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Agenda Item 4

ANNUAL MONITORING REVIEW (AMR) FY13: PART II

Recommended Council Decision

The Council, having considered document GEF/C.46/04, *Annual Monitoring Review (AMR) FY13: Part II*, welcomes the report and appreciates the reformed AMR process. The Council requests the GEF Secretariat to continue providing two AMR reports per year: the first, presented in the fall, containing a quantitative overview of information on the portfolio under implementation and the second, presented in the spring, containing more in-depth analysis of outcomes, experiences, and lessons learned.

The Council requests the GEF Agencies, in collaboration with the recipient countries and the Secretariat, to expedite the preparation of all overdue projects.

EXECUTIVE SUMMARY

1. The Annual Monitoring Review (AMR) is an assessment of the GEF's active portfolio and is presented to the GEF Council in two parts. Part one contains a macro view of the portfolio under implementation and is presented to the Council at its fall meeting soon after the conclusion of the fiscal year. Part two is presented to the Council at its Spring meeting and contains a deeper assessment of outcomes, experiences, and lessons learned from the GEF's active portfolio of projects, with an emphasis on those at mid-term and completion.

2. The report is based on the results and lessons gleaned project documentation received by the Secretariat, including tracking tool data, project implementation reports (PIRs), mid-term reviews (MTRs), and project completion reports or terminal evaluations (TEs) of projects under implementation in each GEF focal area. This review found the portfolio level lessons to be more targeted and substantive and revealed an increasingly catalytic role for the GEF in influencing policies, leveraging financing, and scaling up and mainstreaming best practices. The main results and lessons learned for each focal area are as follows:

Biodiversity

3. The entirety of the projects in this AMR, and the results and lessons described therein, pertain to the two primary objectives of the GEF-3 and GEF-4 biodiversity strategies: (i) Catalyzing the Sustainability of Protected Areas Systems at National Level; and, (ii) Mainstreaming Biodiversity Conservation in Production Landscapes/Seascapes and Sectors.

4. This cohort included 25 protected area projects that submitted the required tracking tools and which covered 42 million hectares and 214 protected areas. The results are as follows:

(a) 11 projects, covering 45 protected areas and 6 million hectares underwent a final evaluation. Of these, 34 protected areas reported improvement in protected area management effectiveness, totaling 5 million hectares or 97% of the total area. The remaining 11 protected areas, covering 3% of the area, maintained their baseline management effectiveness score.

(b) 14 projects, covering 169 protected areas and 36 million hectares underwent a mid-term evaluation. Of these, 131 protected areas reported improvement in protected area management effectiveness, totaling 21 million hectares or 58% of the total area. Twenty two-protected areas, totaling 7 million hectares or 20% of the total area maintained their baseline management effectiveness scores. The remaining 16 protected areas, covering 22% of the area, reported a reduction in management effectiveness scores from the baseline, with 15 protected areas reporting a reduction of less than ten-% from the baseline.

5. The biodiversity cohort included 10 projects aimed to improve financial sustainability of protected area systems. The results drawn from these projects reported limited success in achieving meaningful reductions of funding gaps through revenue enhancement and improved revenue capture.

6. A key lesson drawing from these results is the need for GEF's long-term support to protected area management, particularly in light of Aichi Target 11 to expand the area of the terrestrial and marine protected area estate. In addition, protected area authorities may need to re-assess how funding assessments at the system and site levels are conducted in order to identify more realistic resource requirements. Site management costs will likely vary markedly throughout any protected area system based on the circumstance of each protected area thus requiring future GEF projects to implement more sophisticated analytical metrics to more accurately identify management costs per hectare per site.

7. The biodiversity cohort also included 15 biodiversity mainstreaming projects, which reported progress on improving 22 policies geared to be more supportive of biodiversity conservation and sustainable use. It was found that good progress has been made on 13 policies (60 %) which were in advanced stages of implementation (regulations under implementation at a minimum). Sixteen of the 22 policies (73 %), were well positioned for implementation (regulations in place to implement legislation at a minimum.)

8. Projects that sought biodiversity mainstreaming benefits through improved and biodiversity friendly natural resources management covered 11 million hectares, of which 20,349 hectares were certified by an internationally recognized certification system which GEF recognizes as a proxy for maintaining, doing no harm, and/or improving biodiversity in production landscapes and seascapes.

9. The biodiversity mainstreaming projects also reported on expected indirect impacts on biodiversity that were remarkable for their scale. According to project reports, the indirect impact of the GEF's biodiversity mainstreaming cohort totaled 428 million hectares which represents an area 8 times greater than the total area directly impacted from the rest of the cohort.

10. At the project and portfolio level, GEF has been assessing progress in biodiversity mainstreaming through measuring: (i) policy development and implementation; (ii) number of hectares under internationally recognized certification systems; and (iii) market transformation. All of these measures posit a theory of change that assumes that positive progress in achieving these indicators of biodiversity mainstreaming will eventually lead to an improvement in biodiversity status or at least a reduction in the rate of loss of biodiversity. A key finding is that further in-depth analysis is required in an exploration of the theory of change that underpins the outcomes of biodiversity mainstreaming projects and in assessing the validity of assumptions made in estimating their real to biodiversity status and condition. Provided robust estimation methods are used, the scale of this impact demonstrates the potential of biodiversity mainstreaming to achieve cost-effective positive outcomes for biodiversity, which is of critical importance to achieve the Aichi Targets of the Strategic Plan for Biodiversity, 2011-2020.

11. Finally, biodiversity mainstreaming as supported by the GEF takes place in a landscape mosaic that includes many different land-uses including protected areas. An assessment of the projects indicated that 235 protected areas covering 14 million hectares benefited from the mainstreaming interventions, most of which sought to improve land use and natural resources management practices in landscapes/seascapes adjacent to protected areas. This exceeds the number of protected areas directly supported in this cohort through protected area projects by 21

protected areas and represents 33 % of the total area supported through the protected area portfolio in this cohort.

Climate Change Mitigation

12. The Climate Change Mitigation (CCM) focal area review assessed projects for direct and indirect greenhouse gas (GHG) emission reductions, energy conserved from energy efficiency projects, and energy generated from renewable energy projects. This focal area review is developed on the basis of documentation from 48 projects, 34 of which reached the mid-term review (MTR) stage and 14 reached the terminal evaluation (TE) stage.

13. The total GHG emission reductions reported from the cohort of projects were 218 million tonnes of carbon dioxide equivalent (CO₂e) including 72 million tonnes at the TE stage and 146 million tonnes at the MTR stage. This amount is approximately 43 % of the total GEF GHG emission reduction target for the period of GEF-5.

14. This cohort reported significant energy conservation, both at the MTR and TE stages with reports available on 12 out of 23 energy efficiency projects. The biggest energy conservation was achieved in building energy efficiency. Eight projects were in this area, and six of them reported to conserve 59,610 gigajoule (GJ) of energy. In industrial energy efficiency, four projects reported energy conservation of 12,954 GJ. Progress was made in energy conservation in the transport sector, where two projects at the mid-term stage reported 5,274 GJ conserved. This does not include indirect energy conservation related to switching to biking or walking, which if considered would raise the cumulative energy conserved much higher.

15. Seven projects in this cohort reported 6,043,028 megawatt hours (MWh) of renewable power generation including 5,694,888 MWh from four projects at the TE stage, and 348,140 MWh from three projects at the MTR stage.

16. The experiences and lessons gleaned from the review of CCM projects include:

- (a) When developing innovative instruments, the design or procedure should be simple for potential success.
- (b) Participation of the private sector in clean energy technology market is crucial for sustainability.
- (c) Financial guarantee instruments should be designed to fit the capacity of individual countries.
- (d) While agencies are using various reliable approaches and data to count direct GHG emission reductions in their projects, sound monitoring and evaluation (M&E) methodologies need be designed to monitor indirect GHG emission reductions.
- (e) The GEF CCM catalytic effects have been achieved through five approaches: (a) government policy development; (b) demonstration of state-of-the-art technologies; (c) institutional development and capacity building; (d) engagement of the private sector; and (e) promotion of public awareness on clean energy technologies.

Climate Change Adaptation

17. In this review, 14 projects financed under the Strategic Priority on Adaptation (SPA) were assessed, of which 13 projects (93 per cent) were rated moderately satisfactory or above in terms of their progress towards development objectives. Two projects were completed and evaluated during the reporting period, both of which were rated satisfactory in terms of their outcomes. These two projects were also considered likely or moderately likely to sustain their outcomes.

18. While the impact of adaptation interventions is difficult to verify immediately at project completion, the two completed SPA projects had contributed towards removing the barriers for successful and sustainable adaptation, notably by enhancing monitoring systems as well as institutional and technical capacities, and by integrating climate change adaptation into relevant policies, plans and governance frameworks. Three SPA projects for which TEs or MTRs were received also carried out pilot measures with tangible adaptation benefits to their target populations, and clear pathways for replication and scaling up. In addition, all three projects contributed not only towards climate change adaptation, but also towards the achievement of global environmental benefits, notably in terms of biodiversity and sustainable land management. The results suggest clear synergies and no evident trade-offs between climate change adaptation and global environmental benefits in the three cases considered.

Land Degradation

19. The Land Degradation focal area review focused on two main aspects: (i) assessment of progress towards outcomes for FY13 based only on the projects at mid-term and completion; and (ii) synthesis of lessons and emerging trends based on focal area learning objectives. The assessment of progress toward outcomes was relative to focal area targets established in the results framework for GEF-3 and GEF-4. This includes area under sustainable land management (SLM), plans developed for SLM at multiple scales, beneficiaries reached, and global environment benefits generated.

20. The focal area cohort includes a total of 23 projects from GEF-3 (9) and GEF-4 (14). All except one of the GEF-3 projects are at completion, and 10 of the GEF-4 projects are at mid-term. Regionally, eleven projects are from Africa, six in the ECA, five in Asia, and one in the LAC region. The projects included in this cohort provided a good snapshot of progress toward the focal area outcomes and enriched portfolio level learning of lessons and practices from advancing Sustainable Land Management (SLM).

21. Based on data reported by projects at mid-term and at completion, GEF investments in the projects covered just over 1million hectares of production landscapes (agriculture, rangeland, and forest landscapes). An aggregated total area of 536,288 hectares of this area is under sustainable land management (or 41 %). Of these, 190,793 hectares were addressed under GEF-3 projects and 345,495 hectares under GEF-4 projects. The overall SLM coverage includes land under agriculture production (255,519 ha), rangeland (171,677 ha), and forest landscape restoration/rehabilitation (45,461 ha).

22. The findings and lessons emerged mainly in the following areas:

- (a) Institutional and governance frameworks for SLM implementation - The FY13 cohort demonstrates the importance of establishing appropriate institutional and policy frameworks for SLM implementation at local, national, and regional scale. Local level frameworks are manifested through direct engagement communities and use of existing governance structures for decision-making processes. National level frameworks involve institutions and policies to enhance the removal of barriers and creation of incentives for land users to invest in SLM practices, which in turn facilitates large-scale application of best practices. Regional frameworks include platforms and commitments to support collaborative engagement by countries in promoting SLM in production system that extend beyond national boundaries.
- (b) Approaches for stakeholder engagement in SLM implementation - The role and importance of local stakeholders is demonstrated through “watershed committees or organizations” and “village committees” in majority of the FY13 cohort focusing on river basins and watersheds. This is supported by the application of participatory planning approaches with communities affected by land and water degradation.
- (c) Synergy and tradeoffs in generating planned GEBs from SLM - Although progress toward SLM coverage and improvements in vegetative cover indicate that GEF investment is contributing toward agreed GEBs in the targeted production systems, potential tradeoffs are not considered by the cohort of projects. This is evident from lack of actual data from quantifying the benefits, especially those associated with above-ground biomass (as proxy for carbon sequestration), soil carbon, reductions in greenhouse gas emissions through SLM, and improvements in hydrological flow.
- (d) Knowledge sharing and documentation for potential up-scaling of SLM – This was an important feature of all projects applying the participatory approach at different levels, and reflects the importance of linking scientific and traditional sources. In a number of projects, such linking was achieved through consultations with key stakeholders and communities, which helped to inform the choice, targeting and implementation of SLM interventions at scale. Knowledge sharing is also noted as a means of strengthening links between project implementing teams, civil society groups and beneficiaries.
- (e) GEF catalytic effect with respect to scaling-up and replication of SLM – This is demonstrated in three ways: a) removal of barriers through improvements in land tenure and use rights, especially for smallholder farmers and livestock herders; b) linking potential for GEBs to interventions that improve livelihoods and creating options for rural communities; and c) stakeholder mobilization through participatory planning processes in river basins, watersheds, catchments, and production landscapes – from community groups, civil society, private sector, and state and national government agencies.

International Waters

23. The International Waters focal area review assessed the progress made towards multi-state- cooperation and adoption and/or implementation of national/local reforms and joint

ecosystem-based action in trans-boundary water systems and adoption/implementation of national/local reforms.

24. All of International Waters Focal Area (IW FA) funding for projects in this AMR period was covered by the GEF-3 and GEF-4 IW strategies drawing funding from the eighth, ninth and tenth operational programs of GEF IW-3 and all four of the GEF IW-4 Strategic Programs. The cohort of projects under review included 24 projects which were either at midterm or terminal evaluation. Out of the 24 projects eight supported the development of Transboundary Diagnostic Analyses (TDAs) and Strategic Action Programs (SAPs), involving a total of 47 countries. Three projects supported the Implementation of agreed Strategic Action Programs involving 16 countries.

25. Moving to the new consolidated IW tracking tool has allowed projects to share quantitative stress reduction results for their demo and pilot investments when applicable. The results submitted for this fiscal year (FY) provide some interesting information of which some have been selected and presented below:

26. Total area under improved management, as a direct consequence of IW investments, totals 3,176,518 hectares. The UNDP project focused on integral coastal management “Implementation of Sustainable Development Strategy for the Seas of East Asia (SDS-SEA)” makes up the majority of this area, with 2,727,766 hectares, under improved management. The project addresses constraints to sustainable development including pollution reduction, biodiversity loss/habitat restoration, coastal fisheries/food security and alternative livelihoods.

27. This year only two projects reported concrete nutrient stress reduction impact (BOD: 3,238 t/year, N: 28 t/year and P: 3.5 t/year) as part of the demonstration investments. It is important to note that the goal of IW investments primarily is to demonstrate cost effective and highly innovative technologies that potentially can be scaled-up and replicated with substantial impact, very rarely full scale implementation. Hence the moderate nutrient stress reduction reported is a good indication that such investments have been successful in demonstrating scalable technologies.

28. In addition to the above the IW FA review assessed all projects approved in GEF-5 to evaluate the progress made towards meeting targets as stated in the GEF IW-5 Results Framework. In GEF-5 the IW FA funded: multi-state- cooperation in five transboundary water systems, including the adoption and/or implementation of national/local reforms in 23 countries; adoption/implementation of national/local reforms in nine large marine ecosystems involving 56 different countries; and multi-state agreements on commitment to joint ecosystem-based action in seven new water-bodies involving 15 nations.

29. The snapshot of the IW portfolio, provided through the 2013 AMR, identifies a couple of main lessons:

- (a) The TDA/SAP process is successfully applied, in river basins, lakes, aquifers and Large Marine Ecosystems alike, indicating that it is an effective vehicle towards building trust and fostering transboundary cooperation across sectors and among states on their shared waters and resources.

- (b) The TDA/SAP process is a flexible, non-prescriptive tool, enabling its application in a given regional context, while allowing engagement of national and local level stakeholders. Therefore, it will often include steps like a) Facilitating a transboundary dialogue process to derive a shared vision for collective action; including common fact-finding leading to agreeing on a core set of indicators and targets, setting up data management systems etc. A properly undertaken TDA process will hence include a range of stakeholders, including ministries, academia, civil society groups, NGOs and private sector & b) Facilitating legal and institutional frameworks for coordinated or collaborative action, including agreed reforms and investments, leading to enhanced stakeholder participation processes.
- (c) Especially, common fact finding and data sharing agreements leading to agreed common transboundary problems is essential in being able to move towards priority setting. The 2014 AMR indicates that the TDA/SAP process is a useful vehicle towards bridging the science/policy gap. Further, through the coming years, incorporation of e.g. Economic Valuation and similar tools, will be explored. These tools will likely strengthen the TDA/SAP methodology's ability to draw political interest and expand the investment scope in GEF IW interventions.

Chemicals

30. The Chemicals focal area review assessed the contributions of chemicals projects in countries' implementation of the Stockholm Convention and the Montreal Protocol. The size of the chemicals portfolio is small, and this inhibits the drawing of definitive conclusions and lessons learned from the review. Reporting from projects on types of technologies implemented and the success/failures of these technologies as well as related qualitative data would considerably inform future reviews.

31. For the chemicals focal area in this AMR, a total of 24 projects were reviewed. The projects cover persistent organic pollutants (POPs), especially polychlorinated biphenyls (PCBs) and pesticides, mercury and ozone-depleting substances (ODSs). The reports identified the reduction of 4,580 tonnes of annual dichloro-diphenyl-trichloroethane (DDT) use and disposal of 12,785 tonnes of PCB contaminated equipment and wastes in completed projects. A regional project disposed 3,164 tonnes of obsolete pesticides.

32. Analysis of the cohort of the chemicals projects identified the following lessons learned.

Project development:

- (a) The results of the projects analyzed confirm the GEF's review criteria and quality control of projects. Projects that performed better included careful identification of stakeholders and early engagement, involvement of CSOs and sound understanding of procurement policies and requirements, among other factors.
- (b) Among PCB projects, those that established targets based on inventories, built capacity to manage PCBs in an environmentally sound manner with the owners of PCB were likely to meet objectives.

- (c) Design of multi-country projects should have a clear and negotiated management structure to secure positive results and knowledge sharing.

Project Implementation:

- (a) Implementation obstacles often resulted from issues related to procurement of equipment. Improved planning and initial capacity as well as a realistic framework of the delivery of projects would aid in minimizing implementation delays. It is recommended that, in the future, countries and agencies consider consulting the STAP on technical specifications for equipment and explore the experiences of countries/agencies who have procured equipment to handle POPs and other chemicals and have information on different specifications.
- (b) Projects that are designed to be adaptive with a supporting monitoring and evaluation (M&E) framework helps mitigate identified risks for project implementation.

Stakeholder Involvement

33. The AMR also included an analysis of gender mainstreaming and indigenous people's inclusion in GEF projects, an analysis on civil society organization (CSO) participation, and on the Small Grants Programme.

Gender Mainstreaming

34. Among the total 158 projects that were analyzed, 70 projects (44 %) included gender-specific information. This result is a vast improvement compared to the numbers from FY11 and FY12 AMRs, which adopted the same methodology for portfolio review on gender mainstreaming. Only 24 % of all projects in FY11 and 25 % in FY12 included specific information related to gender. The analysis shows that gender considerations are most prominent in natural resource management and climate change adaption programs and projects.

35. It is encouraging and promising to see significant improvement on gender consideration in GEF projects through this year's portfolio analysis. Improvements were particularly notable in the way sex disaggregated data, including attainment of training and small grants, were reported through many projects. However, challenges still remain in having increased consistency in reporting among the GEF Agencies as well as among the focal areas. Further consideration is also required on how to track and report on the results related to gender equality, in addition to the progress made on the participation or involvement of women and girls in project activities. In this regard, the GEF is taking increased effort in placing gender equality at the forefront of the GEF financed activities in GEF-6, including the use of core gender indicators across all focal areas.

Indigenous People

36. Following practices of earlier years, the GEF Secretariat conducted an analysis of the inclusion of indigenous peoples' in its projects as a part of the FY13 AMR process. Of the 158 projects reviewed across all focal areas, there were a total of 14 projects (9 percent) that

explicitly included and reported on the involvement of indigenous peoples. During FY12, this was 11 out of 215 projects (5 percent); in FY11 AMR, it was 29 out of 151 projects (19 percent).

37. Some highlights and best practices of indigenous peoples' involvement in GEF projects were found in the biodiversity portfolio. A global project on *Conservation and Adaptive Management of Globally Important Agriculture Heritage Sites* included indigenous territories among targeted sites, and Free Prior Informed Consent (FPIC) was applied at the concerned sites before investment were made. The project employed guidelines and agreed criteria and procedures for designation as well as guidelines for investment, including impact assessments.

38. It is worth noting that the projects with involvement of indigenous peoples were found to have stronger focus on gender mainstreaming and women's empowerment. In general, these projects have conducted a more detailed socio-economic assessment, including gender analysis, and also employed social specialist, including female staff, for project implementation. The GEF is committed to further strengthen engagement of indigenous peoples through its operation and projects, in close coordination with the GEF Agencies, Indigenous Peoples Advisory Group, and others.

Civil Society Organization Participation

39. For over two decades, civil society organizations (CSOs) have been important partners to the GEF. CSOs have taken different roles in GEF projects and programs, in advocacy, and policy formulation among other. Regarding projects, CSOs have contributed to design, implementation of specific components and to raising significant co-financing (both in cash and in-kind). They have led the execution of projects, and participated in monitoring, among others. In many cases, they have also benefited from the projects results. Among the 173 projects that were analyzed across the focal areas for this AMR, 62 % included specific information related to CSO participation compared to 57 % in FY12.

40. The GEF Secretariat continues to collaborate with the GEF CSO Network in the revision of the implementation of the GEF Public Involvement policy that was approved in 1996. The Network will present recommendations to the GEF Secretariat in terms of the Policy. It is expected that this process will be completed during the Fifth GEF Assembly in May 2014 and will be considered by the Secretariat to develop new guidelines for the implementation of the policy in the October 2014 Council meeting.

GEF Small Grants Programme

41. The GEF Small Grants Programme (GEF SGP), implemented by UNDP, reported on its second year of activities of the 5th Operational Phase (OP5). During this period (July 2012 – June 2013) SGP focused on the implementation of projects approved in OP5 as well as on building project portfolios in line with the new OP5 focal area objectives. As in past years, Biodiversity continued to be the largest focal area, reflecting the historical strengths of the program and the interest of many NGO and CBO grantees to address natural resource management issues. However, unlike past years, Land Degradation is now the second largest focal area in terms of ongoing grant projects, with 754 projects in the area. This is closely followed by Climate Change which has 737 ongoing projects in the active portfolio of projects.

International waters and Chemicals had 161 and 134 ongoing projects respectively. The number of Multifocal area projects has declined significantly in view of the guidance provided by CPMT that each project should identify a primary focal area as well as one or more secondary focal areas where relevant. Thus while many SGP projects continued to have multiple benefits and relevance to more than one focal area, for better tracking and portfolio data, these are included under the primary focal area identified as the focus of the project. Capacity development was introduced as a new focal area in OP5, in alignment with the GEF-5 focal area strategies, which include the strategy for Cross-Cutting Capacity Development.

Cross-cutting Analysis

42. The AMR also reports on project cycle performance, including on time between CEO endorsement/approval and first disbursement. The report also presents a preliminary analysis on climate-relevant financing undertaken by the Secretariat.

Project Cycle Performance

43. This AMR also reports on projects that are overdue (Annex 7) for CEO approval or endorsement, i.e., they have exceeded the time-frame standards of 12 months (for medium-sized projects) or 18 months (for full-sized projects).

