area	Fund	Phase	Outcome	Sustainability	Source
4092	WB/GEF POL: Huai River Basin Marine Pollution Reduction	WB	China	5.00	IW	GET	GEF - 4	U	U	IAEO
4097	LGGE Improving Energy Efficiency in the Residential Building Sector	UNDP	Turkmenistan	2.52	CC	GET	GEF - 4	S	L	IAEO
4099	Removal of Barriers to Solar PV Power Generation in Mauritius, Rodrigues and the Outer Islands	UNDP	Mauritius	2.01	CC	GET	GEF - 4	S	ML	IAEO
4100	PCB Management and Disposal Project	WB	Nigeria	6.30	Chem	GET	GEF - 4	HU	U	IAEO
4109	China Energy Efficiency Promotion in Industry	WB	China	4.00	CC	GET	GEF - 4	MS	ML	IAEO
4129	TT-Pilot (GEF-4)- Green Truck Demonstration Project	WB	China	4.20	CC	GET	GEF - 4	MS	L	IAEO
4133	SPWA-CC: Energy Efficiency Project	WB	Burundi	1.82	CC	GET	GEF - 4	MS	MU	IAEO
4134	Market Development and Promotion of Solar Concentrators based Process Heat Applications in India	UNDP	India	4.40	CC	GET	GEF - 4	S	MU	IAEO
4135	Mechanism for Voluntary Mitigation of Greenhouse Gas Emissions in Colombia	IDB	Colombia	2.70	CC	GET	GEF - 4	S	ML	GEFIEO
4138	Catalytic Investments for Geothermal Power	IDB	Colombia	2.73	CC	GET	GEF - 4	S	ML	GEFIEO
4152	Rural Electrification Phase II	WB	Lao PDR	1.82	CC	GET	GEF - 4	MS	ML	GEFIEO
4156	Eco-Transport in City Clusters: Model Development & Pilots	WB	China	4.80	CC	GET	GEF - 4	S	ML	IAEO
4163	TT-Pilot (GEF-4): Piloting of Concentrating Solar Power Technology Transfer for Electricity Generation in Namibia (NAM CSP TT)	UNDP	Namibia	1.72	CC	GET	GEF - 4	MU	ML	IAEO
4164	TT-Pilot (GEF-4): Technology Transfer for Grid-Connected Rooftop Photovoltaic Systems	UNDP	Seychelles	1.16	CC	GET	GEF - 4	HS	L	IAEO
4166	LGGE Promotion of Energy Efficient Lighting in Kazakhstan	UNDP	Kazakhstan	3.40	CC	GET	GEF - 4	S	ML	IAEO
4188	Technology Need Assessment on Climate Change	WB	China	5.00	CC	GET	GEF - 4	MS	ML	IAEO
4191	Promoting Ecotourism to Strengthen the Financial Sustainability of the Guatemalan Protected Areas System (SIGAP)	UNDP	Guatemala	1.30	BD	GET	GEF - 4	S	ML	IAEO
4194	Biogas Generation from Animal Manure Pilot Project	WB	Moldova	0.98	CC	GET	GEF - 4	MS	ML	GEFIEO
4222	Promoting Autonomous Adaptation at the community level in Ethiopia	UNDP	Ethiopia	5.31	CC	LDCF	GEF - 4	HS	ML	IAEO
4224	GEO: Turkey Geofund	WB	Turkey	10.00	CC	GET	GEF - 3	U	MU	GEFIEO