Reporting on Time Elapsed from CEO Endorsement to First Disbursement

44. The GEF Council on reviewing the AMR FY12 requested a report on the time taken to first disbursement (T) by a project after CEO Endorsement or Approval. The reporting is constrained by two major challenges: (i) the lack of a common definition of first disbursement and therefore the lack of consistent dataset across agencies on dates of first disbursement; and (ii) the definition of the appropriate cohort for analysis. Both these constraints hold implications for the interpretation of the results and for further work. The dataset for the analysis included projects from the AMR Part I, for which the dates of first disbursement were received. The final cohort included projects implemented by EBRD, FAO, IADB, IFAD, UNDP, UNEP and UNIDO, which reported dates when funds are disbursed, or authorized or allocated for disbursement. World Bank (142 projects) reported dates of effectiveness and AfDB (1 project) reported the date when conditions for disbursement were fulfilled; projects from these agencies were not included in the analysis as the data provided do not correspond to first disbursement.

45. At this time, the AMR presents the frequency distribution of projects over the number of months they took till first disbursement, identifies the path for analysis and provides a preliminary assessment. The Secretariat and the GEF Agencies have agreed that further work is necessary including: (i) developing a common approach for defining and reporting first disbursement dates across agencies; (ii) defining the cohort for analysis covering the overall GEF portfolio; and (iii) conducting an in-depth analysis assessing the time taken by projects (metric: number or % of projects with T at or less than x months) using an improved dataset, which will be included in the AMR FY14 Part I (October 2014).

Climate Relevant Financing

46. In the past year, some donor countries have requested information from the GEF Secretariat on GEF project finance – beyond finance in the climate change mitigation (CC-M) focal area or climate change adaptation (CC-A) financing (provided through the Least Developed Countries Fund (LDCF) or the Special Climate Change Fund (SCCF) – that provides benefits in terms of either or both CC-M or CC-A. In response, the GEF Secretariat conducted a rapid assessment of the portfolio of projects approved during 2012 and 2013 fiscal years (July 1, 2011 – June 30, 2013) to develop a picture of total GEF project finance relevant for climate change. The analysis shows that climate-relevant financing is about 68 percent of the total programming during the two fiscal years.

Looking Forward

47. The Secretariat will continue to strengthen its Results Based Management (RBM) system in the context of GEF-6 strategy. To effectively address global environmental degradation, the GEF needs a better evidence-base to assess effectiveness of approaches, and with a well-established knowledge base help drive those approaches forward. RBM can simply be defined as, “a management strategy focusing on performance and achievement of outputs, outcomes and impacts.”¹ Results-based management and knowledge management are inextricably linked. In their development, results-based management will focus on how and what results we need to measure and what approaches are likely to yield the greatest results and knowledge, while knowledge management will focus on codifying and sharing those results and lessons.

48. In response to the policy recommendations of the GEF-6 replenishment, the Secretariat will collaborate with the relevant GEF entities to prepare a work plan for RBM and KM for Council review in October 2014.

¹ OECD-DAC Glossary.

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INTRODUCTION

1. At its meeting in May 2011, the Council agreed to a two-step approach to the Annual Monitoring Review (AMR): (i) Part one, containing a macro-view of the portfolio under implementation presented to the Council at its fall meeting soon after the conclusion of the fiscal year; and (ii) Part two, presented at the spring council meeting, containing a more in-depth analysis of outcomes, experiences, and lessons learned. The FY13 AMR Part I report was presented at the November 2013 Council and included: (i) an overview of cumulative project approvals since GEF inception; (ii) performance ratings of GEF's active portfolio; and (iii) information on management effectiveness and efficiency indicators.²

2. The FY13 AMR covered 702 projects and programs in 146 countries that began implementation on or before July 1, 2012. Specifically, the FY13 report includes all projects under implementation, for at least part of the period July 1, 2012 – June 30, 2013, as part of the GEF's active portfolio. The majority of these projects, 514 that are reported as under implementation in the FY13 AMR were approved in GEF-4 (73 % of the active portfolio), with 152 remaining from GEF-3 (22 % of the active portfolio) and 7 from GEF-2 (1 % of the active portfolio). There are currently 29 projects under implementation from GEF-5 (4 % of the active portfolio). GEF-4 projects under implementation now have increased by 9 % over the previous reporting period (159 in FY10 to 284 in FY11 to 467 in FY12 to 514 in FY13). **Error! eference source not found.** below provides the funding distribution of the 702 projects across the focal areas.

Table 1: Projects under Implementation by Focal Area in FY13³

Focal Area	No. of Projects	Total Grant	Share of Grant (%)
CC	224	1,222,652,579	36
BD	214	954,970,723	28
IW	67	388,526,527	11
MFA	62	338,283,016	10
POPs	70	269,281,508	8
LD	63	266,265,484	8
ODS	2	2,810,000	<1
Total	702	3,442,789,837	100

3. The second part of the AMR seeks to report on two main categories of information drawn from assessing the portfolio of projects: (i) portfolio level results for indicators monitoring achievement of strategic objectives, and (ii) a qualitative but in-depth analysis of lessons and experiences, drawn from projects, with relevance at the sector, program or portfolio levels. With each AMR, effort is sought to improve reporting modalities and receive substantive information that can help make the AMR a valuable part of information driven decision-making at GEF.

²<http://www.thegef.org/council-meeting-documents/annual-monitoring-review-fy-2013-part-i>

³ Reproduced from *AMR 2013: Part I*, 23

4. The Focal Area results section provides an analysis of projects that have gone through a mid-term review or were in their last year of implementation in FY 13. The analysis was based on a desk review of documentation sent to the Secretariat by the Agencies including: tracking tool data, project implementation reports (PIRs), mid-term reviews (MTRs), and project completion reports or terminal evaluations (TEs). The Focal Area lessons learned section provides portfolio-level lessons learned for each focal area from projects. The focal area review of lessons learned have been framed by a set of “guiding questions” to elicit a set of targeted and specific portfolio level lessons learned (see Annex 3 for focal area learning objectives and learning questions). In this AMR (FY13) an attempt is being made to enhance this section with a deeper understanding of factors driving successful results that can help in design, implementation, portfolio management and other steps in the GEF results chain. The review is necessarily based on the information received from projects and collection of meaningful data was possible for projects at mid-term of completion (through mid-term review and terminal evaluation completion reports).

5. In addition to the focal area analysis, the Secretariat carried out two cross-cutting reviews, the first on the extent to which gender and indigenous peoples’ aspects have been considered in the FY13 cohort of projects under implementation, and the second on civil society organizations’ participation in GEF projects. The report also contains an update and in-depth analysis provided by UNDP on the Small Grants Programme (SGP). A summary of cross-cutting capacity development projects are also provided in Annex 5. As lessons learned from the capacity development portfolio emerge, these will be included in Part II. For enabling activities, the Secretariat and the Agencies worked together and presented an update on the project statuses for Part I of the AMR, an exercise which will be carried on annually and presented in the AMR Part I.

6. Since the implementation of the reform eliminating the milestone extension approval process in January 2013, the Secretariat has been tracking and reporting on projects that exceed the project cycle time standard in the weekly program management bulletin that is shared with the GEF Agencies; the status of overdue projects was also reported in the Annual Monitoring Report semi-annually. In January 2014, following the concerns raised by OPS5 regarding overdue projects, the Secretariat and the Agencies took stock of all projects that have exceeded time-frame standards; 126 projects were found to be in this list.⁴ In February 2014, the CEO communicated to all recipient country operational focal points requesting their cooperation in expediting project preparation. Since then the Secretariat, with Agency cooperation, has focused on projects that have been most delayed in the pipeline, and is undertaking tripartite discussions (recipient countries, Agencies, Secretariat) towards either cancelling specific projects or agreeing to continue preparation with firm project specific deadlines (no later than December 31, 2014). Annex 6 is a list of all the overdue projects as of April 1, 2014. The Secretariat continues to collaborate with Agencies and the countries to review this list of overdue projects and to take necessary action to resolve their pending status.

⁴ 18 months between PIF approval and CEO endorsement for full-sized projects and 12 months between PIF approval and CEO approval for medium-sized projects.

CHAPTER 1:

FOCAL AREA RESULTS

7. The following section presents the contributions of GEF projects that reached mid-term or completion in FY13 in achieving results related to GEF focal area objectives. A total of 175 GEF projects were at mid-term (94 projects) or completion (81 projects) in FY13. A list of all projects reviewed is in Annex 1.

8. At the beginning of GEF-5, all GEF focal areas finalized their tracking tools, and all GEF-5 full-sized projects were required to submit tracked data three times during the life of the project: at CEO endorsement, at mid-term, and at project completion. Tracking tools have been progressively introduced for the different focal areas of the GEF, beginning with biodiversity in GEF-3, followed by international water, climate change, and chemicals; land degradation was the last focal area to introduce tracking tools beginning in GEF-5. Multi-focal area projects report on tracking tools for focal areas that correspond to their objectives.

9. Since the vast majority of projects at mid-term and completion are from GEF-3 and GEF-4, many were not required to submit tracking tools in FY 2013. For focal areas without tracking tools, preparing a consistent assessment of progress towards outcomes at the portfolio level proved challenging. Among projects, where tracking tools were submitted, the quality of reported data varied considerably. This was due in part to the fact that new tools and different formats were introduced for the first time this reporting period and in part to less rigorous quality control. A systematic review of the tools, before submission by the Agencies, would help to ensure accurate completion of the tools and help to check consistency with the previous submissions made at the time of CEO approval or endorsement.

BIODIVERSITY

10. GEF Agencies were required to submit completed biodiversity tracking tools from GEF-3 and GEF-4 projects that underwent a mid-term review/evaluation or final review/evaluation in FY13.5

11. Portfolio level results for GEF-3 projects and GEF-4 projects for the FY13 cohort are provided in Table 2 and 3 below, respectively.

Table 2: FY13 Update on GEF-3 Portfolio Results

Objective One For GEF-3: Catalyzing Sustainability of Protected Area Systems at National Levels	
Expected Impact: Improved management effectiveness of national PA system, and individual PAs which receive direct support over the long-term.	
Outcomes and indicators to be assessed at mid-term and final evaluation: X (Y %) ⁶ of the PAs supported show improved management effectiveness against baseline scenarios.	
Tracking Tool Results⁷	
Two GEF-3 protected area projects underwent a <u>mid-term</u>	Six GEF-3 protected area projects underwent a <u>final</u>

⁵ In the biodiversity focal area, the submission of tracking tools is required for all projects that were part of any work program composed after July 1, 2004.

⁶ During the GEF-3 replenishment no targets were set for any focal area outcomes.

⁷ Extracted from tracking tools submitted as part of the FY13 PIR

<p><u>review/evaluation</u> in FY13 and submitted tracking tools. These two projects aimed to improve the management of 26 protected areas covering 4 million hectares (2 % of total hectares covered in the GEF-3 protected area project cohort).</p> <p>22 of the 26 protected areas demonstrated improved management effectiveness covering an area of 4 million hectares or 95% of the protected area surface covered in this project cohort.⁸ One protected area totaling 238,255 hectares was able to maintain the baseline METT scores. The remaining 3 protected areas had decreasing METT scores recording a decrease of one, three and 18% from the baseline score.</p>	<p><u>review/evaluation</u> in FY13 and submitted tracking tools. These six projects aimed to improve the management of 14 protected areas covering 3 million hectares (2 % of total hectares covered in the GEF-3 protected area project cohort).</p> <p>12 of the 14 protected areas demonstrated improved management effectiveness against the baseline covering an area of 3 million hectares or about 98 % of the protected area surface covered in this project cohort.⁹ The remaining 2 protected areas were able to maintain the baseline METT scores.</p>
Objective Two For GEF-3: Mainstreaming Biodiversity Conservation in Production Landscapes/Seascapes and Sectors	
Expected Impact: (i) Produce biodiversity gains in production systems and buffer zones of protected areas.	
Outcomes and indicators to be assessed at mid-term and final evaluation: (i) X (Y %) projects supported in each sector have included incorporated biodiversity aspects into sector policies and plans at national and sub-national levels, adapted appropriate regulations and implement plans accordingly. (ii) X ha of production systems that contribute to biodiversity conservation or the sustainable use of its components against the baseline scenarios.	
Tracking Tool Results (extracted from tracking tools submitted as part of the FY13 PIR)	
<p>No GEF-3 mainstreaming projects underwent a <u>mid-term review/evaluation</u> in FY13.</p>	<p>Four GEF-3 biodiversity mainstreaming projects underwent a <u>final review/evaluation</u> in FY13 and submitted tracking tools.</p> <p>All four projects focused on transforming natural resources management outside of protected areas towards practices that were more beneficial towards and less destructive of biodiversity. Projects addressed agricultural, forestry, or fisheries production systems directly covering 304,777 hectares (< 1% of the total hectares covered in the GEF-3 biodiversity mainstreaming project cohort) and indirectly impacting 20 million hectares. This high level of indirect impact is based on project success in mainstreaming biodiversity concerns within policies and regulations that govern the activities of productive sectors that impact biodiversity, particularly in the agriculture sector in one project.</p> <p>The projects reported that 304,777 hectares, or 100% of the area covered in this cohort, are currently under biodiversity friendly “sustainable natural resource management”, but this area was not certified by any independent, internationally recognized certification system.</p>

⁸ As measured by Management Effectiveness Tracking Tool (METT).

⁹ Ibid.

	Two of the four projects included components that focused on incorporating biodiversity conservation into production sector policy. The projects' progress on policy mainstreaming was assessed with the GEF tracking tool. ¹⁰ Results at the final review/evaluation indicate that one agriculture policy, one fisheries policy, and one tourism policy each achieved the highest level score of 6 in policy development and implementation as measured by the tracking tool.
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Table 3: FY13 Update on GEF-4 Portfolio Results

Objective One for GEF-4: Catalyzing Sustainability of Protected Area Systems at National Levels	
Expected Impact: Biodiversity conserved and sustainably-used in protected area systems	
Outcomes and indicators to be assessed at mid-term and final evaluation: i) PA management effectiveness as measured by individual PA METT scorecards, ii) PA systems secure increased revenue and reduce financing gap to meet PA management objectives, iii) improved coverage of marine and under-represented terrestrial ecosystems.	
Tracking Tool Results (extracted from tracking tools submitted as part of the FY13 PIR)	
<p>Twelve protected area projects underwent a <u>mid-term review/evaluation</u> in FY13 and submitted tracking tools. Of the twelve projects, six combined improving management effectiveness of specific protected areas with improving the financial sustainability of the entire PA system, and the remaining focused solely on improving management effectiveness of a subset of protected areas in a national network.</p> <p>The projects that implemented protected area management activities covered 143 protected areas and 33 million hectares or 19% of the total hectares covered in the GEF-4 protected area project cohort. Twenty-eight (28) of these protected areas include marine areas within them covering 10 million hectares (these are combined terrestrial and marine protected areas).</p> <p>109 of the 143 protected areas demonstrated improved management effectiveness¹¹ covering an area of 18 million hectares or 55% of the total area of the protected area surface covered by this cohort.</p> <p>21 of the 143 protected areas maintained the same baseline score covering 7 million hectares or 22% of the total area of the protected area surface covered by this cohort indicating minimal progress since project</p>	<p>Five protected area projects underwent a <u>final review/evaluation</u> in FY13 and submitted tracking tools.</p> <p>All projects focused on improving management effectiveness and four of the five also sought to improve financial sustainability of a PA system. The projects covered thirty-one protected areas totaling 2 million hectares (slightly more than 1 % of the total hectares covered in the GEF-4 protected area project cohort).</p> <p>22 of the thirty-one protected areas demonstrated improved management effectiveness covering an area of 2 million hectares or 96% of the total area of the protected area surface covered by the cohort. The remaining 9 protected areas covering 4% of the remaining area of 100 hectares demonstrated no change in management effectiveness and only were able to maintain the baseline METT scores.</p> <p>Four of the five projects sought to improve PA financial sustainability. All projects improved the three fundamental components for a fully functioning financial system at the site and system level – (i) legal, regulatory and institutional frameworks, (ii) business planning and tools for cost-effective management (e.g. accounting practices) and (iii) tools for revenue generation as measured by the PA</p>

¹⁰ The GEF biodiversity mainstreaming tracking tool assesses progress on integrating biodiversity into the policy frameworks regulating production sectors on a scale from one to six: (1) biodiversity (BD) mentioned in sector policy; (2) BD mentioned in sector policy through specific legislation; (3) Regulations in place to implement the legislation; (4) Regulations under implementation; (5) Implementation of regulations enforced; (6) Enforcement of regulations is monitored independently. A score of 6 assumes a progression through the previous 5 steps. A score of 0 reflects a total absence of biodiversity considerations in sector policy.

¹¹ As measured by Management Effectiveness Tracking Tool (METT).

<p>initiation.</p> <p>The remaining 13 protected areas covering the remaining 8 million hectares or 23% of the total area of the protected area surface covered by this cohort regressed, but no more than a 10% reduction in the protected area management effectiveness score.</p> <p>For the six projects that also focused on improving protected area financing sustainability, all projects improved the three fundamental components for a fully functioning financial system at the site and system level – (i) legal, regulatory and institutional frameworks, (ii) business planning and tools for cost-effective management (e.g. accounting practices) and (iii) tools for revenue generation as measured by the Protected Area Finance Scorecard.</p>	<p>Finance Scorecard.</p> <p>With regards to the ultimate objective to reduce the funding gap, the results from these four projects are as follows:</p> <ul style="list-style-type: none"> • One project reduced the PA funding gap to zero for basic management costs. • One project reduced the gap for basic management costs by 66%. • The remaining two projects were able to generate modest annual increases in protected area revenue; however the funding gap grew in both instances as the PA administration decided to expand the PA system adding new and additional costs to the PA system.
<p>Objective Two For GEF-4: Mainstreaming Biodiversity Conservation in Production Landscapes/Seascapes and Sectors</p>	
<p>Expected Impact: Conservation and sustainable use of biodiversity incorporated in the productive landscape and seascape</p>	
<p>Outcomes and indicators to be assessed at mid-term and final evaluation: (i) the degree to which policies and regulations governing sectoral activities include measures to conserve and sustainably use biodiversity as measured through the GEF tracking tool, (ii) number and extent of new PES schemes created, (iii) hectares of production systems under certified biodiversity-friendly standards, (iv) hectares of production systems under sustainable management but not yet certified.</p>	
<p>Tracking Tool Results (extracted from tracking tools submitted as part of the FY13PIR)</p>	
<p>Seven biodiversity mainstreaming projects underwent a <u>mid-term review/evaluation</u> in FY13 and submitted tracking tools.</p> <p>All seven projects focused on transforming natural resources management outside of protected areas towards practices that were more beneficial towards and less destructive of biodiversity. Projects addressed agricultural, forestry, and fisheries production systems; tourism, trade, transport, oil and gas extraction, and land-use planning and zoning directly covering 2 million hectares (3% of the total hectares covered in the GEF-4 biodiversity mainstreaming project cohort) and indirectly impacting 319 million hectares. The assessment of indirect impact assumes that progress in mainstreaming biodiversity concerns within policies and regulations that govern the activities of productive sectors that impact biodiversity will result in measurable biodiversity gains.</p> <p>The projects reported that 2 million hectares, or 100% of the area covered in this cohort, are currently under biodiversity friendly natural resources management at project mid-term, but only 20,439</p>	<p>Four biodiversity mainstreaming projects underwent a <u>final review/evaluation</u> in FY13 and submitted the tracking tools.</p> <p>All four projects focused on transforming natural resources management outside of protected areas towards practices that were more beneficial towards and less destructive of biodiversity. Projects addressed agricultural, forestry, and fisheries production systems; sustainable use of wildlife and hunting, tourism, and mining directly covering 9 million hectares (11% of the total hectares covered in the GEF-4 biodiversity mainstreaming project cohort) and indirectly impacting 90 million hectares.</p> <p>The assessment of indirect impact assumes that progress in mainstreaming biodiversity concerns within policies and regulations that govern the activities of productive sectors that impact biodiversity will result in measurable biodiversity gains, particularly from one project that implemented changes in sustainable use of wildlife and commercial hunting covering an area of 83 million hectares.</p> <p>The projects reported that 9 million hectares, or 100% of the area covered in this cohort, are currently under biodiversity friendly natural resources management; however, none of these hectares have been certified by an independent,</p>

<p>hectares has been certified by an independent, internationally recognized certification system. In addition, six of the seven projects worked in landscape mosaics that included 214 protected areas covering 8 million hectares and thereby contributing to their management effectiveness and strengthening their integrity and sustainability.</p> <p>In addition, five projects included components that focused on incorporating biodiversity conservation into sector policy. The projects' progress on policy mainstreaming was assessed with the GEF tracking tool.¹²</p> <p>Results at the midterm evaluation indicate that:</p> <ul style="list-style-type: none"> • Two agricultural policies moved from level 4 to 6; • One agricultural policy moved from level 3 to 5; • One forest policy moved from level 0 to 4; • One forest policy moved from level 3 to 5; • Two tourism policies remained at level 2 as was assessed at baseline; • One oil and gas policy moved from level 1 to 3; • One transport policy related to IAS management moved from level 0 to 5; <p>Thus, of the nine policy investments, five were already successful in moving significantly towards the highest level in policy development and implementation as measured by the tracking tool (scores 5 and 6), one other is higher than the midpoint score of 3; and the remaining three have made minimal progress to date.</p>	<p>internationally recognized certification system. In addition, the four projects worked in landscape mosaics that included 21 protected areas covering 6 million hectares and thereby contributing to their management effectiveness and strengthening their integrity and sustainability.</p> <p>In addition, the four projects included components that focused on incorporating biodiversity conservation into sector policy.</p> <p>The projects' progress on policy mainstreaming was assessed with the GEF tracking tool. Results at the final evaluation indicate that:</p> <ul style="list-style-type: none"> • One agricultural policy moved from level 0 to 6; • One agricultural policy moved from level 4 to 6; • One agricultural policy moved from level 0 to 3; • One agricultural policy moved from level 0 to 2; • One forest policy moved from level 3 to 6; • One fisheries policy moved from level 0 to 6; • One fisheries policy moved from level 2 to 6; • One fisheries policy moved from level 1 to 5; • One tourism policy moved from level 0 to 1; • One tourism policy moved from level 0 to 3; • One tourism policy moved from level 0 to 4; • Two mining policies moved from level 0 to 2; <p>Thus of the 13 policy investments, five policies achieved the highest level score of 6 and 7 had gone further than the mid-way point, while 6 remained in the first part of the policy development trajectory.</p>
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12. In this cohort, biodiversity policy mainstreaming projects focused on improving 22 policies to be more supportive of biodiversity conservation and sustainable use as summarized in the table below. Of these 22 policies, good progress has been made with 13 policies (60%) in advanced stages of implementation (4 and above) and with 16 policies overall (73%) well positioned for implementation (3 and above.)

¹² The GEF biodiversity mainstreaming tracking tool assesses progress on integrating biodiversity into the policy frameworks regulating production sectors on a scale from one to six: (1) biodiversity (BD) mentioned in sector policy; (2) BD mentioned in sector policy through specific legislation; (3) Regulations in place to implement the legislation; (4) Regulations under implementation; (5) Implementation of regulations enforced; (6) Enforcement of regulations is monitored independently. A score of "6" assumes a progression through the previous steps. A score of "0" reflects a total absence of biodiversity considerations in sector policy.

Table 4 : Progress in Policy Mainstreaming¹³

Policy Stage	(0)	(1)	(2)	(3)	(4)	(5)	(6)
Sector	Total absence of BD in sector policy	BD mentioned in sector policy	BD mentioned in sector policy through specific legislation	Regulations in place to implement the legislation	Regulations implemented	Implementation of regulations enforced	Enforcement of regulations is monitored independently
Agriculture							2 policies
			1 policy	1 policy			
						1 policy	1 policy
							1 policy
Fisheries						1 policy	1 policy
							1 policy
							1 policy
Forestry					1 policy	1 policy	1 policy

¹³ Red arrows represent projects at midterm. Black arrows are results at the final review/ evaluation of the project. The number refers to the total policies in the sector developed and implemented in the individual projects. Start of arrow is the baseline score.

Tourism		1 policy →	2 policies →	1 policy →	1 policy →		
Mining			2 policies →				
Oil and Gas				1 policy →			
Transport						1 policy →	

13. However, as noted in last year's AMR, no projects are employing measures to monitor biodiversity status as a result of these policy improvements either during or after the project, which remains a gap in project design and implementation and in particular for project follow-up when changes are most likely to surface.

14. Projects claiming biodiversity mainstreaming benefits through improved and biodiversity friendly natural resources management totaled 11 million hectares in this cohort, however, only 20,349 hectares were certified by an internationally recognized certification system which GEF has used as a proxy for maintaining, doing no harm, and/or improving biodiversity in production landscapes and seascapes.

15. The biodiversity mainstreaming projects in this year's AMR reported on expected indirect impacts on biodiversity that were remarkable for their scale. According to project reports, the indirect impact of the GEF's biodiversity mainstreaming cohort totaled 428 million hectares which represents an area 8 times greater than the total area directly impacted from the rest of the AMR FY13 project cohort. If the assumptions that projects have presented to arrive at this estimation of this indirect impact are valid, it is a critically important statistic in that it demonstrates the potential of biodiversity mainstreaming to achieve cost-effective positive outcomes for biodiversity conservation. Hence, further analysis is required to assess the validity of these assumptions and the theory of change that underpins them.

16. In addition, as biodiversity mainstreaming as supported by the GEF takes place in a landscape mosaic that includes many different land-uses including protected areas, projects listed the protected areas that benefited from the mainstreaming interventions. In this year's AMR cohort, 235 protected areas covering 14 million hectares benefited from improved land use practices being implemented in landscapes adjacent to protected areas. This exceeds the number of protected areas directly supported in this cohort through protected area projects by 21 protected areas and is 33 % of the total area supported through the protected area portfolio in this cohort.

CLIMATE CHANGE MITIGATION

17. The AMR of the CCM focal area analyzed projects, using the guiding questions of CCM focal area's Targeted Learning Objectives on: (i) impacts and results through improved understanding of market development for climate change mitigation technologies; (ii) socio-economic impacts and results through improved understanding of synergies and/or tradeoffs of achieving multiple benefits; and (iii) reliability of GHG emission reduction accounting through improved estimates and reporting of GHG mitigation benefits of CCM projects.

18. In the CCM focal area, 34 projects reached the MTR stage and 14 projects reached the TE stage, totaling 48 projects reviewed. For these projects, 24 mid-term review reports (MTRs) (71 %) and 12 terminal revaluation reports (TEs) (86 %) were submitted. In addition, the World Bank submitted 10 project implementation reviews (PIRs) in lieu of the MTRs.¹⁴ The analysis therefore is mainly based on 24 MTRs, 12 TEs, and 10 PIRs.¹⁵ GEF-4 projects accounted for 52 % of the portfolio, followed by GEF-3 projects with a 40 % share and GEF-2 projects accounted for 8 % of the portfolio. In terms of GEF strategic objectives, most projects addressed energy efficiency followed by renewable energy. The AMR did not contain any Land Use, Land-Use Change and Forestry (LULUCF) and National Communications projects. Table 5 describes the distribution of the CCM portfolio by GEF strategic objectives across the GEF phases.

Table 5: Number of Projects by Strategic Objective and Replenishment Period

Strategic Objectives	GEF-2	GEF-3	GEF-4	Total (Share)
Energy Efficiency	1	7	15	23 (48%)
Renewable Energy	1	8	5	14 (29%)
Transport		2	4	6 (13%)
Rural Electrification	2	2		4 (8%)
Technology Transfer			1	1 (2%)
	4 (8%)	19 (40%)	25 (52%)	48 (100%)

Greenhouse Gas Emission Reductions

19. Of the 48 projects reviewed, 40 projects (83 %) provided evidence of GHG emission reductions, 13 of which reached the TE stage and 27 of which reached the MTR stage. The 13 TE projects estimated reductions of approximately 72 million tonnes of CO₂e, including 15 million tonnes of direct emission reductions and 54 million tonnes of indirect emission reductions from 10 projects that are listed in Table 6. Three TE projects reported direct emission reductions of 1 million tonnes of CO₂e and one project reported two million tonnes of CO₂e indirect emission reductions but they did not have emission targets at the CEO endorsement stage. Thus, the emission reduction amounts of the three projects are not shown in Table 6.

¹⁴ The World Bank does not provide any MTRs in the AMR exercise.

¹⁵ The UNDP submitted two TEs in Spanish - GEFID 2826 and 3479 – which were not included in the review.

Table 6: Climate Change Mitigation Impacts at Project Closure

	GEF-2	GEF-3	GEF-4	Total
Number of projects with emission reduction targets at CEO endorsement	2	5	3	10
Emission reduction targets at CEO endorsement (Million tonnes of CO ₂ e)	<1	17	2	19
Reported direct emission reductions at the TE stage (Million tonnes of CO ₂ e)	2	12	1	15
Reported indirect emission reductions at TE stage (Million tonnes of CO ₂ e)	na	18	36	54
Reported direct and indirect total (Million tonnes of CO ₂ e)	2	31	37	70

For the 27 projects which reached the MTR stage, 16 of them reported a total of 146 million tonnes of CO₂e emission reductions including direct emission reductions of 13 million tonnes from 16 projects and indirect emission reductions of 133 million tonnes from eight projects (Table 7). These 27 projects targeted GHG emission reductions of 209 million tonnes of CO₂e at the CEO endorsement stage. It should be indicated that many projects had GHG emission reduction targets at CEO endorsement stage and will likely achieve their targets at the TE stage. However, they did not report GHG emission reduction figures at the MTR stage because project equipment and machineries for GHG emission reductions have not been installed yet.

Table 7: Climate Change Mitigation Impacts at Mid-Term

	GEF-2	GEF-3	GEF-4	Total
Number of projects with emission reduction targets at CEO endorsement	0	8	19	27
Emission reduction targets at CEO endorsement (Million tonnes of CO ₂ e)	na	167	104	209
Number of projects reporting direct emission reductions at MTR stage	1	7	8	16
Reported direct emission reductions at MTR stage (Million tonnes of CO ₂ e)	1	9	3	13
Number of projects reporting indirect emission reductions at MTR stage	1	5	2	8
Reported indirect emission reductions at MTR stage (Million tonnes of CO ₂ e)	<1	60	73	133
Reported direct and indirect total at the mid-term stage (Million tonnes of CO ₂ e)	1	69	76	145

Energy Conservation and Renewable Energy Generated

20. The energy efficiency project cohort reported progress on energy conservation, both at the MTR and TE stages, although only 12 out of 23 energy efficiency projects provided energy conservation figures. The biggest energy conservation was achieved in building energy efficiency. Eight projects were in this area, and six of them reported to conserve 59,610 GJ of energy. In industrial energy efficiency, four projects reported energy conservation of 12,954 GJ. In particular, the *Technological Upgrade for Sustainable Development of Steel Re-rolling Sector in India* project reached a lifetime energy conservation of 7,775 GJ, or approximately 185 metric tonnes of oil equivalent. Energy conservation in transportation also showed promising results at the MTR stage. Two transport projects at the MTR stage reported 5,274 GJ of energy conservation, with the potential of reaching higher energy conservation by completion. If the indirect energy conserved by switching to biking or walking were to be considered, the cumulative energy conservation is likely to be larger. Table 8 describes energy conservation from the three types of investment projects.

Table 8: Contributions to Energy Conservation

	Building	Industry	Transport	Total
Number of projects reporting energy conservation at TE stage	2	1		3
Energy saved at TE stage (GJ)	71	7,775		7,846
Number of projects reporting energy saving at MTR stage	6	3	2	11
Energy saved at MTR stage (GJ)	59,539	5,178	5,274	69,991
Total energy saved (GJ)	59,610	12,954	5,274	77,838

21. In terms of renewable energy, four projects at the TE stage reported energy generation at 5,694,888 MWh in total, surpassing their CEO Endorsement targets of 4,014,760 MWh (Table 9). The largest source of renewable energy generated was solar, followed by wind, and small hydro power plants. Additionally, three projects at the MTR stage also reported renewable energy generation of 348,140 MWh. In general, equipment installation for renewable energy projects tends to be incomplete at mid-term. Therefore, their generation capacity may be limited at the MTR stage. Overall, the renewable energy generation from the seven reported projects reached 6,043,028 MWh.

Table 9: Contributions to Renewable Energy Generation

	Wind	Hydro	Solar	Biomass	Total
Number of projects reporting RE generation at TE stage	1	2	1		4
RE generated at TE stage (MWh)	1,392,100	932,788	3,370,000		5,694,888
Number of projects reporting RE generation at MTR stage		1	1	1	3
RE generated at MTR stage (MWh)		57,000	285,140	6,000	348,140
Total RE generated (MWh)	1,392,100	989,788	3,655,140	6,000	6,043,028

CLIMATE CHANGE ADAPTATION

22. The GEF Secretariat received 12 PIRs, one MTR and two TEs of climate change adaptation projects financed under the Strategic Priority on Adaptation (SPA), a \$50 million pilot under the GEF Trust Fund (Annex 2). SPA projects have demonstrated adaptation measures aimed at enhancing the resilience of agricultural production systems, coastal zones, trans-boundary water resources, as well as marine and mountain ecosystems. In addition, SPA projects have contributed to strengthening institutional and technical capacities at the regional, national and sub-national levels to collect, analyze, communicate and apply climate and hazard information for enhanced, climate-resilient planning and decision-making.

23. TEs were received for two climate change adaptation projects under the Strategic Priority on Adaptation (SPA): Albania: Identification and Implementation of Adaptation Response Measures in the Drini-Mati River Deltas (Agency: UNDP, GEF ID: 3415); and Armenia: Adaptation to Climate Change Impacts in Mountain Forest Ecosystems of Armenia (Agency: UNDP, GEF ID: 3417).

24. The former project sought to reduce the vulnerability of key ecosystems and local livelihoods in Albania's Drini-Mati river deltas to the adverse effects of climate change. Specifically, the project aimed to enhance the resilience of coastal areas covering some 14,000 ha; and to provide 60 per cent of local stakeholders with continuous access to data and information on the impacts of climate change. The TE found that the project had successfully developed an integrated ecosystem monitoring and early-warning system for the target areas, and it had integrated climate change indicators into the National Environment Monitoring Program. The project further contributed towards the knowledge base for climate change adaptation through climate change scenarios; a flood-risk map; and detailed assessments of climate change risks across several thematic areas, including biodiversity, agriculture, tourism and settlements, along with cost-benefits analyses for adaptation measures. The project also expanded key protected areas from 4,500 to 9,394 ha.

25. The latter project sought to enhance the resilience of vulnerable mountain forest ecosystems to the adverse effects of climate change in Armenia's Syunik region through: (i) a stronger enabling environment for integrating climate change risks into ecosystem management; (ii) pilot adaptation measures; and (iii) improved capacities for management, monitoring, evaluation, learning, and replication. The TE found that the project had successfully reforested 57 ha, carried out pest control measures over 9,500 ha, and enhanced local capabilities for forest-fire management over 99,400 ha. Lessons learned through the project were translated into manuals and guidelines, which in turn are used to mainstream adaptation strategies and measures in relevant environmental governance frameworks at the national and sub-national levels.

26. Both completed projects were rated satisfactory in terms of their outcomes; and they were considered moderately likely, in the case of Albania, and likely, in the case of Armenia, to sustain their outcomes. Both projects were also seen to contribute clearly towards mainstreaming climate change adaptation strategies and measures across relevant policies, plans, frameworks and decision-making processes.

27. A MTR was received for the project *Tajikistan: Sustaining agricultural biodiversity in the face of climate change* (Agency: UNDP, GEF ID: 3129). The project seeks to integrate the conservation of globally significant agro-biodiversity, and adaptation to climate change into agricultural and rural development policies and practices at the national and sub-national levels in Tajikistan through (i) capacity development at system, institutional and individual levels; (ii) in-situ and ex-situ conservation measures; and (iii) and market development. At mid-term, more than 1,500 samplings of climate-resilient species and varieties had been distributed to farmers brought under cultivation in project areas, and a draft National Strategy for agro-biodiversity conservation in the context of climate change had been prepared. 1,000 community representatives had attended workshops and consultations, and farmers had received relevant agro-technological training to improve the characteristics. The project had also provided relevant skills training and made available seedlings towards the establishment of 40 home gardens/farms in 4 pilot sites to serve as in-situ gene banks. The project was rated satisfactory with respect to the achievement of its overall objective.

28. Among the 12 SPA projects for which PIRs were reviewed, six had piloted adaptation strategies and measures in agriculture, land and ecosystem management as at June 30, 2013. Among these, the *India: Sustainable Rural Livelihood Security through Innovations in Land and Ecosystem Management* project (Agency: World Bank, GEF ID: 3470) established public-private partnerships with more than 170 private sector organizations in research and development activities, and supported patent applications for climate-resilient technologies, some of which had already been commercialized. Related projects; *India: Sustainable Land Water and Biodiversity Conservation and Management for Improved Livelihoods in Uttarakhand Watershed Sector* (Agency: World Bank, GEF ID 3471), and *India: Integrated Land Use Management to Combat Land Degradation in Madhya Pradesh* (Agency: UNDP, GEF ID: 3472); had brought a combined 4,733 ha of land under more climate-resilient management and directly benefited 5,494 people. The project *Mozambique: Zambezi Valley Market Led Smallholder Development* (Agency: World Bank, GEF ID: 2889) had brought 17,774 ha of farmland under more climate resilient management through grassroots initiatives led by community-based organizations.

29. Three of the projects for which PIRs were received had piloted adaptation measures aimed at enhancing the resilience of coastal systems. Two projects; *Coast and Marine Resources Management in the Coral Triangle -- Southeast Asia under Coral Triangle Initiative* (Agency: ADB, GEF ID: 3589) and *Regional: PAS: Strengthening Coastal and Marine Resources Management in the Coral Triangle of the Pacific under the Pacific Alliance for Sustainability Program* (Agency: ADB, GEF ID: 3591); worked to strengthen coastal and marine resources management. The project *Sri Lanka: Participatory Coastal Zone Restoration and Sustainable Management in the Eastern Province of Post-Tsunami Sri Lanka* (Agency: IFAD, GEF ID: 2753) utilized a participatory approach to coastal zone restoration and sustainable management, and had directly benefited 200 people and trained 80 people as at June 30, 2013.

LAND DEGRADATION

30. The Land Degradation focal area review focused on two main aspects: (i) assessment of progress towards outcomes for FY13 based only on the projects at mid-term and completion; and (ii) synthesis of lessons and emerging trends based on focal area learning objectives. The

assessment of progress toward outcomes was relative to focal area targets established in the results framework for GEF-3 and GEF-4. This includes area under SLM, plans developed for SLM at multiple scales, beneficiaries reached, and global environment benefits generated. In the absence of focal area tracking tool for both GEF-3 and GEF-4, the data was generated from reports submitted and aggregated at portfolio level. In addition to lessons and trends emerging from SLM implementation, the review also considered examples of best practices linked to learning objectives. This aspect also drew largely from a focal area learning mission to India, which was focused on one of the completed projects including in the FY13 cohort – *SLEM/CPP: Sustainable Land Water and Biodiversity Conservation and Management for Improved Livelihoods in Uttarakhand Watershed Sector* (GEFID 3471, World Bank).

31. Of the total 684 projects included in the overall Annual Monitoring Review for FY13, 96 were from either stand-alone Land Degradation focal area (54) or LD-related multi-focal area (42) projects. However, only 11 of the projects are at medium-term (with Medium-Term Reports) and 12 at completion (with Terminal Evaluation Reports or Implementation Completion Reports). This cohort of 23 formed the basis for LD focal area portfolio review, and includes nine (9) projects from GEF-3 and 14 from GEF-4 (Table 10). Only one of the 9 projects from GEF-3 is at mid-term, and the eight completed projects include four regional or trans-boundary and four country-based. The GEF-4 projects are mostly at mid-term, and only four have reached completion with TERs or ICRs.

Table 10: LD focal area cohort by Replenishment Phase

Replenishment Phase	MTR	TE	Total
GEF-3	1	8	9
GEF-4	10	4	14
Total	11	12	23

32. Fourteen of the 23 projects are stand-alone Land Degradation focal area projects, while the other 9 were either designed to combat land degradation through integrated ecosystem management (OP12), or as a multi-focal area investment with Biodiversity and International Waters (Table 11). All three of the OP12 projects are at completion (with TERs), and further enhance portfolio learning of how the IEM approach contributes to sustainable management of production landscapes. Regionally, half of the projects are from Africa, six in the ECA, five in Asia, and one in the LAC region (Table 12). This geographical coverage also contributes to enriching the focal area learning, including emerging trends toward advancing SLM implementation globally.

Table 11: Typology of Projects in the FY13 the LD focal area cohort

Project Type	MTR	TE	Total
Land Degradation Stand-alone	6	8	14
Land Degradation + Biodiversity	1	1	2
Land Degradation + International Waters	4	-	4
Integrated Ecosystem Management (OP12)	-	3	3
Total	11	12	23

Table 12: Regional distribution of the FY13 Cohort for the LD focal area

Region	MTR	TE	Total
Africa	8	4	12
Asia (including the Middle East)	2	2	4
East and Central Asia		6	6
Latin America and Caribbean	1		1
Total	11	12	23

33. A noteworthy regional trend is progress with building the foundation for SLM in East and Central Asia and investment in on-the-ground interventions in Africa. While the cohort with MTRs is dominated by projects designed under the GEF-4 *Strategic Investment Program for SLM in Sub-Saharan Africa (SIP/TerrAfrica)*, those with TERs are dominated by projects under the *Central Asia Countries Initiative on Land Management (CACILM)* program. This trend is important because it demonstrates the catalytic role of GEF in the establishment of institutional frameworks for advancing SLM at regional level. This approach is consistent with the GEF Country Partnership Program (CPP) for combating land degradation at national level, such as developed with Burkina Faso, China, and India.

Progress towards Outcomes

34. Based on synthesis of data from 17 of the 23 reviewed projects, GEF investments just over 1 million hectares of production landscapes (agriculture, rangeland, and forest landscapes). The other six projects were mainly regional and global, and did not include explicit measures of land area covered. Five of the six projects are from the ECA region and focused primarily on institutional support and capacity building for SLM. This suggests that earlier programming of LD focal area resources in this region was geared toward establishing the foundation for SLM. This was particular crucial for the Central Asian Countries (Kyrgyz Republic, Kazakhstan, Tajikistan, Turkmenistan, and Uzbekistan), which have established the *Central Asia Countries Initiative on Land Management as a regional platform for SLM*.

35. With regard to production landscape under SLM, an aggregated total area of 536,288 hectares was reported, with 190,793 hectares under GEF-3 and 345,495 hectares under GEF-4 (Tables 13 and 14). The overall SLM coverage includes land under agriculture production (255,519 ha), rangeland (171,677 ha), and forest landscape restoration/rehabilitation (45,461ha). A wide range of practices were reported, including contour ditches, soil and water conservation systems, cover crops, improved fallows, stone bunds, and restoration with multipurpose and salt-tolerant trees. As a result of these SLM practices, an estimated 65,575 hectares of production landscapes is reported as having increased vegetative cover.

Table 13: Progress toward outcome targets for GEF-3

GEF-3 Land Degradation Focal Area Goal - Mitigate the causes and negative impacts of land degradation, especially desertification and deforestation on the structure and functional integrity of ecosystems through sustainable land management practices			
Strategic Objectives	Indicators	Targets	FY13 Progress Reported
SO1 – To Develop an enabling environment that will place Sustainable Land Management (SLM) in the mainstream development policy and practices at the regional, national and local levels	Land area protected from degradation	About 10-20 million ha	<ul style="list-style-type: none"> • 190,739 hectares under SLM in agricultural landscapes (33,102 ha), rangeland (93,657 ha), and forest landscapes (22,068 ha) • 41,912 ha under increased vegetative cover
S02 – To upscale SLM investments that generate mutual benefits for the global environment and local livelihoods	Number of land degradation control plans (<i>under implementation as an integral part of their sustainable development programs</i>).	About 50-65 countries	9 countries developed land degradation control plans and multiple scales

Note: The targets are for the entire GEF-3 phase, while the progress data are only for the FY2013 cohort of projects.

36. In addition to spatial coverage, the FY13 cohort also demonstrated progress toward up-scaling of SLM through planning at multiple scales. At least 9 countries have developed plans at national level as contribution toward the GEF-3 target, while 5 partnership initiatives have generated regional and trans-boundary plans for collaborative implementation of SLM under GEF-4. In the three trans-boundary river basin projects – Kagera (GEFID 2139, FAO), Artibonite (GEFID 2929, UNDP), and Eastern Nile (GEFID 3398, World Bank) – participatory planning processes were used to develop integrated management plans at watershed levels. In the Uttarakhand Watershed Project (GEFID 3471, World Bank), participatory plans for integration of land, water, and biodiversity management were developed and implemented in 20 micro-watersheds.

37. The FY13 cohort further reinforces the importance of participatory planning as an important tool for stakeholder engagement in SLM implementation at multiple scales. Government agencies at national level, District level administration at sub-national level, Watershed Committees at landscape level, and Village Committees and Private Landowners at local level are identified as having a major role through vertical integration of the planning process. As a result, SLM interventions and associated outcomes are directly owned by stakeholders at all levels, including project beneficiaries. An estimated 815,800 individuals were reported as direct beneficiaries from implementation of projects included in the FY13 cohort.