GEF ID	Name	Agency	Country	GEF funding (mil \$)	Focal Area	Fund	Phase	Outcome	Sustainability	Source
4255	To Promote the Implementation of National and Transboundary Integrated Water Resource Management that is Sustainable and Equitable Given Expected Climate Change.	UNDP	Swaziland	1.67	CC	SCCF	GEF - 4	S	ML	IAEO
4257	The GEF Earth Fund: IFC Earth Fund Platform	WB	Global	30.00	MF	GET	GEF - 4	S	UA	GEFIEO
4260	The GEF Earth Fund: Public-Private Funding Mechanisms for Watershed Protection	WB	Regional	5.00	BD	GET	GEF - 4	S	ML	GEFIEO
4261	Integrating climate change risks into water and flood management by vulnerable mountainous communities in the Greater Caucasus region of Azerbaijan	UNDP	Azerbaijan	2.70	CC	SCCF	GEF - 4	MU	MU	IAEO
4330	Strengthening National Frameworks for IAS Governance - Piloting in Juan Fernandez Archipelago	UNDP	Chile	4.00	BD	GET	GEF - 5	MS	ML	IAEO
4415	Capacity Building for the Early Entry into Force of the Protocol on Access and Benefit Sharing	UNEP	Global	0.94	BD	GET	GEF - 5	S	ML	IAEO
4431	Increasing Climate Change Resilience of Maldives through Adaptation in the Tourism Sector	UNDP	Maldives	1.65	CC	LDCF	GEF - 5	MS	MU	IAEO
4442	NIP Update, Integration of POPs into National Planning and Promoting Sound Healthcare Waste Management in Kazakhstan	UNDP	Kazakhstan	3.40	Chem	GET	GEF - 5	S	ML	IAEO
4669	Namibian Coast Conservation and Management Project	WB	Namibia	1.93	MF	GET	GEF - 5	S	MU	IAEO
4799	Implementing Integrated Measures for Minimizing Mercury Releases from Artisanal Gold Mining	UNIDO	Regional	1.00	MF	GET	GEF - 5	MS	MU	GEFIEO
4842	Strengthening the Institutional and Financial Sustainability of the National Protected Area System	UNDP	Croatia	4.95	BD	GET	GEF - 5	S	ML	IAEO
4844	Improving the Coverage and Management Effectiveness of PAs in the Central Tian Shan Mountains	UNDP	Kyrgyz Republic	0.95	BD	GET	GEF - 5	S	L	IAEO
4962	Pilot project on the development of a mercury inventory in China	UNEP	China	1.00	Chem	GET	GEF - 5	S	L	IAEO
5002	Strengthening Climate Information and Early Warning Systems in Western and Central Africa for Climate Resilient	UNDP	Benin	4.00	CC	LDCF	GEF - 5	MS	ML	IAEO

GEF ID	Name	Agency	Country	GEF funding (mil \$)	Focal Area	Fund	Phase	Outcome	Sustainability	Source
	Development and Adaptation to Climate Change									
5101	Strengthened Environmental Management Information System for Coastal Development to Meet Rio Convention Objectives	UNDP	Cote d'Ivoire	0.55	MF	GET	GEF - 5	S	ML	IAEO
5114	Securing Energy Efficiency in the Ecuadorian Residential and Public Sectors (SECURE)	UNDP	Ecuador	1.78	CC	GET	GEF - 5	S	ML	IAEO
5145	GEF UNIDO Cleantech Programme for SMEs	UNIDO	Armenia	0.55	CC	GET	GEF - 5	MS	ML	GEFIEO
5160	The Development and Production of Natural Dyes in the Choco Region of Colombia for the Food, Cosmetics and Personal Care Industries Under the Provisions of the Nagoya Protocol	UNDP	Colombia	0.98	BD	NPIF	GEF - 5	S	L	IAEO
5216	Improve the Health and Environment of Artisanal Gold Mining Communities in the Philippines by Reducing Mercury Emissions	UNIDO	Philippines	0.55	Chem	GET	GEF - 5	S	ML	GEFIEO
5236	Strengthening Capacity for an Environmental Information Management and Monitoring System in Tajikistan	UNDP	Tajikistan	0.70	MF	GET	GEF - 5	MS	ML	IAEO
5323	Reduce Exposure of Mercury to Human Health and the Environment by Promoting Sound Chemical Management in Mongolia	UNIDO	Mongolia	0.60	Chem	GET	GEF - 5	S	ML	GEFIEO
5496	Preparatory Project to Facilitate the Implementation of the Legally Binding Instrument on Mercury (Minamata Convention) in Argentina to Protect Health and the Environment	UNIDO	Argentina	0.35	Chem	GET	GEF - 5	S	UA	GEFIEO
5656	Parks, People, Planet: Protected Areas as Solutions to Global Challenges	UNDP	Global	1.83	BD	GET	GEF - 5	S	ML	IAEO
6982	Enhancing Capacity to Develop Global and Regional Environmental Projects in the Pacific	UNDP	Regional	1.00	MF	GET	GEF - 6	MS	ML	IAEO