Table 14: Progress toward outcome targets for GEF-4

GEF-4 Land Degradation Focal Area Goal - Mitigate the causes and negative impacts of land degradation, especially desertification and deforestation on the structure and functional integrity of ecosystems through sustainable land management practices		
Strategic Objectives	Main Targets Under the Targeted Allocations	FY13 Progress Reported
<ol style="list-style-type: none"> 1. Foster system-wide change and remove policy, institutional, technical, capacity and financial barriers to SLM 2. Demonstrate and up-scale successful SLM practices for the control and prevention of desertification and deforestation 3. Generate and disseminate knowledge addressing current and emerging issues in SLM 4. Demonstrate cross focal area synergies and integrated ecosystem approaches to watershed-based sustainable land management 	<ul style="list-style-type: none"> • At least 5 new countries with partnership programming frameworks for SLM that crosssectorally align policies and programs in three main production sectors • At least 20 additional countries in which main barriers for SLM are removed • At least 25 community-based initiatives that apply innovative and best practices for SLM in demonstration areas. • At least 15 initiatives that have successfully up-scaled practices for SLM. • One knowledge management system (including indicator framework) • At least 5 watersheds that promote an integrated ecosystem approach to SLM in areas with high potential for multiple global environmental benefits • 11million ha of land under SLM 	<ul style="list-style-type: none"> • Five (5) Central Asian countries formalized a multi-country partnership framework for sustainable land management (CACILM) to be implemented nationally and through transboundary collaboration • Thirteen (13) countries are collaborating to remove barriers to SLM at scale: (Burundi, Rwanda, Tanzania, and Uganda for multi-scale and multi-sectoral approach to SLM in the Kagera River Basin; Haiti and Dominica Republic on SLM in the Artibonite River Basin; Egypt, Ethiopia and Sudan for implementation of the Strategic Action Plan in the Eastern Nile Basin; China and Mongolia for addressing threats from Dust and Sand Storms, including action plans for demonstration sites • Eleven (11) countries (Benin, Burkina Faso, Guinea, India, Kenya, Kyrgyzstan, Mauritania, Niger, Senegal, Slovak Republic, Uzbekistan) all successfully completed SLM projects involving removal of barriers; • More than 20 watersheds with integrated approach to SLM in Uttarakand State of India (Asia), the Kagera River and Eastern Nile Basin (Africa), and the Artibonite River Basin (LAC) • 347,495 hectares under SLM in agricultural landscapes (222,419 ha), rangelands (78,020 ha), and forest landscapes (23,393 ha) • 23,663 hectares of production landscapes with increased vegetative cover

Note: The targets are for the entire GEF-4 phase, while the progress data are only for the FY2013 cohort of projects.

INTERNATIONAL WATERS

38. This year is the third year using the new consolidated IW tracking tool, which combines the GEF-3 and GEF-4 tracking tools with GEF-5 objectives into one common tool, eliminating the need for program managers to match the proper tracking tool to each project's GEF replenishment phase. The consolidated tracking tool can now be completed for all *currently implemented* and future GEF IW projects at project milestones - project inception, mid-term evaluation (MTR), and terminal evaluation (TE), while indicators are continuously revised for optimal reporting practices.

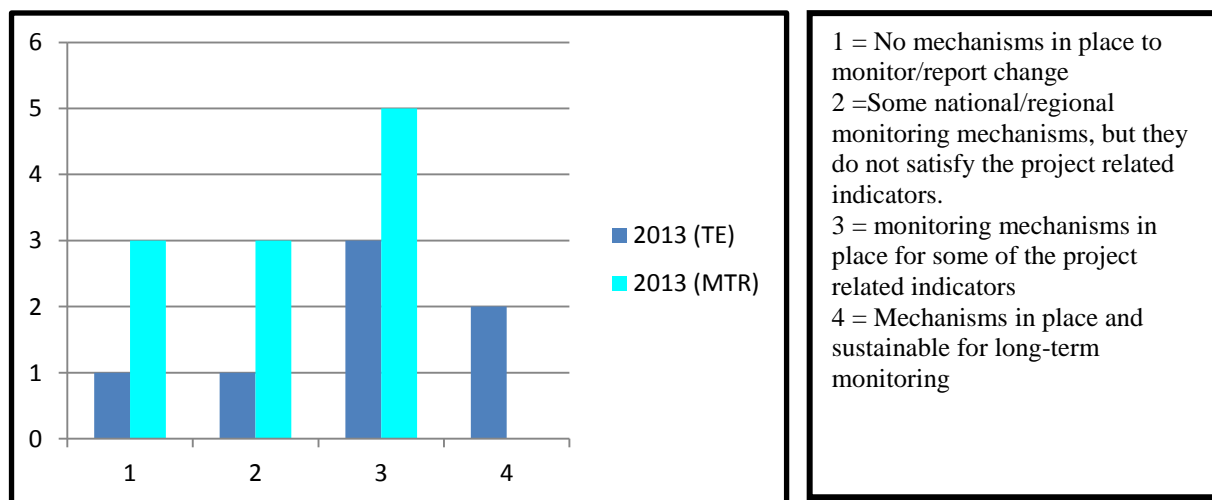
39. Of the 24 projects either at midterm or terminal evaluation, only 23 projects were required to submit Tracking Tools.¹⁶ Since all 23 Tracking Tools have been received the 2013 AMR is consistent with last year's positive trend of submitting all Tracking Tools in due time to feed into the IW AMR analysis. A total of 15 tracking tools were submitted for projects at MTR and eight were submitted for projects at TE.

40. This year's PIR analysis continues to report on interesting observations between projects at MTR and those at TE. The below sections highlight interesting findings concerning Stress Reduction Monitoring, the formation of Inter-ministerial Committees (IMCs) and quantitative stress reduction results.

41. Stress Reduction Monitoring (indicator 13 of the tracking tool) was commonly reported at the MTR and TE milestones. The results indicate how monitoring mechanisms can mature with the project, as multi-country institutions are established, regional, national and sub-national capacities strengthened, and community ownership secured. Of the 11 projects reporting on this indicator at the MTR milestone, none have mechanisms in place that are sustainable for long-term monitoring, five have monitoring in place that satisfies some of the project indicators, three have national/regional monitoring in place that does not satisfy project indicators, and three have no monitoring mechanisms in place (see Figure 1 below). However, by TE, results have improved. Of the seven projects reporting on this indicator at TE, two have mechanisms in place for sustainable long-term monitoring, three have monitoring in place that satisfies some of the project indicators, one has national/regional monitoring in place that does not satisfy project indicators, and one has no monitoring mechanisms in place.

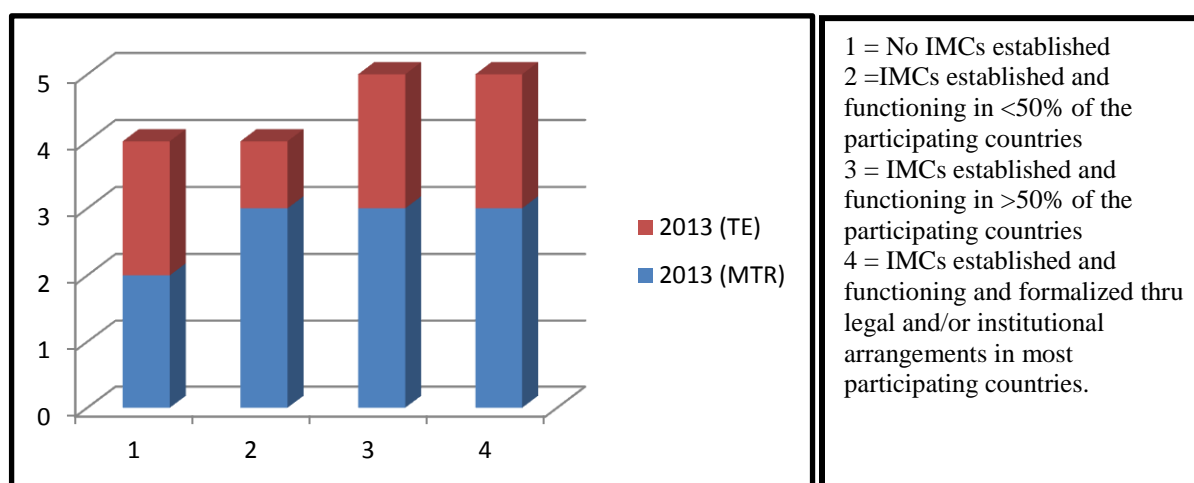
¹⁶ Note that the MACEMP project (GEF ID 2101) is not required to submit an IW Tracking Tool.

Figure 1: Distribution on Stress Reduction Ratings from the IW Tracking Tool at the two project milestones.



42. Inter-ministerial Committees (IMCs) are implemented to facilitate cross-sectorial cooperation within the national ministries, while also ensuring the long term sustainability of the investments. Ideally, figure 2 below should show a clear tendency towards projects at Terminal Evaluation having functional IMCs in place in most participating countries. However, with two projects yet to establish IMCs at TE stage the data shows no clear trend. In order to understand the lack of a clear trend it is necessary to look more closely at all four projects with a 1 rating.

Figure 2: Distribution of Interministerial Committees (IMCs) based on their maturity level



43. Out of the two projects that at TE, does not have any ICM established, the “CTI West Pacific-East Asia Oceanic Fisheries Management Project” - under the Coral Triangle Initiative is a capacity building MSP, primarily for coordinating regional monitoring and thereby addressing the inadequate scientific knowledge about oceanic ecosystems and their relationship with fisheries resources. It is not expected that an MSP, especially not one with this focus, to have

IMCs established, whereas for projects with substantial policy framework development and national implementation it would be essential for long term sustainability to have IMCs established and functioning.

44. Building on this logic, the other project “The Western Indian Ocean Marine Highway Development and Coastal and Marine Contamination Prevention Project” should have had national IMCs established and functional. However, since the GEF IW Tracking Tool had not been developed at the time of the Endorsement of this project and delivery of ICMs was not a formal requirement, it is not appropriate to require it at the time of project closure. The other two projects with a 1 rating in this year’s AMR for IMC establishment are both situated in the southern Mediterranean region, which have experienced some turbulent years, which have not been conducive for the establishment of Inter-Ministerial Committees.

45. One interesting trend that figure 2 indicates is the fact that out of five projects with fully functional IMCs (rating 4) three of these are situated in the Adriatic/Eastern European region, suggesting that some regions may find it easier to work through IMCs, either due to historical or cultural reasons.

Quantitative Stress Reduction Results

46. Moving to the new tracking tool has allowed projects to share quantitative stress reduction results for their demonstration and pilot investments when applicable. The results submitted for this FY provide some interesting information, such as:

- (a) Total area under improved management, as a direct consequence of IW investments, totals 3,176,518 hectares. Please note that the UNDP project focused on integral coastal management “Implementation of Sustainable Development Strategy for the Seas of East Asia (SDS-SEA)” makes up the majority of the total area (2,727,766 hectares).¹⁷ The project addresses constraints to sustainable development including: pollution reduction, biodiversity loss/habitat restoration, coastal fisheries/food security and alternative livelihoods.
- (b) This year only two projects reported on the stress reduction impact categories as used in the 2013 PIR/AMR. More concretely a reduction of BOD: 3,238 t/year, N: 28 t/year and P: 3.5 t/year has been reported. It is important to note that the goal is to demonstrate cost effective and highly innovative technologies that potentially can be scaled-up and replicated with substantial impact¹⁸.

GEF5 IW Targets Fulfilment

47. Examination of the GEF5 IW targets in the PIR/AMR for 2013 reveals that the International Water Focal is on track to meet or exceed all the targets in the GEF5 IW Strategy. The FA has funded projects that aim at facilitating multi-state- cooperation in five transboundary

¹⁷ Only numerical references in Tracking Tools have been counted and hence are underreporting the total area; the data reported in the TTs did not allow to disaggregate terrestrial and marine areas.

¹⁸ It is worth noting that the reported stress reduction data will vary significantly from year to year, depending on the nature of the projects in question. Further, not all Tracking Tools report on the same parameters, which may reduce the amount of data that credibly can be extracted.

water systems (83 % of the replenishment target) and adoption and/or implementation of national/local reforms in 23 different countries. Further, funding targeting adoption/implementation of national/local reforms in nine large marine ecosystems (180 % of the replenishment target) involving 56 different nations have been provided to date. Finally, projects aiming at multi-state agreements on commitment to joint ecosystem-based action in seven new water-bodies have been funded.

CHEMICALS

48. This section focuses on results from the projects under the Chemicals focal area, which strategic objectives are condensed into phase-out of harmful chemicals and reduction of their releases. The 24 projects reviewed in FY 13 AMR cover persistent organic pollutants (POPs), especially polychlorinated biphenyls (PCBs) and pesticides, development of guidelines for updating National Implementation Plan (NIP) under the Stockholm Convention, mercury and ozone-depleting substances (ODSs). In FY13, nine mid-term reviews (MTR) and eight terminal evaluations (TE) were submitted by agencies for projects in the Chemicals Focal Area as shown in Table 15. As well, a total of 17 tracking tools (TT) were submitted. For FY 13 AMR, 24 projects were reviewed, which includes the records of seven TTs without MTR or TE. By replenishment phase, 18 are GEF-4 projects while five are for GEF-3 and one is for GEF-5. Out of the 24 projects, two are multi-focal area projects developed in GEF-4. In terms of the size of the projects, 17 are full-sized projects (FSPs) while seven are medium-sized projects (MSPs).

Table 15: Projects Reviewed and Document Received

	Total	Mid-Term Review	Terminal Evaluation Report	Tracking Tool
GEF-3	5 (5)	0 (0)	3 (3)	3 (3)
GEF-4	18 (12)	9 (9)	4 (0)	14 (11)
GEF-5	1 (0)	0 (0)	1 (0)	0 (0)
Total	24 (17)	9 (9)	8 (3)	17 (14)

The number in parenthesis is the number of FSPs.

49. Table 16 illustrates the number of reviewed projects by main objective. The main objectives are in line with the category of the tracking tool and also serve as thematic criteria to assess the results of the projects. One project (Agency: UNDP, GEF ID 1802, TE), which addresses health-care waste, has two objectives (UPOPs and mercury). The following paragraphs describe the essence of the results of the projects by this category.

Table 16: Number of Projects Reviewed in FY13 by Main Objective

	Main Objective	Number of Projects
POPs	Capacity building for the implementation of the Stockholm Convention on POPs	3
	Development of alternatives to DDT	2
	Reduction of un-intentionally produced POPs (UPOPs) - dioxin/furans	5
	Management and disposal of PCBs	10
	Management and disposal of obsolete pesticides, including POPs	2
Mercury	Mercury management and reduction on a pilot basis	1
ODS	Phase-out of ODS and reduction of ODS release	2

50. With regard to capacity building, the regional project (Agency: UNIDO, GEF ID 2720) has developed appropriate strategies in both Nigeria and Ghana to systematically identify POPs contaminated sites and take preliminary steps to mitigate the adverse effect on health and environment. The global project (Agency: UNIDO, GEF ID 4410) has developed guidelines for assisting countries in the preparation and updating their NIPs under the Stockholm Convention. Countries which request GEF funding for reviewing and updating their NIPs are supposed to follow the guidelines. Therefore, the guidelines are expected to ensure quality of updated NIPs, bringing in consistency and comparability among the updated NIPs.

51. Alternatives to DDT, which is a POPs pesticide regulated under the Stockholm Convention, were the subject of two China UNDP projects. One project (Agency: UNDP, GEF ID 2629) aims to eliminate DDT used in Dicofol production. The project has already achieved its target to reduce annual use of DDT (Table 17). Through the project, DDT produced and used for Dicofol production has been phased out. The other project (Agency: UNDP, GEF ID 2932) aims to develop a strategy to eliminate the use of DDT as an additive in anti-fouling paint production. The project led to the government regulation that bans the production, use, circulation and import of DDT and DDT-containing product, and successfully eliminated the use of DDT too.

52. For the Dicofol project the project outcomes have led to other provinces of China implementing the alternatives, including integrated pest management, in their own pest management strategies which further reduced the use of DDT. This was achieved by demonstrating the significant economic savings that were achieved by implementing the alternatives which had an impact on the profitability of the farmers involved in the project.

Table 17: Reduction of Dichloro-Diphenyl-Trichloroethane (DDT) Use

Indicators	Number of projects	Target reduction (tonnes)	Achieved to date (tonnes)
Annual use of DDT targeted by the project	2	4580	4580

53. To reduce un-intentionally produced POPs (UPOPs), namely dioxins and furans, 18 countries received GEF support through five projects. Since these projects mainly focus on development of frameworks to reduce UPOPs, quantitative targets were not established. Given the fact that UPOPs are emitted from a variety of sources (e.g. waste incinerator, open burning of waste, industry sector etc.), the five projects supported countries to reduce UPOPs emitted from targeted sectors. Under the UNIDO regional project (Agency: UNIDO, GEF ID 2865), for example, four countries (Egypt, Jordan, Sudan, and Yemen) promoted best available technologies and best environmental practices (BAT/BEP) to reduce UPOPs from the key industry sector for each country (asphalt mixing, flaring, quicklime production, industrial boilers). Pilot demonstration activities in these sectors have led to the elimination of 31 mg I-TEQ (International Toxic Equivalents) dioxin/furan releases annually. The UNDP project in Nigeria (Agency: UNDP, GEF ID 3804) reduced UPOPs released from open burning of waste in a pilot city through household-level waste sorting and collection program and alternative approach to agricultural waste burning. What are missing from the reports are the types of technologies that were implemented and the successes or failures associated with the technologies.

54. On PCB management and disposal, two TE reports were submitted, both of which set targets to reduce PCB-contaminated equipment and waste (Table 18). The World Bank (WB) project in China disposed of a total 11,428 tonnes of low- and 1,190 tonnes of highly-contaminated PCB wastes, using technologically appropriate, environmentally-safe thermal desorption or incineration techniques, in accordance with the Stockholm Convention guidelines and standards. The project found that the actual volume of high contamination waste was lower than estimated due to fewer clean-up sites and difficulty in estimating volume without beginning cleanup. The UNIDO project in Macedonia (GEF ID 2875, MTE) exceeded its target through phase-out and clean-up of 124 PCB-containing transformers in most critical condition.

Table 18: Poly-Chlorinated Biphenyls (PCB) Disposal for Completed Projects

Indicators	Number of projects	Type	Project Target (tonnes)	Achieved to date (tonnes)	Cost (\$ per ton)
PCB contaminated equipment and wastes disposed	1	Highly contaminated waste	1200	1190	3825
		Low contaminated waste	10000	11428	420
	1	PCB containing transformer	150	167	N.A.

55. Mid-term reviews or tracking tools or both were submitted for eight PCB-related projects. The UNEP regional multi-focal area project in the Mediterranean Sea and its coastal areas (Agencies: UNEP/UNIDO, GEF ID 2600) was affected by political events, being forced to delay the PCB component. This underpins the need for risks to be carefully identified during the project preparation phase and mitigation methods developed to deal with the risks should they become a reality. For the other seven projects, Table 19 illustrates the implementation status in terms of environmentally sound management (ESM) of PCBs. In four countries (Kazakhstan, Kyrgyz Republic, Mexico and Peru), ESM plan for PCB management or alternative framework have been developed. In Azerbaijan (Agency: UNIDO, GEF ID 3543) is in the process of establishing PCB decontamination equipment. In Mongolia (Agency: UNIDO, GEF ID 3542), a unit of PCB decontamination is operating.

Table 19: Status of PCB Management Projects under Implementation

Indicators	Number of projects	Implementation Status		
		ESM plan has been developed	Infrastructure and logistics in place	ESM of PCBs budgeted and implemented
Environmentally sound management (ESM) of PCBs in place	7	4	1	2

56. For these projects under implementation, the status of cumulative PCB disposal is shown in Table 20. Since these projects are in the middle of implementation, it is premature to discuss the achievement of the targets; however the results so far are consistent with the stage of implementation. In the majority of PCB projects the first half of the project develops detailed inventories and set up the interim storage and management of PCBs while the latter half of the projects deal with disposal of the PCBs and decontamination of contaminated equipment.

Table 20: Cumulative PCB Disposal for Projects under Implementation

Indicators	Number of projects	Project Target (tonnes)	Achieved to date (tonnes)	Cost (\$ per ton)
PCB concentrated oils disposed of	2	889	5	N.A
PCB contaminated oils disposed of, or decontaminated	1	1093	2872	6190
PCB capacitors disposed	1	200	0	N.A
PCB contaminated equipment and wastes disposed	4	4380	690	2800–5030
PCB oils and PCB contaminated equipment under safe storage	2	200	20	N.A

57. Two projects for management and disposal of obsolete pesticides in eight countries were reviewed for FY 13 AMR. The regional project “Africa Stockpiles Program–Project 1” (Agency: World Bank, GEF ID 1348) disposed 3,164 tonnes of publicly held obsolete pesticides and associated waste in four participating countries (Ethiopia, South Africa, Tanzania and Tunisia). The project in Vietnam (Agencies: UNDP/FAO, GEF ID 3105), which reached mid-term review, revealed POPs pesticide waste scattered in a large number of sites and mixed with other materials (soil, clay) instead of initially planned pure POPs pesticide stockpiles. Therefore, the mid-term evaluation report suggests rearranging the project framework. This could have been avoided by more work being done during the preparation phase for identifying the stockpiles.

58. On mercury, the global project (Agency: UNDP, GEF ID 1802) aims to demonstrate and promote best techniques and practices for reducing health-care waste to avoid environmental releases of dioxin and mercury. Mercury is included in medical devices such as thermometers and sphygmomanometers. Through the project, two countries (Latvia and Vietnam) established and enforced new regulations on health-care waste management, which ensures the implementation of environmentally safe waste management at hospital facilities and disposal by means of BAT/BEP compliant technologies. Other participating countries have drafted similar regulations or plans as well. In addition to the better waste management at hospital level, the project accelerated shifting from incineration, which might be the source of UOPs, to autoclaving followed by waste recycling and landfilling.

59. Two ODS-related projects were reviewed for FY 13 AMR. The hydro-chloro-fluoro-carbon (HCFC) phase-out project in countries with economies in transition (CEITs) (Agencies: World Bank, UNDP, UNEP, UNIDO, GEF ID 2331). This MSP aims to support CEITs to prepare HCFC phase-out. Built on the outcomes of this project, six CEITs have developed GEF projects to phase out HCFCs in their countries in order to meet their obligations under the Montreal Protocol. The other (Agency: UNIDO, GEF ID 3541) is a multi-focal area project which aims to phase out 600 ODP tonnes of HCFC in the foam and refrigeration manufacturing sectors in the Russian Federation. The GHG emissions reduction resulting from the phase-out is

estimated to approximately 16 million tonnes of CO₂ equivalent. Up to the time of the mid-term review, the achievements of the project include changes to the Russian legislation on banning import of ODS containing equipment and conversion of foam manufacturing to non-ODS technology.

60. On the whole, the chemicals projects under the review for FY 13 AMR contributed to countries' implementation of the Stockholm Convention and the Montreal Protocol. While it is premature to draw a definitive conclusion due to the limited number of reviewed projects, the portfolio of the focal area has been on the right track towards the achievement of the strategic objectives. In addition to the descriptions in the above paragraphs, the GEF supported capacity building for stakeholders and institutions. Some projects did not achieve initially planned targets due to reasons such as political unrest and change in national administrative arrangements. Experiences and lessons learned from those projects should be reflected in designing and implementing future projects. Moreover, projects in the middle of implementation are expected to achieve their targets through continuous effort in the rest of the project duration.

CHAPTER 2:

FOCAL AREA LESSONS LEARNED

61. For the AMR 2013, over 215 GEF projects across the focal areas that underwent mid-term or terminal evaluations were reviewed to synthesize portfolio level lessons. This section contains a summary of the findings from the process and includes highlights of best practices.

BIODIVERSITY

62. The Biodiversity focal area lessons learned assessment focused on design and implementation of projects that address the two primary objectives of the GEF-3 and GEF-4 biodiversity strategies: (i) Catalyzing the Sustainability of Protected Areas Systems at National Level; and, (ii) Mainstreaming Biodiversity Conservation in Production Landscapes/Seascapes and Sectors (Annex 4). GEF achieves objective one through *support to improving management effectiveness and financial sustainability of protected area systems* and objective two by *changing production practices in the landscapes outside of the protected area estate through a mix of incentives, policy changes, and improved production methods that are more biodiversity friendly* than existing practices. In this year's AMR, we also identify whether trends from last year's AMR still hold.

Improving Management Effectiveness of Protected Areas

63. Measuring changes in biodiversity status and condition within the context of relatively short-term biodiversity projects remains a challenge in biodiversity conservation. The Management Effectiveness Tracking Tool (METT) has been used as a proxy of biodiversity status and condition within GEF-supported protected area projects since July 1, 2004. Learning missions conducted by the GEF in previous years (Zambia, 2010 and India 2012), demonstrated that the METT remains a reliable proxy of biodiversity condition. The assessment of biodiversity condition is an area that the GEF will further strengthen by revising this element of the METT for application in GEF-6.

64. One robust finding from the biodiversity learning missions was that progress or lack thereof in threat reduction demonstrates a strong correlation to biodiversity condition. Threat reduction indicators are often more immediately responsive to short-term project interventions and the data from threat reduction are easier to collect than biological data. Therefore, in this year's AMR we also continued our analysis of this relationship and whether projects have adapted and are applying this understanding. The results of the review of submitted METTs were discussed above.

65. While virtually all projects identify the threats to protected areas within the Management Effectiveness Tracking Tool (METT) as the METT requires, very few projects (less than 25%) rigorously track threat reduction indicators, even when the projects employ threat reduction responses as part of project implementation. This remains a weakness in past project designs and is a finding consistent with last year's AMR and should be addressed in projects that are still under implementation. We note that many project designs approved in GEF-5 have included threat reduction indicators as part of the complement of direct and proxy indicators of biodiversity condition. In addition, projects in this year's AMR cohort are presenting unrelated proxies such as habitat extent, area under protected status, land management plans, and METT scores as the indicators of threat reduction and this should be corrected during project implementation.

Project Case Study on Protected Area Management Effectiveness

66. The *Guangxi Integrated Forestry Development and Conservation Project*, which completed its terminal evaluation this year, demonstrated good practice with regards to some of the challenges in protected area management. In particular, the project clearly showed the potential of biological monitoring to complement the assessment of management effectiveness. The use of protected areas that did not receive GEF support as a control group was a first in the focal area portfolio in implementing this experimental design. The project showed the potential of GEF and WB blended operations to advance sustainable natural resources management and biodiversity conservation.

67. The project demonstrated a few key lessons for the GEF protected area portfolio. First, properly funded and designed biological monitoring can generate critical data within the time-frame of a GEF project and should be fully considered as part of the design process and as a complement to the METT. Second, experimental design approaches within protected area projects are not, by definition, difficult or morally hazardous; this case demonstrated their potential utility in helping develop the evidence base for strategies geared towards improving management effectiveness. As such, the use of such experimental designs within GEF's protected area portfolio must be further encouraged.

68. This project (GEF: \$5 million, Cofinance: \$100 million), implemented by the World Bank, aimed to improve the effectiveness of forest management and institutional arrangements in timber production, watershed protection and nature reserves management in selected areas of the Guangxi Zhuang Autonomous Region (GZAR) in China. The project successfully improved the conservation status of the globally significant biodiversity of the GZAR by ensuring effective in-situ protection of threatened and globally important forest habitats and rare and endemic species. Furthermore, the project improved effectiveness of timber plantation management, as well as improving institutional capacity by improving planting stock quality, introducing new silviculture technologies, providing intensive training and extension, actively engaging land owners in project planning and execution and by introducing appropriate operational arrangements for execution. These activities combined increased forest productivity compared to non-project areas by 34% as measured by annual timber volume growth per hectare.

69. A complement of approaches were introduced which strengthened nature reserve (NR) management including the development and implementation of community oriented approaches to conserving biodiversity supported by technically-sound management interventions. In addition, critical areas outside the existing nature reserves meriting protection were identified and cost effective approaches to their conservation were put in place.

70. As a result of these actions, the target outputs set for each of 5 project nature reserves were met or surpassed with the populations of key protected species increased and the protection of natural resources improved (e.g, Kilometric abundance score for four forest-dependent pheasants in Maoershan Nature Reserve increased from 0.4 (baseline) to 1.01 at the terminal evaluation, and the number of Francoisi leaf monkeys in Nong Gang Nature Reserve increased from 66 (baseline), to 80 (mid-term) to 98 (terminal evaluation)). Within all 5 nature reserves, key indicator species of limestone forest areas remained stable or increased. In addition, a rapid biodiversity assessment in south-west Guangxi karst area resulted in the identification of the

black crested gibbon (*Nomascus nasutus*) in Banliang forest areas, which justified and led to the establishment of the provincial level Banliang NR to protect the identified rare species and its habitat.

71. The GEF's Protected Area Management Effectiveness Tracking Tool (METT) was used to monitor progress in the five nature reserves. Simultaneously, a control group of comparable nature reserves which did not receive the project "treatment" was also monitored during project implementation. While GEF has encouraged projects to advance the development of the evidence base for conservation through the use of experimental design approaches as was undertaken by this project, few have taken up this challenge and this is one of the first completed projects to report on such a comparison. The METT scores of nature reserves supported by the project finished with an average higher score of 76 when compared with non-project NRs which scored 52 on average. Project-supported nature reserves maintained a 48% higher METT score than a sample of comparable non-project supported nature reserves at the terminal evaluation.

Strengthening Financial Sustainability of Protected Area Systems

72. The lack of sufficient resources for even meeting the minimal basic requirements for protected area management remains a stifling barrier that prevents protected area authorities from meeting their management mandates. In response, dating back to the early days of the GEF and continuing with a more concentrated strategy beginning with GEF-4, GEF has focused on supporting countries to reduce the funding gap for protected area management.

73. GEF tracks progress in reducing the funding gap in protected area finance projects through the sustainable finance scorecard that was first developed by UNDP and subsequently adopted by the GEF. Submissions this year were a marked improvement over the previous years with the assessments being more comprehensive and complete (fewer data gaps) than in the past and almost all projects including a wealth of explanatory information to support the numbers presented. However, we have noticed some shortcomings in the tool's application in the GEF context that will be improved for application in GEF-6 as described below. The tool itself requires proponents to execute the first robust economic analysis that many protected area systems have undertaken in such a rigorously logical way. As noted in last year's AMR, we again identified changes in funding gap identification from the baseline as the project conducts more comprehensive analysis on an ongoing basis that is more robust than can be executed during the project design phase. This has resulted in instances where projects have reduced the baseline funding gap, but, by the time of project mid-term or closure and because of its fluid nature, the gap has actually increased during project implementation.

74. The biodiversity cohort included 10 projects aimed to improve financial sustainability of protected area systems. The results drawn from these projects reported limited success in achieving meaningful reductions of funding gaps through revenue enhancement and improved revenue capture. These results point to a continued need for GEF's long-term support to protected area management, particularly in light of Aichi Target 11 to expand the area of the terrestrial and marine protected area estate. In addition, protected area authorities may need to re-assess how funding assessments at the system and site levels are conducted in order to identify more realistic resource requirements. Site management costs will likely vary markedly throughout any protected area system based on the circumstance of each protected area thus

requiring future GEF projects to implement more sophisticated analytical metrics to more accurately identify management costs per hectare per site.

75. Going forward in GEF-6, we will revise the sustainable finance scorecard to include an additional assessment that defines a “bare-bones” budget for both the site and system level that moves beyond paper parks but that does not aspire to Yellowstone National Park standards, as evidence in the GEF portfolio is mounting that a “bare-bones” budget may be the most realistic level of funding that many protected area system authorities can hope to achieve given limited potential for many protected areas and protected area systems to generate significant additional revenues through tourism, entrance fees, payment for environmental service schemes, etc.

Mainstreaming Biodiversity Conservation in Production Landscapes/Seascapes and Sectors

76. GEF’s strategy to support biodiversity mainstreaming focuses on the role and potential contributions of both the public and private sector. The strategy aims to strengthen the capacity of the public sector to manage and regulate the management and use of biological diversity in the productive landscape and seascape while also exploiting opportunities to support the production of biodiversity-friendly goods and services by resource managers and users including the private sector.

77. At the project and portfolio level, GEF has been assessing progress in biodiversity mainstreaming through measuring: (i) policy development and implementation; (ii) number of hectares under internationally recognized certification systems; and (iii) market transformation. All of these measures posit a theory of change that assumes that positive progress in achieving these indicators of biodiversity mainstreaming will eventually lead to an improvement in biodiversity status or at least a reduction in the rate of loss of biodiversity. Assessing the outcomes of biodiversity mainstreaming projects and their real contribution to biodiversity status and condition has been identified as a critical challenge in this year’s AMR. This is consistent with findings identified in the AMR FY2012 and as such requires further in-depth analysis. The theory of change underlying selected biodiversity mainstreaming intervention types (policy change, sustainable natural resources management, certification, market transformation, etc.) and how these interventions purport to impact biodiversity status or condition, both directly and indirectly, are not sufficiently explained. Furthermore, the status of the biodiversity targeted by these interventions is not adequately monitored in many biodiversity mainstreaming projects. It would therefore be useful, within the context of future biodiversity learning missions, to assess the extent to which biodiversity mainstreaming project types have moved along their hypothesized change pathway, how this is correlated to biodiversity status and condition, and how and when the outcomes and impact from biodiversity mainstreaming, either through objective proxies or direct measurements, might be detectable within the time frame of a GEF project, and in the subsequent years following project closure. This understanding will be critical in assessing the return on investment in GEF’s mainstreaming portfolio and for the broader conservation community, given the emphasis that the Strategic Plan for Biodiversity 2011-2020 places on biodiversity mainstreaming to achieve many of the Aichi Targets.

Project Case Study on Biodiversity Mainstreaming

78. The *Conservation and Sustainable Use of Biodiversity in the Dalmatian Coast* project underwent its terminal evaluation this year and demonstrates good practice in biodiversity mainstreaming, bringing together a complement of policy changes and incentives to foster changes in behavior by the private sector. This UNDP implemented project (GEF: \$7 million, Cofinance: \$24 million) helped Croatia seize a unique opportunity to improve the conservation of globally significant biodiversity in the Dalmatian coastal region before tourism and industrial development cause irreversible damage to the terrestrial, marine, coastal and island ecosystems.

79. The project has made significant progress in integrating biodiversity considerations into business development through creating an enabling environment. The project performed critical biodiversity inventories and mapped terrestrial and marine biodiversity in targeted sites in Dalmatia, which directly led to the incorporation of 2,300 ha of sensitive terrestrial sites (5% increase) and over 50,000 ha of marine areas into the National Ecological Network. In addition, development that may cause a significant impact in these areas is now legally required to undergo a Nature Impact Assessment with a view to assessing, avoiding and mitigating impacts on biodiversity.

80. The project has established incentives for promoting traditional agricultural practices—dating back over 3,000 years and incorporating hedgerows, rubble walls, and small natural ponds and natural vegetation patches—that are essential to the survival of many species in the region. Specifically, the project has prepared and implemented an action plan for the development of organic farming which has ultimately led to an increase in the ecologically sensitive land under organic cultivation from 500 ha to 1,970 ha and a decrease in the use of pesticides harmful to aquatic biodiversity in sensitive areas (this area is still being expanded post-project).

81. In the tourism sector, the project has supported the formulation and approval of voluntary eco-labels for hotels and rural tourism companies with strict biodiversity criteria—aimed at encouraging biodiversity-friendly tourism development (and providing an economic benefit—by allowing for product differentiation in the tourism industry and market diversification). The abandonment of farm land in the region causes degradation of the unique agro-ecological landscape mosaic critical to sustaining biodiversity, as the land becomes overgrown with weeds or is used for urban development; by encouraging and creating incentives for sustainable rural tourism, the project helps to increase the income from farming and therefore reduce the rate of land abandonment and pollution levels of coastal waters, a threat to marine biodiversity.

82. Finally, the project has implemented a Green Business Support Program (GBSP), with 83 businesses supported to develop conservation compatible ventures to replace conservation incompatible land uses; these include organic agriculture, shellfish farming, and eco-tourism. In order to improve the investment climate and market opportunities and measures for biodiversity-friendly enterprises, Partial Guarantee Loan mechanisms have been established through two prominent banks in the region; the biodiversity criteria developed by the project have been accepted by these banks within their SME financing processes and, to date, sixteen loans have been approved to biodiversity-friendly businesses. The GBSP is established in all four counties targeted under the project. As a result of this project, private sector investment in biodiversity-friendly businesses has increased from none to US\$ 19 million over project period. The project

has demonstrated that biodiversity-friendly businesses can contribute, at a site level, to lowering pressures on sensitive ecosystems and that over time such measures can be up-scaled to a sea/landscape level and have meaningful conservation impact.

CLIMATE CHANGE MITIGATION

83. The experiences and lessons gleaned from the review of CCM are in the areas of thematic lessons, innovations, project designs, monitoring and evaluation, institutional aspects, GEF catalytic effects, sustainability of outcomes, and reliability of GHG emission reduction accounting.

Thematic Lessons

84. The CCM FY13 thematic lessons focused on innovations and project design. Two CCM projects under implementation in FY13 provided lessons on innovations including new business models developed for the energy market and a new approach in an MFA project to achieve multiple global environment benefits, and 19 projects observed lessons related to project design issues, particularly, on project schedule and feasibility studies.

Innovations

85. Developing new and effective business approaches for clean energy market represents one of the CCM innovations in the projects analyzed. A GEF project in Kazakhstan reported three new and effective approaches for clean technology market deployment in the country (Box 1).

Box 1 Three Innovative Business Approaches in Promoting Energy Efficiency in Kazakhstan

The GEF promoted three new business approaches in the energy efficiency market in Kazakhstan through a project. The country was the largest emitter of GHG in Central Asia and ranked the third in carbon intensity in the World with 5 kg CO₂e/\$ (IEA 2001). The project goal was to reduce GHG emissions from the municipal heat and hot water supply systems in Kazakhstan and to lay a foundation for the sustainable development of these services. In order to leverage the financing into energy efficiency and to enhance the capacity of local stakeholders, the project brought three innovative approaches and proved successful in multiple localities.

The first approach was to build energy service companies (ESCOs) as an institutional mechanism for energy efficiency promotion. Meeting the needs of municipal governments of Almaty and Karaganda, the GEF project facilitated the establishment of ESCOs in the two cities to finance and implement energy efficiency projects on a full cost recovery basis. This was based on the expectation that the installation of the heat meter would produce direct energy conservation to the consumer due to current and expected lower heat consumption. By the end of the GEF project implementation, eight energy performance contracts (EPCs) were signed between the energy end-users and the ESCO managed by the municipal government. The investment areas included measuring heat supply with meters, shifting from the flat rate billing system to a consumption-based new billing system, and installing energy efficient technologies.

The second approach was related to the development and implementation of a new financial mechanism for developing, financing and implementing energy efficiency investments in both the supply side and the demand side. Under the present law, a revolving fund cannot be established by municipalities in Kazakhstan. The achievements of the GEF project to the date of mid-term included developing legal and regulatory documents for creation of revolving funds by the municipalities. The municipal government of Astana has revised its law, created a revolving fund, and managed it to implement the first phase of the Astana Municipal Energy Saving Plan. Other

municipalities such as the Almaty municipal government are working on establishment of revolving funds. More detailed information on volumes of the revolving funds will be reported at project completion.

The third approach was to effectively involve associations of apartment owners in energy efficiency promotion. This approach overcame the barriers to awareness of energy efficiency technologies and their benefits to energy end-users. The participation of the associations that were involved in energy efficiency financing for residential buildings supported and strengthened the other two business approaches. As a result, the project successfully leveraged financing from the government (\$52 million), the private sector (\$2 million), and other sources (\$159,000).

The project results, experiences, and lessons have been used as a basis for replicating similar measures in other part of the country, and will be used in other countries with economy in transition.

86. A GEF/ UN Industrial Development Organization (UNIDO) project in Russia is implementing an innovative MFA project to achieve multiple strategic objectives. The project activities combine promotion of energy efficiency, technology transfer, and phasing-out ozone depleting substances (ODS), with government policy and legislation development, government institutional strengthening, and private sector engagement (Box 2). The implementation rating (IP) of the project is highly satisfactory. The successful design and implementation experiences from this innovative project are expected to greatly benefit future GEF project design and implementation.

Box 2: A Successful CCM and Chemicals Multi-focal Area Project

In 2008, Russia produced 31,600 tonnes and imported 12,100 tonnes of hydrochlorofluorocarbons (HCFCs). In 2010, fossil fuel combustion related GHG emissions amounted to approximately 2 Giga tonnes of CO₂e. To support Russia in mitigating ODS and GHG emissions, the GEF/UNIDO developed an MFA project with multiple strategic objectives: (1) to improve energy efficiency in refrigerators and air conditioning; (2) to phase out HCFCs; and (3) to transfer ozone and climate friendly technologies.

The project achievements as of the MTR date included: (1) the Russian Legislation and Federal Law to ban on import of equipment containing ODS; (2) technical assistance provided to the private manufacturers; (3) conversion of foam manufacturing to cyclopentane at Pozis refrigerator factory; (4) improved energy efficiency designs for refrigerators based on refrigerant R600a, which has zero ODP and a neglectable global warming potential; and (5) activities underway to replace HCFC-141b with cyclopentane in foam manufacturing and introduction of a high efficient R600a technology.

At the country level, the project resulted in the change of national government policy and legislation. At state and city levels, the project resulted in the change in equipment manufacturing in the field. The project is under implementation, and will be reported again when it reaches the TE stage. The GEF financing enabled implementation of this complex project and allowed for delivery both climate change and chemicals related objectives.

Project Designs

87. When innovative instruments attracting synergies and multiple benefits are designed in a new market, the design or procedure should be simple with low transaction costs. For example, ESCOs and EPCs are new instruments in many GEF recipient countries. Practices in the *World Bank /GEFID2624 China Utility-based Energy Efficiency Finance Program (CHUEE)* have shown that these instruments reduced a large amount of carbon emissions, significantly

improved energy efficiency, created many new local jobs, and mitigated local pollutants. The World Bank has been replicating these new instruments worldwide. In Poland, the World Bank started with special ESCO models that offer simple contracts such as guaranteed ‘deemed energy conservation’ to public building institutions to get initial market traction. These models helped to reduce transaction costs and started building awareness among targeted public institutions. This GEF/World Bank project saves 68 GWh of electricity and mitigates 26,226 tonnes of CO₂ each year. In addition, the project created synergies in the preparation of an Energy Efficiency and Renewable Energy Development Policy Loan (DPL) for Poland for continued investments in energy efficiency and renewable energy projects and programs.

88. Financial guarantee instruments should be designed to fit individual countries. World Bank’s guarantee instrument, the Sustainable Energy Financing Facility, proposed in Macedonia and Poland failed to attract interest from local project stakeholders, and did not generate as many synergies as an earlier World Bank project on which the project was modeled. The earlier *World Bank/IFC guarantee instrument proposed in Hungary (HEECP2)* used \$4 million grant from the GEF to provide partial guarantees for energy-efficiency investment related loans. The project successfully contributed to the reduction of GHG emissions and other local pollutants, and generated many other social and economic benefits such as new jobs for the country. Major factors influencing the success and failure of financial guarantee instruments in countries include government energy efficiency policies, capabilities of local banks and financial institutions in energy efficiency project financing, energy prices, and awareness and availability of energy efficient technologies. The lesson was that guarantee instrument should be designed to fit individual countries’ economic, financial and technical conditions.

89. The above lessons showed that (1) the design of project methods and implementation modalities should be simple, easy to implement, and fit the economic and technical conditions of GEF recipient countries; (2) Institutional development and capacity building are crucial for some countries in Central Asia and Eastern Europe; and (3) Feasibility study at project preparation stage should be detailed to identify key barriers to help avoid challenges.

Monitoring and Evaluation

90. Among the project cohort, four CCM projects in particular reported experiences and lessons learned in the M&E procedures, methodologies, and indicators. One case is presented in this sub-section as an example.

91. Validated monitoring methodologies are necessary for monitoring indirect GHG emission reductions in the CCM focal area. A UNDP project in Ghana has a good mix of project activities – energy efficiency investments, policy and legislative development, capacity building, energy efficiency certification, and energy efficiency awareness promotion. The project’s direct GHG emission reductions can be easily monitored and evaluated by measuring the impact of substitution of 50,000 old and inefficient refrigerators with 50,000 new and efficient ones. However, the agencies and the county project stakeholders did not have a methodology to estimate indirect GHG emission reductions due to the complexity of the measurement. As a result, the project did not include indirect GHG emission reductions and likely underestimated the project benefits.

Policy and Regulatory Support

92. Of the 36 reviewed project MTRs and TEs, seven projects reported on the GEF impacts on government policy and strategies to overcome market barriers to clean energy technology investments. These projects are summarized and presented below.

93. Countries utilized GEF financing to enhance policies that support manufacturing of energy efficient appliances and promotion of energy efficiency in buildings. For instance, the government of Jordan provided alternative policy options, including as a supportive legal and initial regulatory framework for adopted appliance energy efficiency standards, certification, as well as enhanced data collection on appliance sales and stock, and a structured monitoring system labeling, that allowed the local manufacturers to upgrade their production facilities, and also increased the awareness of end-users and retailers of appliances (UNDP/GEFID 3215/Jordan). Top policy makers of the government of Kazakhstan have already recognized energy efficiency in buildings as a country priority due to the current and previous GEF projects. The country's energy efficiency policy has facilitated the sustainability and replication of energy efficiency projects.

94. Building on the governmental support and buy-in for the projects, GEF funding enabled countries to strengthen policies that enhance investments in renewable energy technologies. The Kenyan Ministry of Energy and the Energy Regulatory Commission targeted to set a policy and regulatory framework for promotion of small hydropower generation including standard power purchase agreements and feed-in tariff in the country, and the Project facilitated the achievement of the target. Through the aforementioned UNDP Kyrgyzstan project, the government of Kyrgyzstan approved policy and strategy on renewable energy promotion. These sound policies and strategies ensured implementation of renewable energy projects in the country. The UNDP Guatemala project helped strengthen clean energy and rural development policies in the country, including the proposal for the amendment of government agreement 211-2005; the legal regulation on incentives for the development of renewable energy projects decree 52-2003; a proposal for a national climate change policy; and a preliminary drafting of the integrated energy policy. Without these policies it would have been more challenging to promote productive use of renewable energy.