Annex G. Sustainability Study Cohort

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

GEF ID	Name	Agency	Country	GEF funding (mil \$)	Focal Area	Fund	Phase	Outcome	Sustainability
115	Phaseout of Ozone Depleting Substances	WB	Poland	6.2	Chem	GET	GEF - 1	NR	NR
134	Cape Peninsula Biodiversity Conservation Project	WB	South Africa	12.3	BD	GET	GEF - 1	HS	L
192	Integrated Management of Jigme Dorji National Park	UNDP	Bhutan	1.5	BD	GET	GEF - 1	MS	ML
292	Capacity Building to Reduce Key Barriers to Energy Efficiency in Russian Residential Buildings and Heat Supply	UNDP	Russian Federation	3.0	CC	GET	GEF - 1	S	ML
325	Coal Bed Methane Capture and Commercial Utilization	UNDP	India	9.2	CC	GET	GEF - 1	MS	L
344	Lithuania Phase out of Ozone Depleting Substances	UNDP	Lithuania	4.4	Chem	GET	GEF - 1	S	L
351	A Dynamic Farmer-Based Approach to the Conservation of African Plant Genetic Resources	UNDP	Ethiopia	2.5	BD	GET	Pilot Phase	S	L
358	Sustainable Development and Management of Biologically Diverse Coastal Resources	UNDP	Belize	3.0	BD	GET	Pilot Phase	MS	MU
370	Development of High Rate BioMethanation Processes as Means of Reducing Greenhouse Gas Emissions	UNDP	India	5.5	CC	GET	Pilot Phase	S	ML
386	Optimizing Development of Small Hydel Resources in Hilly Areas	UNDP	India	7.5	CC	GET	Pilot Phase	MS	MU
404	Energy Efficiency	WB	India	5.0	CC	GET	GEF - 1	S	L
445	Barrier Removal for the Widespread Commercialization of Energy-Efficient CFC-Free Refrigerators in China	UNDP	China	9.6	CC	GET	GEF - 1	HS	ML
446	Renewable Energy Development	WB	China	35.0	CC	GET	GEF - 1	S	L
593	Programme for Phasing Out Ozone Depleting Substances	UNDP	Turkmenistan	0.4	Chem	GET	GEF - 2	MU	U
631	Conservation and Sustainable Use of Medicinal Plants	WB	Ethiopia	1.8	BD	GET	GEF - 2	S	ML
643	Renewable Energy for Agriculture	WB	Mexico	8.9	CC	GET	GEF - 2	S	ML
769	Programme for Phasing Out Ozone Depleting Substances	UNDP	Kazakhstan	5.4	Chem	GET	GEF - 2	MU	MU
784	Methane Capture and Use (Landfill Demonstration Project)	WB	Mexico	6.0	CC	GET	GEF - 2	S	L
818	Conservation of Globally Threatened Species in the Rainforests of Southwest Sri Lanka	UNDP	Sri Lanka	0.7	BD	GET	GEF - 2	S	ML