95. In Montenegro, the GEF support promoted small hydropower development. The GEF project facilitated the development of policies and regulations that promoted investments from independent power producers in small hydropower plants. Also, a highly satisfactory outcome has been achieved in the issuance of model tendering documents for small hydro power plants (SHPPs) that has led to the issuance of construction permits and signed power purchasing agreements for eight SHPPs (38 MW) and two wind farms (96 MW). Moreover, a third tender containing 10 SHPPs has been released in June 2013 for proposals. The lesson learned from this project is that national government participation in policy development was a key to success of small hydropower development. Without the needed support to the project by the Government on energy policy development, the project would have been delayed and could not have delivered on its planned outcomes.

Institutional Arrangement

96. Five of the reviewed projects reported that institutional arrangements and support to institutions was important to the success of GEF projects. This section highlights three of these projects.

97. Effective institutional framework greatly facilitated GEF project implementation and scale-up. The UNDP project in Kazakhstan benefitted significantly from effective cooperation with strong state institutions dedicated to construction and modernization of the housing sector and to energy efficiency improvements for buildings. State agencies and companies -the Agency for Construction and Housing and Municipal Infrastructure, and the Kazakhstan Center on Modernization and Development of Housing and Municipal Infrastructure - played a crucial role in successful project implementation and scaling up. For instance, the former ceiling of construction cost for new government-funded housing was approximately \$400 per square meter. It was difficult or impossible to design energy efficient buildings under that cost ceiling.

98. Through its technical assistance and capacity building activities, the project facilitated the increase of the ceiling of the government for the pilot buildings from \$400 up to \$535 per square meter, which set a precedent for the revision of the governmental policy and supported the design of a prototype energy efficient building. The government of Kazakhstan planned to construct thousands of such building across the country under its National Affordable Housing Program to scale-up the GEF/UNDP project nationwide. Another notable achievement of the GEF/UNDP project was the agreement with the Inter-State Custom Union including Russia, Kazakhstan, and Belarus, to introduce energy efficiency standards and labels for a range of construction materials and products, starting with energy efficient windows. By supporting the development of such standards, the project has therefore a potential to scale-up its impact beyond Kazakh border.

99. Different approaches were used in the GEF projects to promote collaboration among multiple institutions. The Energy Efficiency Standard and Labeling program developed by the UNDP project in Kenya successfully used a multiple stakeholder process to bring significant dividends in terms of institutional ownership by promoting collaborations among national institutions that were involved in the project). To strengthen institutional links among project partners and stakeholders in Slovak Republic, the UNDP project in the country has formalized project governance structure among these institutions. The project management took a dynamic role in keeping a constructive and cooperative atmosphere among institutions and stakeholders through the Project Steering Committee, as a means to facilitate further networking, cooperation and mutual understanding.

GEF Catalytic Effects

100. The GEF catalytic effects have been achieved through : (i) government policy development; (ii) demonstration of state-of-the-art technologies; (iii) institutional development and capacity building; (iv) engagement of the private sector; and (v) promotion of public awareness on clean energy technologies. Most of the reviewed CCM projects identified that government policy development and pilot demonstrations have played most effective roles to catalyze private sector investments in clean energy technologies, , as described below.

101. The UNDP Kenya project 19 successfully increased end-user awareness on minimum energy performance standards and regulations. By placing energy efficiency labels on energy consuming equipment and products in the market, and through educational and training campaigns, the GEF project played a catalytic role promoting energy efficiency throughout the country.

102. The UNDP Jordan project 20 set up an energy efficiency testing laboratory for washing machines. The purposes of the laboratory are to support the Jordan Standards and Metrology Organization to set up an online surveillance tool, provide alternative policy options for supporting local manufacturers in upgrading their production facilities, and increase the awareness of end-users and retailers of appliances. The GEF project is playing a catalytic role to promote energy efficiency in Jordan not only during the project implementation period but also beyond the project lifetime. .

103. The UNDP China project catalyzed energy efficiency in the household sector. The project objective was to increase the production and sale of high energy efficient room air conditioners. The key barriers were lack of: (1) expertise in cost-effective energy efficient air conditioner design; (2) production capacity for high efficient compressors; and (3) information for consumers about specific air conditioner models. To catalyze energy efficient air conditioners in the Chinese market, the project took a dual approach: technology push and market pull. On the technology push, the project increased the efficiency of room air conditioners manufactured in China by promoting new and existing energy efficient technologies. On the market pull, the most tasks will occur in the second half of the project, and are therefore not as well developed at the mid-term stage of the project. The Chinese government recently ended a massive rebate program, presenting a challenge to the scale of air conditioning products proposed by this Promoting Energy Efficient Room Air Conditioners project. The project will pull the market by addressing policy, regulatory and institutional barriers; monitoring the prices, sales volume, and availability of different types and brands of room air conditioners in the market; and sharing the market information and business opportunities with project stakeholders. As a means of catalyst, the project disseminated its success stories through yearly meetings with concerned organizations and industrial stakeholders.

Sustainability of Outcomes

104. In the CCM focal area, participation of the private sector in clean energy technology market development is essential for sustainability of project outcomes. Predictable and consistent government policies for the private sector engagement are prerequisites for private sector investment in clean energy technologies. Seven TEs in the cohort stressed the importance of private sector investments and the government role in terms of sustainability.

105. Developing partnerships with local banks and private investors helps sustainably scale up investment portfolio. The IFC/GEF project *Philippines Sustainable Energy Finance Program II* was aiming to directly support 80 sustainable energy (SE) projects with \$120 million in loans. The project focused on lowering risk for local partner financial institutions (FIs). By project

¹⁹ UNDP/GEFID2775/Kenya

²⁰ UNDP/GEFID3215/Jordan

completion, the project is on track to have \$200 million in total project investments for at least 200 SE projects in the partner FIs' pipeline. The project also helped to develop an energy efficiency policy note for the Department of Energy of the Philippines, assisted relevant government agencies in streamlining the registration, licensing and permitting for renewable energy projects, and produced SE evaluation tools and materials used by at least 400 partner FI account officers, end-users, service and technology providers. The invested energy efficiency projects are estimated to result in annual energy savings of 77,000 MWh, and the annual renewable energy production is estimated at 350,000 MWh. The total monetary value of savings from the SE projects is estimated to be \$ 42 million with an estimated reduction of GHG emissions of 9.0 million tonnes CO₂e throughout the 15-year life of the projects..

106. In the development of renewable energy technologies, the government needs to develop energy policy and regulatory frameworks aimed at stimulating the penetration of private sector projects. In Guatemala²¹, the major market and finance barrier to private sector investments in renewable energy technologies is that private investors cannot realize the economic benefits of providing access to electricity to rural communities due to low energy prices. Without attractive tariff and regulatory policies, the private sector participation in renewable power investments will continue to be constrained, lowering the potential of renewable technologies in the country.

107. In Uruguay, a UNDP project²² of \$1 million was sufficient to create the appropriate policy and regulatory framework to transform the market for large scale on-grid renewable energy power production. Using this public funding to create enabling conditions has catalyzed private sector investment opportunities in wind power sector on an impressive scale. By the end of the project, more than 43 MW of renewable power generation capacity was installed and under operation. By the end of 2015, the installed capacity will reach 450 MW, more than 3 times the goal of the project, and by 2016 the total capacity will reach 990 MW. This expansion of the market is entirely financed by the private sector.

108. Successful implementation of technology transfer and MFA projects require strong cooperation between the private sector and the government. It is particularly important to consider the role of the private sector when amending laws and developing government policy directives to deliver environmental benefits. The relationship between the public sector and the private sector, along with business culture and practices, has a great impact on the speed and the extent of project implementation. Private sector stakeholders may be wary of engaging in environmental activities or discussions unless the activities are supported by government law, incentives, and regulations. The GEF project, with an objective to phase out ODS and reduce GHG emissions, addressed such concerns by facilitating the development of ODS destruction facilities and an associated logistics network to provide both the government and private sectors with the cost-effective options for safe disposal of obsolete ODS. The model developed throughout the project²³ would be suitable for replication throughout Russia.

109. Private sector involvement in technology dissemination should be facilitated by government support. The GEF project in Egypt²⁴ created enabling conditions to involve both the

²¹ UNDP/GEFID2499/Guatemala

²² UNDP/GEFID 2826/Uruguay

²³ UNIDO/GEFID 3541/Russia

²⁴ UNDP/GEFID 1335/Egypt

government and the private sector in biogas development for households. With training of personnel and demonstrations to prove the viability of the biogas units used in households and small and medium enterprises (SMEs), and support from improved financing conditions for households and the SMEs, the project improved market demand for biogas units. Without the support from the GEF and the government, the private sector would not have invested in the biogas technology in a sustainable manner.

110. Private sector investments are the key factor for scaling up clean energy technologies in the Chinese market. Private sector investments in a GEF project in China²⁵ were expected to be \$20 million at the CEO endorsement stage. During the MTR stage, a total of \$262 million was confirmed from private sector investments. This 13-fold increase in private sector contributions to the project significantly enhanced the sustainability and scaling up of the GEF project.

Reliability of GHG Reduction Accounting

111. Reliability of accounting for GHG emission reductions from GEF projects have been improving over time due to three major actions taken by the GEF. The GEF and the STAP jointly developed several methodologies for agencies to calculate emission reductions for energy efficiency, renewable energy, and transport projects. These methodologies have been widely used by the agencies in developing, implementing, and evaluating GEF projects.

112. Also, with assistance from the STAP, the GEF classified (1) direct emission reductions as all emission reductions attributable to investments made during the project's supervised implementation period, and totaled over the respective lifetime of the investments, both during and post implementation; and (2) indirect emission reductions as emission reductions resulting from replication of GEF project activities, occurring outside the project's log-frame.

113. Furthermore, as a necessary condition for the GEF project development and implementation, the Agencies must include a plan of project M&E. The amount of GHG emission reductions is one of the indicators to monitor and evaluate in the plan.

114. Implementing and executing agencies are using various approaches and data to count GHG emission reductions in their projects. For example, the project *Reducing the Carbon Footprint of Major Sporting Events, FIFA 2010 and Green Goal* (GEFID3948), used the data and methodology of a study prepared by the South African Department of Environment Affairs and Tourism and Norwegian Agency for Development Cooperation.

115. In the November 2013 Council meeting, the Council requested the GEF Secretariat, in collaboration with the STAP and other relevant entities, to continue its work on the improvement of the methodology of GHG emission reduction calculations, and to engage in a dialogue to improve (1) the assessment of direct GHG emission reductions during project implementation and at completion, and (2) estimation of indirect GHG emission reductions. Working on this issue, the GEF Secretariat will report to the Council during the May 2014 Council meeting with proposals on the way forward.

²⁵ UNDP/GEFID 3700/China

Looking Ahead

116. The GEF-6 CCM Strategy has three objectives and five key programs of interventions to support the three objectives. These objectives comprise a multi-pronged strategy to help countries address key risks and barriers as they shift towards a low emission development pathway. The GEF-6 CCM Strategy encompasses opportunities that combine technologies, systems, financial and organizational mechanisms, policies, and best practices that help countries move towards innovative, rapid, and transformational change of addressing climate change. The five key programs represent a suite of measures to assess and address risks and barriers that remain in the transformation toward low-carbon development. The abovementioned lessons learned in the CCM AMR exercise will benefit GEF-6 projects to help achieve the CCM Strategic Objectives and outcomes.

CLIMATE CHANGE ADAPTATION

117. The qualitative analysis of climate change adaptation projects explored three broad themes: (i) key success factors and challenges behind project performance; (ii) synergies across climate change adaptation and global environmental benefits under other GEF focal areas; and (iii) mainstreaming climate change into policies, planning and decision-making processes.

118. The TE of the project *Albania: Identification and Implementation of Adaptation Response Measures in the Drini-Mati River Deltas* (Agency: UNDP, GEF ID: 3415) makes the important observation that the impact of adaptation interventions can almost never be verified immediately at project completion. Instead, the evaluation considers the degree to which the project was successful in removing the barriers for successful and sustainable adaptation. In this regard, the TE concludes that the project enhanced relevant capacities for systematic observation and forecasting in the targeted areas; and raised the interest, ownership and knowledge required for project beneficiaries to continue the implementation of adaptation strategies and measures beyond project completion. Indeed, the project was found to represent best practice in terms of capacity development, having achieved a delicate balance between developing sufficient skills and awareness to empower stakeholders, while not exceeding their capacities to absorb new information.

119. A major challenge facing project stakeholders and beneficiaries is to ensure that the positive momentum is sustained through follow-up action at different levels, including tangible investments in scaled-up, climate-resilient coastal zone management. The TE finds that there was a misunderstanding among local and regional stakeholders that the project would implement concrete adaptation measures within the project lifetime, whereas sufficient resources were in fact never allocated for this purpose. The finding suggests that a strategy to implement, sustain and scale up the adaptation options identified could have been more explicitly considered and communicated in advance. The TE of the project *Armenia: Adaptation to Climate Change Impacts in Mountain Forest Ecosystems of Armenia* (Agency: UNDP, GEF ID: 3417) indicates that this issue can be addressed up front in the project design. The project included a focused outcome on learning and replication, and the TE concludes that the adaptation measures introduced are now ready to be replicated through an investment project.

120. The following, key success factors were identified in the project in Armenia: (i) the project was well designed, in line with national needs and benefitting excellent stakeholder engagement; (ii) an excellent project team; and (iii) flexibility in allocating project resources and implementing activities in response to stakeholders needs. With regard to the latter, the TE notes that while the project had limited resources, the delivery of tangible benefits contributed to strong participation and clear models for replication.

121. All of the three climate change adaptation projects for which TEs or MTRs were received contributed not only towards climate change adaptation, but also towards the achievement of global environmental benefits, notably in terms of biodiversity and sustainable land management. In Albania, the expansion of protected areas in the targeted coastal zones was a centerpiece of the adaptation strategy pursued. In Armenia, vulnerability was reduced through reforestation and sustainable forest management, while the project in Tajikistan combined resources from SPA and the biodiversity focal area to promote the conservation of climate-resilient and globally significant agro-biodiversity. Although a complete assessment would entail complex counterfactuals and cost-benefit analyses of different adaptation options, the results reported suggest clear synergies and no evident trade-offs between climate change adaptation and global environmental benefits in the three cases considered. The TE of the project in Albania does note, nevertheless, that while the project set a target for the territorial coverage of protected areas and management plans, there were no specific indicators or targets for the development of the capacities of protected area employees, which represents a challenge for the sustainability of the biodiversity outcomes achieved.

122. All the projects considered in this qualitative analysis placed considerable emphasis on mainstreaming climate change adaptation into policies, planning and decision-making processes. The project in Albania was considered in the TE as best practice in terms of mainstreaming. The project adopted a multi-pronged approach in this regard, including the integration of climate change impacts and risks into environmental monitoring systems at the national and sub-national levels; enhancing the capacities of local stakeholders to design appropriate adaptation measures in response to risks identified; and developing or strengthening local and sub-national development plans, infrastructure investment designs and national, cross-sectoral strategies. In Armenia, mainstreaming was pursued mostly through guidelines and manuals, rather than plans as originally envisaged. It was identified that the forest management planning and forest management information system would be significantly improved through parallel efforts.

LAND DEGRADATION

123. The Land Degradation focal area strategy for GEF-5 includes learning objectives focusing mainly on experience from applying the integrated ecosystem management (IEM) approach. The learning objectives are specifically targeted toward documenting lessons from using to combat land degradation in production systems, and progress toward delivering multiple benefits at scale. But with most IEM projects (i.e. projects designed under the GEF Operational Program 12) completed or approaching completion, the FY13 review emphasized progress with SLM implementation. And since the IEM principles are largely embodied in SLM as defined by the GEF, the learning objectives are still relevant as basis for the portfolio synthesis.

124. The overall findings and lessons draw primarily on the FY13 cohort of projects with MTRs and TERs, as well as from the learning mission to India where the IEM approach was at the heart of the Sustainable Land and Ecosystem Management Country Partnership Program (SLEM-CPP). The lessons emerged mainly in the following areas: *institutional and governance frameworks for SLM implementation; approaches for stakeholder engagement in SLM implementation; linking the agreed GEBs to project level impacts at the different scales; synergy and tradeoffs in generating agreed GEBs from implementation of SLM projects at multiple scales; and GEF catalytic effect with respect to scaling-up and replication.*

Multi-scale Institutional and Governance Frameworks for SLM

125. The FY13 cohort demonstrates the importance of establishing appropriate institutional and policy frameworks for SLM implementation at local, national, and regional scale. At the local scale, this is largely manifested in majority of the projects by direct engagement communities and use of existing governance structures for decision-making processes. In the Uttarakhand Watershed project (GEFID 3471, World Bank), this level of engagement was the basis for planning, implementation, and monitoring of all activities in 20 micro-watersheds, which helped to reinforce “Gram Panchayats” as local governance authorities. At the national level, the framework involves engagement of government agencies with responsibility for agricultural and natural resource management.

126. The FY13 cohort included projects that contributed toward development of institutional and policy frameworks for SLM in 10 countries from Africa, Asia, and Eastern and Central Asia. A particular significance of national level frameworks is the removal of barriers and creation of incentives for land users to invest in SLM practices, which in turn facilitates large-scale application of best practices. The involvement of State Agencies in Uttarakhand played a major role in advancing innovations to support SLM implementation in the 20 micro-watersheds. As a result, the State Government is now well-placed to scale-up interventions across the entire fragile Himalayan ecosystem within its jurisdiction.

127. Regional level frameworks involve the creation of platforms and commitments to support collaborative engagement by countries in tackling land degradation challenges at scale. From trans-boundary engagement involving two countries to entire geographical regions involving multiple countries, this level of engagement is particularly crucial for promoting SLM in production system that extend beyond national boundaries. China and Mongolia established framework for addressing threats from Dust and Sand Storms, including action plans for demonstration sites to be implemented in both countries (GEFID 1870, ADB). In Central Asia, five countries formalized a multi-country partnership framework for sustainable land management to be implemented nationally and through trans-boundary collaboration (GEFID 2504, ADB). Four countries (Burundi, Rwanda, Tanzania, and Uganda) in the Kagera River Basin are working toward a common platform for multi-scale and multi-sectoral interventions to combat degradation in production systems (GEFID 2139, FAO). In the LAC region, a similar effort is underway between Haiti and Dominica Republic for the Artibonite River Basin where land and water degradation is threatening both upstream and downstream production systems (GEFID 2929, UNDP). Although these trans-boundary collaborations were noted as difficult with respect to achieving integration at scale, they still present opportunity for harmonizing SLM approaches, tools, and practices to benefit local stakeholders. This is particularly crucial where

the threat or extent of land and water degradation in targeted production systems extend far beyond national jurisdictions, as tends to be the case in most trans-boundary river basins and watersheds.

Stakeholder Engagement for SLM and Multiple Benefits

128. The role and importance of local stakeholders is demonstrated through “watershed committees or organizations” and “village committees” in majority of the FY13 cohort focusing on river basins and watersheds. This is supported by the application of participatory planning approaches with communities affected by land and water degradation. Evidence of the approach is reflected in several projects - Artibonite River Basin (GEFID 2929, UNDP), and Eastern Nile Basin (GEFID 3398, World Bank), Kagera River Basin (GEFID 2139, FAO), and the Mauritania Community-based Water Management (GEFID 2459, World Bank) - where SLM interventions were based on river basin or watershed priorities identified by affected communities.

129. Participatory processes play a major role in building ownership at for project outcomes – from development and management of watershed plans, to creating options for enhancing livelihoods and institutional strengthening. This ensures that communities participate actively in project activities from planning and implementation to monitoring and evaluation. In the Uttarakhand Watershed project (GEFID 3471, World Bank), various participatory mechanisms and tools, such as focus groups, were used to select and implement interventions, covering the aspects of community level development based on natural resources (water management, land management to increase fodder, livelihoods, agribusiness, etc).

130. The participatory approach with local stakeholders also ensures that global environment benefits are generated in the context of addressing drivers of degradation to improve flow of ecosystem services. For the Mauritania Oases (GEFID 3379, IFAD) and Uganda Cattle Corridor (GEFID 3393, UNDP) projects, participatory management planning was employed in livestock systems to improve use rights and coexistence of nomadic and sedentary practices. In addition to the delimitation of corridor for the livestock, communities are able to designate areas to be protected from grazing so that the vegetation recovers.

131. With the FY13 cohort dominated by watershed and river basin projects, participatory planning facilitates community-driven interventions that can contribute to improvement in the overall functioning of entire ecosystems. For example, in the fragile Himalayan highlands of Uttarakhand, interventions to improve soil and water conservation, reduce erosion and siltation, promote sustainable use of forest resources, and introduce pine briquetting as alternative energy source were promoted and applied by communities. These interventions resulted in increased forest protection (contributing to biodiversity conservation and sustainable flow of water resources), reduction in land degradation and improvements in soil carbon, and reductions in greenhouse gas emissions from deforestation. Because these outcomes are linked directly to needs of the communities, the potential for sustainability is more likely.

Synergy and Tradeoffs in Generating Agreed GEBs from SLM

132. Because of the dynamic nature of land uses, maintaining a balance in flow of ecosystem services is essential for long-term success of SLM interventions in production systems. However,

tradeoffs in land, water, and biomass production are inevitable, and therefore need to be managed at scale as part of the overall approach to SLM. This requires systematic monitoring and assessments of benefits relative to SLM interventions applied at multiple scales, including consistency in application of tools to measure and quantify the benefits. With the overall progress toward SLM coverage and improvements in vegetative cover reported by the FY13 cohort, it is clear that GEF investment is contributing toward agreed GEBs in the targeted production systems. Yet there is still lack of actual data from quantifying the benefits, especially those associated with above-ground biomass (as proxy for carbon sequestration), soil carbon, reductions in greenhouse gas emissions through SLM, and improvements in hydrological flow. For the few cases where data is available, there is lack of consistency in approaches and tools used for monitoring and measurement. As a result, assessment of tradeoffs at portfolio level is not possible despite the fact that the cohort is dominated by projects in river basins and watersheds.

133. Integrated ecosystem management projects designed to combat land degradation in production systems have been useful models for understanding synergy and tradeoffs in generating GEBs. Because the FY13 cohort included only three such projects, the review was expanded to include the SLM and multi-focal area projects targeting production systems. A wide range of GEBs were reported in the projects, from reduced sedimentation in waters to increased carbon storage and sequestration rates, increased soil organic matter. Improvements in agro-ecosystem and forest ecosystem services (i.e. water, products, etc.), and gains in above-ground carbon (i.e. vegetative cover) are the two most common environment benefits reported, even if not adequately or consistently quantified.

134. In the Uttarakhand Watershed project, silt loading in drainage lines in representative streams was measured using turbidity meter, and discharge and durability of flow for water sources based on time series measures. In addition, the project also quantified carbon benefits from alternative energy intervention (e.g. bio-gas, water mill, pine briquetting) that reduced deforestation for fuel wood, and biodiversity benefits from vegetation surveys in the watershed and areas of forest protected by communities. Evidence of synergy in the micro-watersheds manifested in two ways: i) *reinforcement of ecosystem service benefit*, such as use of Chir pine needles for briquette fabrication reducing deforestation and risk of greenhouse gas emissions from forest fires; or ii) *increasing ecosystem resilience*, such as reduced felling of trees for fuel wood contributing to biodiversity conservation and protecting the fragile slopes from the risk of catastrophic landslides.

Knowledge Sharing and Documentation for SLM Up-scaling

135. The FY13 cohort includes lessons on the importance of knowledge sharing and documentation for potential up-scaling of SLM. Knowledge sharing featured in all projects applying the participatory approach at different levels, and reflects the importance of linking scientific and traditional sources. In a number of projects, such linking was achieved through consultations with key stakeholders and communities, which helped to inform the choice, targeting and implementation of SLM interventions at scale. Knowledge sharing is also noted as a means of strengthening links between project implementing teams, civil society groups and beneficiaries. Farmer Field Schools featured prominently in some projects, such as the Kagera River Basin and Uttarakhand Watershed, where they serve as hubs for training and knowledge

sharing. In Uttarakhand, the FFS played an important role in the dissemination of information and knowledge about new techniques and methodologies to harness and preserve water resources, increase and diversify agricultural productivity and create alternative livelihoods.

136. Documentation of best practices and lessons learned from SLM implementation is also an important trend in the FY13 cohort. It is based on thematic studies, assessments, and surveys conducted during project implementation, and the results in some cases are used directly for decision-making on interventions. The cohort reported a wide range of documentation including “how-to-do” manuals, description of methodologies, community resource maps, watershed work plans, and synthesis of best practices. The Uttarakhand Watershed project also developed video documentaries of the project approach and specific interventions for dissemination as training tools.

137. The regional project on Stimulating Community Initiatives for SLM (GEFID 2184, UNEP) documented evidence of 16 community initiated strategies in four countries across Africa, which are noted as having a better chance of being sustainable than conventional farming or other natural resource management technologies imposed from outside. These and the documentation of lessons learned from the projects are invaluable for informing the design of other projects and for informing policy transformations to support the integrated approach at state and national level. More importantly, they can be shared as knowledge products (e.g. guidelines) with other government agencies, partners and donors as a means of facilitating up-scaling beyond the project areas. Increased access to documentation on SLM practices will also create opportunities for up-scaling through future GEF investments under the focal area.

GEF Catalytic Effect in SLM Projects with respect to Scaling-up and Replication

138. For the FY13 cohort of projects with MTRs and TEs, the GEF catalytic role was manifested in three major ways:

139. Removal of barriers for promoting SLM - The greatest GEF catalytic effect in this case is through improvements in land tenure and use rights, especially for smallholder farmers and livestock herders. GEF financing through projects in Burkina Faso, Kenya, Mauritania, Morocco, Niger, Nigeria, Senegal, and Uganda played a critical role in facilitating the removal of barriers related knowledge, institutional frameworks, or policy, which empowered target communities to adopt SLM practices that lead to improvements in livelihoods with GEBs. In the case of Uttarakhand, empowerment of “Gram Panchayats” enabled communities to identify and implement interventions that area appropriate to the needs and context. Successes with even a few communities or group of land-users can easily trigger engagement by others across increasingly larger geographical areas, thus facilitating the up-scaling and replication of SLM beyond the project area.

140. Investing in integrated approaches that underpin local development needs - The project cohort also includes evidence of how GEBs from SLM are linked directly to interventions that improve livelihoods and creating options for rural communities. The interventions financed by the GEF are related to the protection and management of ecosystem services, such as surface water protection, groundwater recharge, soil health improvement, mainstreaming biodiversity in forest restoration and management, and improving grazing land, and conservation of

agrobiodiversity. The Uttarakhand Watershed project was originally designed with the underlying assumption that strong links between livelihood needs and drivers of ecosystem degradation in the watersheds required an integrated approach to ensure long-term sustainability and resilience to climate change. Hence the project outcomes were directly supportive of crop production and livestock management in the watersheds. At the same time, the communities had increased access to natural assets such as clean water for consumption and renewable energy sources for household use. Socially and economically empowering the communities by putting them at the center of such integration leads to the creation of global environmental and development benefits in the micro-watersheds.

141. Mobilization of diverse stakeholders to support SLM at multiple scales – The FY13 cohort exemplifies the crucial importance of stakeholder engagement to support SLM implementation across multiple scales. The participatory planning processes employed in river basins, watersheds, catchments, and production landscapes facilitates engagement of multiple stakeholders – from community groups, civil society, private sector, and state and national government agencies. GEF financing creates flexibility in mobilizing such engagement in order to build ownership over all identified priorities for SLM implementation and long-term sustainability of outcomes. The role of civil society organizations and private sector are considered particularly crucial for ensuring sustainability of projects and for future up-scaling and replication of outcomes.

Lessons from Land Degradation Learning Mission

142. An emerging trend in the LD focal area portfolio is the growing evidence of the importance of community-driven approaches in management of production systems. Projects such as the Kagera River Basin (*Agency: FAO, GEF ID 2139*) have shown that participatory planning with communities creates entry point for implementing project interventions to address environmental concerns. The mid-term report noted that community organization is resulted in semi-permanent organized groups that are more effective for action and learning than conventional Farmer Field School approach. This trend reinforces the need to strengthen ownership of SLM interventions at grassroots level, which also enhances long-term sustainability of outcomes for the environment and livelihoods. It is therefore an important aspect of the Uttarakhand Watershed project that is described here in detail, with an emphasis on the following: *context and rationale for the GEF project, application of the community-driven approach, best practices for linking environment and development benefits, partnerships, and framework for sustainability.*

Context and Rationale for the GEF Project

143. Uttarakhand is a mountainous state in northern India known for its diverse eco-system and a rich cultural heritage. Agriculture and livestock production are the dominant economic activities for over 80 % of the population, the sustainability of which depends entirely on maintenance of ecosystem services in the Uttarakhand Himalaya watersheds. But with 90 % of the land being hilly, with steep slopes that are highly prone to soil erosion during the monsoon season, the annual loss of fertile soil is massive and is estimated to be up to 10 times the national average. This poses a major threat to food security and livelihoods for the State's 9 million people, especially in the hilly areas where 39 % of the population (mostly women) is below the

poverty line, compared to only 26 % in the plains. Addressing these development challenges requires an explicit focus on threats posed by environmental degradation in the highlands, to ensure long-term sustainability of the production systems and resilience of communities to climate change. It was in this context that the Government of India proposed the GEF/World Bank Uttarakhand Watershed Project. Overall goal of the project was *to restore and sustain ecosystem functions in the Uttarakhand Himalaya watersheds as basis for enhancing income, food, and livelihood security*. The GEF grant was linked to a decentralized watershed management project (referred to as the “Gramya”) funded by World Bank and Government of India.

Application of the Community-driven Approach

144. Overall Theory of Change for the Uttarakhand SLEM project was based on the fact there are strong links between livelihood needs and drivers of ecosystem degradation in the watersheds, and required an integrated approach to ensure long-term sustainability and resilience to climate change. The project specifically recognized the crucial link between ecosystem services and livelihoods of women and vulnerable groups in the fragile watersheds. As often, women play a significant role in social and economic aspects, notably around the use and management of forests and other natural resources. The inclusion of women in decision-making process was therefore a priority, and assured using various tools and mechanisms, such as “women motivating women” for awareness and social mobilization, and participation of women in various committees and institutions. Project outcomes and impacts were based on participatory planning for the 20 micro-watersheds, and underpinned by interventions that reflect good practices for integrated management of land, soil, water, and forest vegetation. This ensured that improvements and maintenance of critical ecosystem services were directly linked to the livelihood practices and needs of communities in the targeted watersheds. The project approach also placed greater emphasis on women-led income generating activities, and promoting drudgery reducing interventions that also generate global environment benefits. A particular attention was given to vulnerable groups through self-help activities that generate income and promote their empowerment.

Best Practices for Linking Environment and Development Benefits

145. The project demonstrated that sustainability of hill mountain eco-systems such as in the fragile Himalayan highlands in Uttarakhand can only be achieved by addressing water security issues at scale. In this regard, traditional knowledge was crucial during the planning phase and fully harnessed during implementation. Beneficiaries can be characterized by three key aspects of the project approach that made a significant difference in livelihoods while contributing to environmental sustainability:

- (a) ***Integrated water resource management:*** Capturing and efficiently managing runoff for year round availability of water was a major priority for farmers. Hence interventions were selected to increase water security and reduce soil erosion on the fragile slopes, which made it possible to increase irrigated land by 4 %. Furthermore, there has been 20 % increase in the number of households spending less than an hour for fetching water for domestic needs. Improving water source sustainability in the micro-watershed areas where discharge had reduced or dried

up, led to successful revival of traditional water mills or “Gharat” with high economic return.

- (b) **Market value chains:** The water surplus created through project activities has led to introduction of high value vegetable crops in the watersheds. An estimated 7,464 hectares is now under off-season vegetable production involving twenty different varieties, with a cumulative annual output in excess of 36,000 tonnes. Success of the agribusiness initiative has induced farmers from adjoining areas to sell their surplus through cooperatives.
- (c) **Energy alternatives:** The project up-scaled pine needle briquette making that was initially promoted under the Gramya as a pilot to reduce women drudgery in firewood collection and reduce forest fires. Pine briquettes provide an alternative source of energy for cooking and heating, and now used in 8,876 households in 337 revenue villages covered under the project. As a result, the average dependency of a household on firewood has been reduced by 22 %, and time spent on fuelwood collection per household cut down by 110 women days.

Partnerships

146. The Uttarakhand SLEM project mobilized a wide-range of institutions through a partnership framework to support implementation. The partners contributed training and capacity needs, demonstration of new technologies, microfinance, and development of market value chains for communities across the targeted watersheds. The Central Soil and Water Conservation Research and Training Institute played a major role in advancing the watershed concept, which form the basis of delineating micro-watersheds. It also provided technical support for implementing the participatory approach and applying interventions for soil conservation and water augmentation. These efforts further increased the potential for communities to take advantage of improvements in land and water resources for income generation, such as through use of high value crops (ginger and turmeric) and adaptive livestock breeds (goats and buffalo). Market opportunities for high value crops and vegetables were further enhanced through support to Farmer Interest Groups as a means of increasing access to production and marketing services. Through partnership with a CSO known as the Central Himalayan Environment Association (CHEA), the now operate as a federation with CHEA providing full technical support and training on various aspects of the market value chain. Finally, the Uttarakhand Renewable Energy Department (UREDA) helped to developed micro hydropower. Revival of traditional water mills or “Gharats” has been a major success and has also yielded high economic return. Convergence with UREDA successfully helped to further improve the Gharats for hydro electricity production at the village level, which has contributed to rural electrification.

Framework for Sustainability

147. The decentralized approach to watershed management with the local institutions as de facto planners and implementers resulted in greater ownership of project at local level. Capacity development of Gram panchayat and other local institutions was essential for strengthening these institutions, vis a vis administrative capacity, financial working and skill development. The focus on women related issues and inclusion of women in decision-making processes established

a critical foundation for sustainability of outcomes. For example, 50% representation of women in project committees has given stronger voice in overall decision-making in their communities. In addition, training and skills development has empowered women as “Mahila Aam sabha”, taking on drudgery reducing interventions, and securing financial assistance to invest in income generating activity.

148. Sustainability of project outcomes was also based on convergence with priorities of state departments and government agencies, as well as through Memorandum of Understanding with communities for management of project assets. To start with, the Uttarakhand State government order vide letter no. 251/XIII (II)/2011-31(05)/2011 dated 08 December 2011 issued instructions/orders regarding the utilization and maintenance of the various assets created during the project period will be followed. This presented opportunities for alignment of interventions and outcomes with investment priorities of line departments in the State. This will ensure that project outcomes are integrated into future plans of the departments, and that links between environment and development needs in the watersheds are maintained in the long-term.

149. At the level of individual micro-watersheds, the communities assumed full ownership of all assets created to improve ecosystem functions. Responsibility for community assets was placed with Grand Panchayats and Van Panchayats, statutory bodies whose existence are enshrined in legislation and would therefore endure beyond the project. Responsibility for individual assets was assumed by the individual beneficiaries or concerned user groups. At project completion, withdrawal plans for each micro-watershed outlining responsibilities at the level of Grand Panchayats was prepared and provided to all the concerned groups and institutions in the project area. A Memorandum of Understanding was signed by each Grand Panchayats and the WMD, which included complete information about the number of assets created and developed by the project, and costs for their future operation and maintenance.

INTERNATIONAL WATERS

150. In this year’s AMR the IW Focal Area review highlights four main issues from which lessons learned may positively influence future project design and implementation, namely (i) conjunctive management of surface and groundwater resources, (ii) Large Marine Ecosystems (LMEs) management, (iii) sustainable fisheries, and finally (iv) portfolio wide knowledge management mechanisms. These issues have been highlighted through the lessons learned from five projects. These projects are strong examples for types of projects that not only have produced substantial outputs, but also provide lessons learned to the GEF IW portfolio, towards up-scaling, national replication and potential for informing GEF 6 investments.

Groundwater/Conjunctive Management

151. The draft GEF-6 strategy includes the necessity of enhancing institutional effectiveness for conjunctive management of surface and groundwater and addressing the Water/Food/Energy/Ecosystem Nexus, which will enhance water-food-energy-ecosystem security. Several projects featured in this year’s AMR offer valuable experiences and a base for GEF 6 programming. Below is one project example highlighting key ongoing work at the global level, which will enhance knowledge and advocate for enhanced governance and conjunctive management of transboundary groundwater and surface water resources. The project has produced a large knowledge base informing GEF-6 finance.

Groundwater Governance project: a Global Framework for Action (Agency: FAO, GEF ID: 3726))

152. The Groundwater Governance Project aims at embedding a process of improved groundwater governance to halt the current trend of resource depletion and degradation and lead to positive environmental, social and economic outcomes.

153. The Project has compiled a commendable knowledge base on the state of governance, management and threats to groundwater across the globe. It has also held regional consultations in all five continents, engaging groundwater experts and practitioners, identifying regionally most relevant issues that need to be addressed and linking people, especially professionals, from different countries, while celebrating the launch of new initiatives, such as UNESCO Groundwater Centres in Uruguay and China. The Project has also produced a Global Diagnostic that integrates regional and country experiences and project viable groundwater management practices for the future.

154. The on-going phase includes creating a global Shared Vision and a Framework for Action, thereby providing guiding principles and processes for effective groundwater governance as well as context specific policy, institutional and investment options to address the increasing demand for groundwater in the face of increasing demand for food and other uses while securing supply in times of drought. The Shared Vision and Framework for Action also aim at bringing groundwater high on the political agendas as groundwater governance in most countries is weakly developed compared to surface water. This phase is crucial as it will serve to make groundwater governance a limelight issue for action leading up to the Seventh World Water Forum in Korea and other important events.

155. The project has brought together four important organizations - FAO, IAH, UNESCO-IHP and the World Bank - around the theme of groundwater governance in a program for which they take joint responsibility. It has also established partnership with several organizations and centers concerned with groundwater and a Permanent Consultation Mechanism that incorporates a large number of groundwater experts, practitioners and other stakeholders, and provides a forum for dialogue and experience sharing.

156. Finally, a major outcome of this project is to inform GEF and the strategy and programming strategies of the GEF agencies, thereby effectively allowing GEF to assist in addressing this important challenge.

Large Marine Ecosystems Approach

157. The majority of the world's Large Marine Ecosystems (LMEs) are shared by two or more countries. GEF LME projects have piloted solutions to how integrated management of estuaries, oceans and coasts may be implemented. This approach includes a five module indicator approach and has proven useful, as it often leads to significant progress in capacity building for states which choose to address the different stresses on their coasts and LMEs. As has been the case in previous strategies the draft GEF-6 Strategy focuses on further promoting and utilizing the LME approach as a major organizing principle for SAP development and implementation in marine

and coastal areas. Below are two examples of successful IW LME investments taken from projects either at MTE or TE stages, one that have managed to develop a political framework that is supported by an unprecedented 22 countries and another LME that successfully have demonstrated stress reduction, to the extent that its demonstrations will be up-scaled by substantial cash funding from the EU. Both examples provide essential lessons for replication through the LME portfolio.

The Sustainable Management of the Shared Living Marine Resources of the Caribbean Large Marine Ecosystem (CLME) and Adjacent Regions Project (Agency: UNDP, GEF ID: 1032).

158. The CLME project addresses the sustainability of living marine resources in a particularly complex transboundary and institutional setting, which includes over 23 countries, a number of regional and sub-regional bodies with jurisdiction and at times overlapping mandates on living marine resources, fisheries, and the environment. The relevance of the project is highlighted by the heavy dependency of many of the smaller countries and of most coastal communities on healthy coastal and marine ecosystems (tourism and fishing). By blending foundational work with a number of well-selected pilots and case studies, the project has managed to feed new information and insights into the TDA and SAP processes, catalyzing significant impacts and achievements. The CLME SAP has now been endorsed by 22 countries at the ministerial level, in some countries by the ministers of environment, fisheries and foreign affairs. A SAP implementation project (PIF cleared November 2013 GEF Council) is now under design to support a large number of activities towards establishing enhanced governance and management arrangements for implementing an ecosystem approach for spiny lobster, queen conch, shrimp and groundfish, pelagic (incl. large pelagic) and flying fish fisheries.

MedPartnership (Strategic Partnership for the Mediterranean Large Marine Ecosystem-Regional Component: Implementation of Agreed Actions for the Protection of the Environmental Resources of the Mediterranean Sea and Its Coastal Area) (Agencies: UNEP/UNIDO, GEF ID: 2600).

159. The MedPartnership project supports the SustainableMed program, with the objective of leveraging reforms and catalyze investments that address transboundary pollution reduction and marine and coastal biodiversity conservation priorities identified in the SAPs for the Mediterranean basin. One prominent success has been the successful leverage of the private sector in pollution reduction. Project results include the work of UNIDO's TEST approach (Transfer of Environmentally Sound Technology), which has been completed with great success, and now being scaled up in a follow up project named The SWITCH-MED sustainable consumption and production program (UNEP, UNIDO and the EC) with about 6 million USD for TEST-Med. Also, project activities and demonstrations for the improved management and creation of Marine Protected Areas are progressing well. WWF-MedPOL, which supports the Mediterranean countries to cooperate for its protection, has completed activities related to the improved management of marine protected areas and the European Commission has committed an additional 2 million Euros to WWF-MedPOL and the Regional Activity Centre for Specially Protected Areas (SPA/RAC).

Sustainable Fisheries

160. The marine fisheries sector plays a crucial role for coastal development nations, contributing not only to food security, but often significantly improving income generation for populations. International Waters projects address fisheries management issues in a number of widely different geographical and political settings. Understanding the systems through having access to datasets, are essential for informing management decisions. The below project present an excellent example of this, and hence offers lessons to be replicated and up-scaled through existing and future fisheries projects

The West Pacific East Asia Oceanic Fisheries Management Project (under the Coral Triangle Initiative)(Agency: UNDP, GEF ID: 3523)

161. This project is focused on enhancing monitoring and improving management of shared tuna stocks in the Western Pacific. One of the most important factors in fisheries management is data collection and raising awareness of the stakeholders in collaborative management. Previous high uncertainties in Western and Central Pacific Ocean (WCPO) tuna stock assessments were mainly due to lack of catch data in the West Pacific East Asia area. This project has dealt with two important challenges when seeking to sustainably utilize tuna resources: 1) enhancing fishery monitoring through data collection and capacity building in stock assessment, and 2) enhancement of policy, legal and institutional arrangements to fully comply with international obligations particularly those under the Western and Central Pacific Fisheries (WCPFC) Convention. Through the project, Indonesia, Philippines and Vietnam improved their data collection to be able to provide reliable annual total tuna catches by species and by gear for direct input in regional stock assessments and management decisions. With regard to project achievements that have implications for global environmental benefits, the three project countries are thought to be responsible for about 25% of the tuna catch in the WCPO – the world's most important tuna fishing area at 40-50% of global tuna catch. The progress being made on bringing the tuna fisheries into an improved international management regime covering the entire WCPO is truly an achievement of global scale.

Knowledge Management

162. The GEF IW FA has been continuously building up the IW:LEARN function, which is an instrumental part of the IW portfolio designed to harness good practices and lessons learned from over twenty years of GEF's engagement in IW, while providing a framework for continuing knowledge management. The GEF IW: LEARN is a program that promotes experience sharing and learning among GEF International Waters projects and the country officials, agencies, and partners engaged. The success of IWLEARN offers an opportunity for supporting the existing portfolio, while at the same time supporting knowledge management processes together with partners beyond the GEF funded portfolio. Building on 22 years of GEF experience in support of cooperation on international waters and efforts of development partners, the next phase of IW:LEARN is broadening the network scope towards being a global hub for knowledge management on shared water systems.

163. An important part of IW: LEARN deliveries has been the biannual GEF IW Conference, which provides an unrivalled opportunity for GEF IW stakeholders to meet and exchange experiences and ideas both formally and informally on the challenges related to transboundary water and marine resource management. In addition, existing face-to face and on-line knowledge management and collaborative dialogue platforms, i.e. IWLEARN.NET, Website Toolkits and the Community-of-Practice Platforms are continuously being maintained and upgraded to help facilitate knowledge and experience exchanges and transfer. Further, the project results archive tool that IW:LEARN is currently refining will systematically preserve project memory and foster continuity of innovations and best practices and present results graphically/visually to aid various stakeholder groups in decision making, formulating policy actions and future investments.

164. Overall, tracking tool and IW:Learn event and workshop evaluation data show high participation in and appreciation of IW: LEARN activities across the IW portfolio. This reflects that sharing experiences, enhancing institutional and human capacities, and facilitating professional learning is essential in order to establish sustainable transboundary regional cooperation frameworks on marine and freshwater resource systems.

CHEMICALS

165. Taking into consideration this year's AMR cohort of chemicals projects, the chemicals focal area findings have focused on lessons learned concerning five aspects: (i) obstacles and opportunities to implement projects; (ii) improvement of project monitoring; (iii) enhanced involvement of stakeholders; (iv) refined design of multi-country projects; and (v) GEF's catalytic role in ESM) of PCBs. Given the fact that the chemicals portfolio is still being under development, it is fair to say that larger sample size and data base are needed to draw more lessons learned and definitive conclusions.

Obstacles and Opportunities to Implement Projects

166. Many of the projects which reached mid-term or terminal evaluation review experienced difficulties in their implementation. Obstacles to project implementation include complexities in procurement, gaps between expected outputs/contents and realistic assessment of the situation, changes in administrative arrangements, failure in reaching an agreement with the provincial government on the management modality for the equipment. These obstacles frequently caused delays in project implementation.

167. One of the major obstacles is a difficulty with the procurement of equipment, for instance, for analyzing and disposing POPs. The procurement process requires drafting of technical specification, bidding, purchasing and installing of the equipment. To avoid the obstacle, this kind of activities need to be carefully planned starting from project design and early stage of implementation. In addition, initial orientation to project partners at the beginning of assignment could be useful, clarifying their roles and responsibilities. For example, the WB

provided training on procurement procedures at country level in order to improve application of WB procurement procedures (Agency: World Bank, GEF ID 1348).