GEF ID	Name	Agency	Country	GEF funding (mil \$)	Focal Area	Fund	Phase	Outcome	Sustainability
837	Conservation and Sustainable Use of the Mesoamerican Barrier Reef	WB	Regional	11.0	BD	GET	GEF - 2	S	MU
878	Protected Areas and Wildlife Conservation Project	WB	Sri Lanka	10.2	BD	GET	GEF - 2	S	L
885	Reversing Environmental Degradation Trends in the South China Sea and Gulf of Thailand	UNEP	Regional	16.4	IW	GET	GEF - 2	S	ML
941	Demonstration of Fuel Cell Bus Commercialization in China (Phase II-Part I)	UNDP	China	5.8	CC	GET	GEF - 2	MS	L
945	National Protected Areas System	WB	Ecuador	8.0	BD	GET	GEF - 2	S	ML
1058	Pacific Islands Renewable Energy Programme (PIREP)	UNDP	Regional	0.7	CC	GET	GEF - 2	MS	L
1084	Caribbean: Mainstreaming Adaptation to Climate Change	WB	Regional	5.0	CC	GET	GEF - 2	MS	ML
1124	Integrated Participatory Ecosystem Management In and Around Protected Areas, Phase I	UNDP	Cabo Verde	3.6	BD	GET	GEF - 3	S	MU
1544	Rio de Janeiro Integrated Ecosystem Management in Production Landscapes of the North-Northwestern Fluminense	WB	Brazil	6.8	MFA	GET	GEF - 3	MU	ML
1682	Facilitating and Strengthening the Conservation Initiatives of Traditional Landholders and their Communities to Achieve Biodiversity Conservation Objectives	UNDP	Vanuatu	0.7	BD	GET	GEF - 3	NR	ML
1872	Community Agriculture and Watershed Management	WB	Tajikistan	4.5	MFA	GET	GEF - 3	MS	ML
2767	LAC Regional Sustainable Transport and Air Quality Project	WB	Regional	20.8	CC	GET	GEF - 3	MS	MU
3510	LDC/SIDS Portfolio Project: Capacity Building for Sustainable Land Management in Sierra Leone	UNDP	Sierra Leone	0.5	LD	GET	GEF - 3	NR	NR

Annex H: Terminal Evaluation Report Review Guidelines

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

H.1 Criteria for Outcome Ratings

2. Based on the information provided in the terminal evaluation report, the terminal evaluation review will make an assessment of the extent to which the project's major relevant objectives were achieved or are expected to be achieved¹⁸, relevance of the project results, and the project's cost-effectiveness. The ratings on the outcomes of the project will be based on performance on the following criteria:¹⁹

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

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

4. The reviewer of the terminal evaluation will provide a rating under each of the three criteria (relevance, effectiveness, and efficiency). Relevance of outcomes will be rated on a

¹⁸ *Objectives* are the intended physical, financial, institutional, social, environmental, or other development results to which a project or program is expected to contribute (OECD DAC 2002).

¹⁹ *Outcomes* are the likely or achieved short-term and medium-term effects of an intervention's outputs. Outputs are the products, capital goods, and services that result from a development intervention; these may also include changes resulting from the intervention that are relevant to the achievement of outcomes (OECD DAC 2002). For the GEF, environmental outcomes are the main focus.

binary scale: a 'satisfactory' or an 'unsatisfactory' rating will be provided. If an 'unsatisfactory' rating has been provided on this criterion, the overall outcome achievement rating may not be higher than "unsatisfactory". Effectiveness and Efficiency will be rated as following:

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

5. The calculation of the overall outcomes score of projects will consider all three criteria, of which relevance criterion will be applied first - the overall outcome achievement rating may not be higher than "unsatisfactory". The second constraint that is applied is that the overall outcome achievement rating may not be higher than the "effectiveness" rating. The third constraint that is applied is that the overall rating may not be higher than the average score of effectiveness and efficiency criteria calculated using the following formula:

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

6. In case the average score is lower than the score obtained after application of the first two constraints, then the average score will be the overall score. The score will then be converted into an overall rating with mid values being rounded up upwards.

H.2 Impacts

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

H.3 Criteria for Sustainability Ratings

8. Sustainability will be understood as the likelihood of continuation of project benefits after completion of project implementation (GEF 2000). To assess sustainability, the terminal

evaluation reviewer will identify and assess the key risks that could undermine continuation of benefits at the time of the evaluation. Some of these risks might include the absence of or inadequate financial resources, an enabling legal framework, commitment from key stakeholders, and enabling economy. The following four types of risk factors will be assessed by the terminal evaluation reviewer to rate the likelihood of sustainability of project outcomes: financial, sociopolitical, institutional frameworks and governance, and environmental.

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

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

10. The reviewer will provide a rating as follows:

- **Likely.** There are no risks affecting that criterion of sustainability.
- **Moderately likely.** There are moderate risks that affect that criterion of sustainability.

- **Moderately unlikely.** There are significant risks that affect that criterion of sustainability.
- **Unlikely.** There are severe risks affecting that criterion of sustainability.
- **Unable to assess.** Unable to assess risk on this dimension.
- **Not applicable.** This dimension is not applicable to the project.

H.4 Criteria for Assessment of Quality of Project M&E Systems

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

- (a) **M&E design.** Project should have a sound M&E plan to monitor results and track progress in achieving project objectives. An M&E plan should include a baseline (including data, methodology, and so on), SMART (specific, measurable, achievable, realistic, and timely) indicators and data analysis systems, and evaluation studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified. Questions to guide this assessment include: In retrospect, was the M&E plan at entry practicable and sufficient (sufficient and practical indicators identified; timely baseline; targets created; effective use of data collection; analysis systems including studies and reports; practical organization and logistics in terms of what, who, and when for M&E activities)?
- (b) **M&E plan implementation.** The M&E system was in place and allowed the timely tracking of results and progress toward project objectives throughout the project. Annual project reports were complete, accurate, and with well-justified ratings. The information provided by the M&E system was used to improve and adapt project performance. An M&E system should be in place with proper training for parties responsible for M&E activities to ensure that data will continue to be collected and used after project closure. Question to guide this assessment include: Did the project M&E system operate throughout the project? How was M&E information used during the project? Did it allow for tracking of progress toward project objectives? Did the project provide proper training for parties responsible for M&E activities to ensure data will continue to be collected and used after project closure?
- (c) **Other questions.** This includes questions on funding and whether the M&E system was a good practice.

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

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

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

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

Rating on the Quality of the Project Monitoring and Evaluation System = b

H.5 Criteria for Assessment of Quality of Terminal Evaluation Reports

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

- (a) The report presents an assessment of all relevant outcomes and achievement of project objectives in the context of the focal area program indicators if applicable.
- (b) The report was consistent, the evidence presented was complete and convincing, and ratings were well substantiated.
- (c) The report presented a sound assessment of sustainability of outcomes.
- (d) The lessons and recommendations are supported by the evidence presented and are relevant to the portfolio and future projects.

- (e) The report included the actual project costs (totals, per activity and per source) and actual co-financing used.
- (f) The report included an assessment of the quality of the M&E plan at entry, the M&E system used during implementation, and whether the information generated by the M&E system was used for project management.

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

Each criterion to assess the quality of the terminal evaluation will be rated as follows:

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

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

$$\text{Quality of the Terminal Evaluation Report} = 0.3 \times (a + b) + 0.1 \times (c + d + e + f)$$

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

H.6 Assessment of Processes Affecting Attainment of Project Outcomes and Sustainability

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

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

Annex I: GEF regions defined

The analysis presented in chapters two and three includes ratings on the basis of the region in which GEF project activities take place. Four regions are defined. Below are the countries included in each region:

Africa

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

Asia region

Afghanistan	Lao PDR	Samoa
American Samoa	Malaysia	Solomon Islands
Bangladesh	Maldives	Sri Lank
Bhutan	Marshall Islands	Thailand
Cambodia	Micronesia, Fed. Sts	Timor-Leste
China	Mongolia	Tuvalu
Fiji	Myanmar	Tonga
India	Nepal	Vanuatu
Indonesia	Palau	Viet Nam
Iran	Pakistan	
Kiribati	Papua New Guinea	
Korea, Dem. Rep.	Philippines	

Europe and Central Asia

Albania	Kosovo	Serbia
Armenia	Kyrgyz Republic	Syrian Arab Republic
Azerbaijan	Latvia	Tajikistan
Belarus	Lebanon	Turkey
Bosnia and Herzegovina	Lithuania	Turkmenistan
Bulgaria	Macedonia, FYR	Ukraine
Georgia	Moldova	Uzbekistan
Hungary	Montenegro	West Bank and Gaza
Jordan	Romania	
Kazakhstan	Russian Federation	

Latin America and the Caribbean

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