168. Realistic framework for the delivery of projects could minimize delay. In chemicals projects, inventories of POPs waste and others determine the dimension of the disposal task. Ideally, these activities should either be conducted during project preparation, or during a first phase, followed by a second phase comprising disposal activities, limiting as much as possible the need of rearrangement of project objective.

Improvement of Project Monitoring

169. This year's AMR cohort of chemicals projects has recognized the importance of the Monitoring and Evaluation (M&E) framework and their implementation anew. Most of the project components weakly rated can be directly or indirectly tied back to the M&E framework. The delays in project implementation could have been minimized if the M&E framework had been more clear and operational.

170. Regular monitoring based on a properly formulated M&E framework ensures the possibility for adaptive management and helps mitigate identified risks for project implementation. In formulating the M&E framework, some evaluation reports emphasized the importance of applying SMART (specific, measurable, achievable, relevant and time-bound) criteria. At the same time, the M&E framework should be clear and operational. A complex M&E framework, which imposes a significant administrative burden, is not necessary especially for medium-sized projects.

Enhanced Involvement of Stakeholders

171. This year's AMR cohort of chemicals projects has identified, as an important lesson, involvement of stakeholders, namely non-governmental organizations (NGOs), the private sector and laboratories. Enhanced involvement of these stakeholders is a key to successful operation of chemicals projects.

172. It is noteworthy that NGOs have played a vital role in some projects. In the health-care waste management project (Agency: UNDP, GEF ID: 1802), important contribution came from national NGOs, which were part of the project steering committee. Local NGOs' competence, enthusiasm and networking capabilities ensured thrust to the project. As well, the PCB management project in Kazakhstan (Agency: UNDP, GEF ID: 2816) benefited from involvement of NGOs. For the project, NGOs actively participated in discussing draft regulations, carrying out the overview of the rules for handling of POPs and POPs containing wastes as well as providing their recommendations for amendments.

173. In chemicals projects, the private sector plays various roles. Some industries are expected to manage POPs in an environmentally sound manner while others participate in projects as disposal operators. To work with the private sector as owners of harmful chemicals waste, strong cooperation between the government and the private sector is necessary in efficient implementation of projects. Industrial partners are sometimes reluctant in participating in projects due to possible disruption to plant operations, or concerns related to the public perception of monitoring activities or results. Developing terms of cooperation, including

confidentiality clauses and clear assignment of responsibilities, could be useful in removing their concerns. Moreover, focused awareness raising makes a significant impact on industrial partners, demonstrating how they would benefit from ESM, safety, and better relationships with the public.

174. Chemicals projects depend largely on reliability of chemicals sampling and analysis. In that sense, roles of laboratories at national level cannot be overemphasized. To ensure the quality of laboratories, accreditation of laboratories is important so that their analytical service and test results are accepted according to international standards.

Box 3: Project Case Study of Successful Practice in Chemicals

The UNDP project in Nigeria titled “Less Burnt for a Clean Earth: Minimization of Dioxin Emissions from Open Burning Sources” (GEF ID 3804) aims to reduce releases and exposure to dioxin originating from open burning of waste. The project established active household-level sorting and collection program in Kano, one of the pilot cities. It distributed three color-coded waste bins to each of 250 households, achieving about 70% sorting of waste collected. In addition, a compost plant and a plastic shredder have been installed currently producing an average of 4 tonnes of compost per month. Such sustainable waste management reduces open burning of waste, resulting in decrease of dioxin emissions. Furthermore, the project introduced alternative approaches to use agricultural waste such as crop residues, which used to be burned, in Kano. Stakeholders expressed gratitude for emancipating them from their former state of non-awareness of the economic and environmental benefits of agricultural waste. Some other states have indicated their readiness to replicate the project in their domain.

Refined Design of Multi-Country Projects

175. This year’s AMR cohort of chemicals projects includes seven regional or global projects in which multiple countries participated. Multi-country projects involve so many stakeholders that they could face difficulties in implementation without well-designed framework and effective coordination. In particular, that would be the case if the projects are implemented by multiple agencies or cover multiple focal areas. The lessons learned from the multi-country projects are condensed into three elements: simplicity; clear definition of roles and responsibilities; and knowledge exchange.

176. Multi-country projects should have a simple structure so that project efficiency is increased. A simple structure leads to a lighter administrative burden and greater flexibility, which eventually translates in a more successful project. In other words, complexity of the project creates additional difficulties in the proper monitoring at national level. In addition, the project activities and components should be structured in such a way that the failure of one project activity or a component in a country would not affect the completion of the activities in the other countries. The UNDP global project (GEF ID: 1802) has benefited from such a structure, ensuring a certain level of independence of project activities at a country level.

177. For multi-country projects, roles and responsibilities for all partners and their collaboration should be clearly defined. It is desirable to agree on them during project preparation. To endorse the roles and responsibilities, concise time and budget bound terms of reference (TOR) for all partners would be beneficial as well as establishment of an oversight and coordination entity.

178. Facilitation of knowledge exchange beyond national borders is essential to multi-country projects. This requires substantive or regular interaction horizontally among executing partners. In the WB/FAO project (Agency: World Bank, GEF ID: 1348), a technical advisor for multiple countries automatically facilitated the knowledge exchange with respect disposal activities. Furthermore, regional projects would benefit from the involvement of regional institutions, such as Regional Centers under the Stockholm Convention and Basel Convention to share useful information.

GEF's Catalytic Role in ESM of PCBs

179. The Stockholm Convention requires countries to eliminate the use of PCBs in equipment by 2025 and to make determined efforts designed to lead to ESM of PCB containing liquids and equipment as soon as possible but no later than 2028. For developing countries and countries with economies in transition to fulfill this obligation, the GEF has supported ESM of PCBs in those countries. GEF's support ranges from collection, labeling, analysis and disposal of PCB equipment and waste to legislative and regulatory development, capacity building, technology transfer, training and technical support.

180. This year's AMR cohort includes 10 PCB-related projects out of 24 projects. These PCB-related projects have provided important lessons for the GEF to play a catalytic role in ESM of PCBs. The identified four lessons are: target setting based on an inventory; selection of proper technologies; continued effort for capacity building; and sustainability of projects.

181. An inventory of PCB pollution sources, such as PCB containing equipment (e.g. power transformers, capacitors) and PCB contaminated oil, is indispensable to implement PCB projects, preventing potential safety and health problems from PCBs stockpiles. At the project design stage, baseline data such as the number of the equipment and sites contaminated is either difficult to determine or simply not known. Therefore, realistic target values for PCB disposal should be agreed based on the inventory.

182. Effective PCB management in accordance with the Stockholm Convention guidelines involves treatment and disposal using best available technologies. In selecting and procuring such technologies, there is a risk of delay. Therefore, thorough and comprehensive prior assessment must be undertaken on the proposed activities. More specifically, the TOR for choosing a certain technology has to thoroughly pre-defined by executing agencies. All relevant criteria, such as size, volume, contamination grade etc. have to be taken into consideration in advance in order to have a successful tender procedure.

183. Continuous effort for capacity building, including awareness raising, is critical especially for the private sector, because most of PCB wastes are accumulated in the private sector ownership as well as in electric power companies generally owned by governments. Such effort would target building capacity for development of PCB inventories and phase-out plans, data reporting, and temporary storage and disposal of PCB-containing equipment.

184. To fulfill the obligation under the Stockholm Convention, sustainability of projects after their termination should be ensured. For that purpose, it would be good to create mechanisms and structure to sustain the outcomes of projects during project implementation. Such

mechanisms include financial ones which provide incentives for owners to phase out PCBs equipment and dispose PCB wastes. Sustainability of projects will also rely on the adoption of relevant legislation and regulations. Where regulations remain less stringent, technologies demonstrated by the project are likely to be expensive, placing them in a less competitive position compared to other facilities. It is vital to adopt appropriate standards to even the playing field and to mainstream ESM of chemicals, including PCBs, into national development policies and programs.

185. In addition, more detailed and technical information on the ESM of PCBs would be necessary to assess GEF's contribution to the achievement of the targets under the Stockholm Convention. For instance, it would be beneficial to include information on which technologies worked successfully and which technologies did not in future evaluation reports and other materials.

Implications for Future Projects and Programs

186. From this year's cohort, valuable lessons have been learned for future projects and programs in the chemicals focal area. The analyzed areas for this year's AMR, especially enhanced involvement of stakeholders, multi-country projects and GEF's support for ESM of PCBs, are topics underlined in the proposed GEF-6 strategy. The GEF Secretariat is determined to reflect these lessons learned into project development and review processes, technical guidelines and dialogues with stakeholders.

Case Study of Lessons learned from the projects covered in Planet Detox

187. For fiscal year 2013 the GEF chemicals team undertook a documentary to highlight the work of the GEF on chemicals. In the process of doing the film there was a unique opportunity to look at the projects from the GEF point of view in the field. The lessons learned from these projects are as follows:

188. Without the GEF some interventions would not have occurred. For the global monitoring plan the GEF funds the building of capacity to monitor and analyze POPs. The project recipients indicated that without GEF support this capacity would not have been possible

189. Local buy-in of projects is essential for success. In the Philippines the GEF, World Bank implemented project on reducing the emissions of UPOPs resulting for poor waste management practices there was a strong buy in from the municipalities that were involved in the project as demonstrated by the cash resources they provided to the achievement of the projects.

190. If you build, they will come. Many GEF projects can only demonstrate technologies or produce the enabling environment to manage POPs successfully. In Mexico, the GEF, UNDP implemented project on PCB management achieved sustainable project outcomes in that the GEF project worked with a limited number of utilities and PCB owners to demonstrate a collection system and decontamination system for PCB contaminated equipment. Once cleaned the once contaminated components can be recycled for the metals or re-used as spare parts resulting in an income stream. Since the implementation of the project the number of PCB owners have

significantly increased so the original co-financing of the project of 1:4 increased to 1:20 by the end of the project.

Lessons from Chemical Learning Mission

191. A learning mission was undertaken to Indonesia and Cambodia to visit two of the six countries participating in the regional UNIDO project Demonstration of BAT and BEP in Fossil Fuel-fired Utility and Industrial Boilers in Response to the Stockholm Convention on POPs (PMIS 3732). The goal of the project is to reduce unintentionally produced POPs (UPOPs) from large industrial sources at a level of 0.3gTEQ/year. The project also aims to formulate regional guidelines for BAT/BEP and increase capacity for sampling and analysis of UOPs. The mission was jointly organized by UNIDO as the lead GEF Agency for the project and with full support of the Ministry of Environment in Indonesia and the Ministry of Environment in Cambodia. There were a number of lessons learned from the mission including the following:

192. Strong private sector partners are critical in industrial UPOPs projects, and to get a strong partner the project must have positive benefits for the company that go beyond global environmental benefits. In both the Indonesia and Cambodia case private sector participation was imperative to the success and sustainability of the project and in order to get a strong private partner on board the implementing needs to demonstrate that the project will positively impact that company's bottom line whether that is through efficiencies that lead to cost savings, reduction of resources required such as fuel, job creation, or increased competitiveness in the market.

193. Interventions taken to reduce UPOPs have co-benefits of reducing other pollutants such as CO₂ and mercury. This project demonstrated that some of the same interventions used to reduce UPOPs also reduce CO₂ and mercury. For example, increasing efficiency and reducing the amount of fuel burned in both power plants and industrial boilers also reduces CO₂ emissions. Also, when coal is used as a fuel, increasing the efficiency will reduce mercury emission.

194. Project sustainability and replicability for industrial UPOPs projects largely depends on private sector partners and national governments. Because these types of UPOPs project rely on commitments from private companies to change their practices and techniques strong company partners are crucial the sustainability of the projects. It is also the sharing of benefits and lessons learned between companies that can lead to replicability and wider adoption of best available techniques and best environmental practices. National governments setting and enforcing environmental standards for UPOPs will also push companies address these chemicals.

195. GEF-funded Industrial UPOPs project may be an area to investigate alternative financing options in GEF-6. Improvements in operational efficiency and replacement of inefficient equipment leads to greater profitability of enterprises in industrial UPOPs projects, therefore the GEF and implementing agencies may be able to make the case for a different mode of financing for these types of projects such as concessional or revolving loans. However, this would need to be looked at on a case by case basis and alternative financing may not be possible in all situations or countries.

196. Sampling and analysis of UPOPs emissions remains a challenge. Baseline sampling and analysis of the UPOPs emissions from both projects visited in the learning mission was challenging. The need for more advanced sampling and analysis of emissions remains.

197. The learning mission generated considerable knowledge for the Chemicals Focal Area on industrial UPOPs project implementation. The mission was an effective knowledge management tool for the Chemicals Focal Area and provided critical, firsthand experience of implementation considerations for this type of POPs project. Knowledge gained in regards to partnering with the private sector to catalyze larger investments for the global environment was a particularly useful outcome of the learning mission.

CHAPTER 3:

STAKEHOLDER INVOLVEMENT

GENDER MAINSTREAMING IN GEF PROJECTS

198. This analysis looks into how gender issues were addressed and integrated in a cohort of GEF projects in FY13, following the GEF Policy on Gender Mainstreaming and the practice of the previous AMRs in FY11-FY12.²⁶ The analysis includes a total of 158 projects; those were at mid-term or project completion in FY13. It is important to note that the analysis is limited through the review of the PIRs, Mid-Term Evaluation Reports, and Terminal Evaluation Reports.

199. The GEF Policy on Gender Mainstreaming recognizes that gender equality is an important goal in the context of GEF financing as it contributes positively to attaining global environmental benefits and social inclusion. Among the total 158 projects that were analyzed, 70 projects (44%) included gender-specific information in their reports.²⁷ This result is a vast improvement compared to the numbers from FY11 and FY12 AMRs, which adopted the same methodology for portfolio review on gender mainstreaming. In FY11, only 24% of all projects reported gender specific information, while in FY12 it was 25%.

200. This result may be partly attributed to the increased recognition and importance of reporting on the implementation of the GEF Policy on Gender Mainstreaming among the GEF Agencies and partners. The Policy on Gender Mainstreaming was adopted by the Council in May 2011. All projects in the cohort were approved before the adoption of the policy, however, it clearly requires GEF Agencies to have a system for monitoring and evaluating progress in gender mainstreaming, including use of gender disaggregated monitoring indicators. Improvements were particularly notable in this year's AMR with the way sex disaggregated data, including attainment of training and small grants, were reported in many projects.

Table 21: Gender Mainstreaming in Reviewed GEF Projects

Focal Area	Number of projects reviewed	Number of projects that addressed gender issues	% of projects addressing gender
Biodiversity	31	15	50%
Climate Change Mitigation	48	12	25%
Climate Change Adaptation	15	6	40%
International Waters	24	12	50%
Land Degradation	23	19	82%
Chemicals	17	6	35%
Total	158	70	44%

²⁶ Focal area teams have conducted review of their project portfolio, by using the following guiding questions: 1) Is gender consideration relevant to the project; 2) Is there any description on gender related activities in the project; and 3) Describe progress made on gender related issues of the project.

²⁷ This includes PIRs, MTRs, and TEs that included any description related to consideration and approaches on gender mainstreaming. These descriptions included: gender analysis under taken during project preparation and/or implementation, gender-sensitive indicators, approaches to ensure participation of both women and men in project activities (e.g. training, meeting, etc), project staffing (e.g. recruitment of women staff) and others.

201. The analysis shows that reporting on gender considerations are most prominent in natural resource management and climate change adaption programs and projects. This trend was strong in land degradation project portfolio (82%), followed by biodiversity projects and international waters (50%). These focal areas portfolio typically involve on-the-ground activities in the local communities, where the participation of both men and women play a key role in attaining project objectives. The role of women has been notably strong in projects related to sustainable ecosystem management, including land management activities that work directly with local stakeholders through work related to agricultural extensions. The following examples from the different GEF Focal Areas demonstrate how gender issues have been mainstreamed and considered in project design, implementation, and monitoring.

202. A few projects have reported on the usefulness and importance in conducting gender assessment and study during project preparation or during the inception of the project implementation. In the case of Mainstreaming Biodiversity on Uzbekistan's Oil and Gas Sector Policies and Operations Project (UNDP, GEF ID: 3950), the project conducted a detailed gender assessment during project preparation, and promoted training and employment among female students in an otherwise traditionally male-dominated sector. The project also plans to enhance employment opportunities for residents of surrounding villages of the mining. By creating more opportunities for women to find gainful employment and greater financial independence, they are more likely to play a broader role in their communities and be a voice for change in a number of fields, including but not limited to biodiversity conservation.

203. Gender study was also undertaken as part of the Trans-boundary Diagnostic Analysis in some of the International Waters (IW) focal area projects, and role of women has been promoted in the governance of water resources. The IW portfolio includes mostly regional/global projects that focus on policy and planning and as such gender mainstreaming issues are not often within the project's scope. However, 12 out of the 24 projects provided detailed information about how gender is being addressed during project implementation and monitoring.

204. Projects in the portfolio also reported on the effective approaches taken to empower and increase involvement of women in project activities. For example, a Land Degradation project in Morocco, the Participatory Control of Desertification and Poverty Reduction in the Arid and Semi-arid High Plateau Ecosystems of Eastern Morocco (IFAD/UNIDO, GEF ID:2632), has given women extension workers the opportunity to show their capacity in promoting sustainable land management approaches, while one of them won a prize for her work and creativity in promoting women's leadership through the project. She promoted and encouraged diversification of livelihoods that both reduced pressure on the land as well as provide income-generating opportunities that largely benefited women through activities based on pastoral tradition and culture (e.g. eco-tourism, production of alfa baskets, plant dyes, weaving).

205. In the case of Chemicals project, the Technical assistance for environmentally sustainable management of PCBs and other POPs waste in the Republic of Armenia Project (UNIDO, GEF ID:3517) included awareness raising activities on Persistent Organic Pollutants (POPs) issues for different population groups, particularly among women and children who are vulnerable to POPs exposure. In addition, local NGOs working on gender issues have conducted awareness- raising activities and participated at the contest and exhibition for children against hazards. Exposure to chemicals affects everyone; however some groups such as women and

children are often at a higher risk due to more exposure by virtue of their jobs or daily activities. POPs exposure in women is especially concerning because POPs bioaccumulation in the fatty tissues and are passed from mother to child in mothers' milk.

206. While reporting on gender mainstreaming in projects is still mainly focused on process (e.g. participation of women and men), some projects have reported on concrete results on gender equality. For instance, results under the Sustainable Land and Ecosystem Management (SLEM) Project in India (GEF ID: 3472), have shown that more than 1,500 women saw an average increase of 28 % in their earnings from participating in initiatives that support land rehabilitation and management of degraded bamboo areas. This project is a Multi-Trust Fund and Multi-Focal Areas project, funded also by the Climate Change Adaptation program. As existing gender inequalities can exacerbate climate risks and vulnerabilities imposed on women, the projects under the Strategic Priority on Adaptation (SPA) program took into account gender issues in a variety of ways, namely through: 1) using of gender disaggregated indicators, and 2) assessing gender vulnerabilities during project preparation, which in turn, ensure the implementation of gender-sensitive adaptation projects.

207. In the Climate Change Mitigation Focal Area, 12 out of the total 48 projects, 25% of the portfolio, reported gender-related contents/achievements—a large increase compared to 8% in AMR FY12. While there are ongoing discussion on what type of CCM projects are clearly relevant for gender consideration, this year's CCM monitoring exercise observes a significant improvement in agencies' awareness and attention on gender equality issues. A sectorial approach was used when examining the correlation of CCM projects with gender. Among all sectors involved, renewable energy, transport and rural electrification accounted about half of the projects reported on gender equality achievements. Researchers and practitioners have recognized the different mitigation effects due to the different responsibilities and social roles of men and women. As for the portfolio related to energy efficiency, especially in building standard and labeling, it is under discussion how it attribute to gender equality directly, and if so, to what extent. This is mirrored by this particular exercise, with only 5 out of 23 energy efficiency projects effectively describing gender issues.

208. It is indeed encouraging and promising to see significant improvement on the reporting on gender issues in GEF projects through this year's portfolio analysis. However, challenges still remain in having improved consistency in the reporting among the GEF Agencies as well as among the focal areas. Further consideration is also required on how to track and report on the results related to gender equality, in addition to the progress made on the participation or involvement of women and girls in project activities.

209. While the degree of relevance of gender dimensions may vary depending on the environmental theme or the type of engagement entailed by a project, accounting its contribution for gender equality continues to be an important consideration when financing GEF projects that address global environmental issues. In this regard, the GEF is taking increased effort in placing gender equality at the forefront of the GEF financed activities. The Gender Action Plan will be developed in the coming months, which will further clarify steps to achieve gender mainstreaming and equality through GEF policies, guidelines, and projects. Further, the GEF-6 programming exercise has adopted a comprehensive approach toward gender mainstreaming and women's empowerment across GEF programs and projects. The GEF-6 Focal Area Strategies

have all adopted the core gender indicators that were identified at the institutional level²⁸. These indicators will be monitored at each focal area levels and place importance in demonstrating strong gender linkages and results related to gender equality. The GEF Secretariat will monitor and report on the use of these indicators in the future AMRs.

INDIGENOUS PEOPLES INVOLVEMENT

210. Indigenous Peoples are an important partner in addressing global environmental issues, and they continue to play a key role in many of the GEF projects in achieving both environmental and socio-economic results. Following practices of earlier years, the GEF Secretariat conducted an analysis of the inclusion of indigenous peoples' in its projects as a part of the FY13 AMR process. Of the 158 projects reviewed across all focal areas, there were a total of 14 projects that explicitly included and reported on the involvement of indigenous peoples in the PIR. Of these 14 projects (9 percent) in the portfolio, four each were in international waters and biodiversity, three in climate change mitigation, two in climate change adaptation, and one in land degradation. There were no projects in the chemicals focal area that explicitly mentioned indigenous peoples in this year's project portfolio.

211. In the three years that this analysis has been conducted, there have been very different numbers of projects that involved indigenous peoples. During the FY12 AMR, 11 out of 215 projects (5 percent) explicitly involved indigenous peoples and reported on that involvement through the PIRs, Mid-Term Review reports, and Terminal Evaluation reports. In FY11 AMR, the same analysis has shown that 29 out of 151 projects (19 percent) involved indigenous peoples. These changes are the result of a number of factors. First, the variation in projects is simply an artifact of the portfolio of projects that happen to be reviewed each year. Many more ongoing GEF projects certainly include indigenous peoples, but they were not the target of this year's review, as the GEF Secretariat only reviews project that were at mid-term or project completion in FY13.²⁹ Second, with a global environmental problem such as toxic chemical pollution (e.g. PCBs), which has been recognized to disproportionately affect indigenous peoples of the Arctic through bioaccumulation, the GEF is working to reduce these pollutants at the source, and the related projects do not necessary address the specific impact on affected indigenous communities. Lastly, the GEF Indigenous Peoples' Principles and Guidelines were only adopted in 2012. Therefore, projects that were developed following the implementation of the Principles and Guidelines are yet to be reviewed as part of the AMR.

212. Some highlights and best practices of indigenous peoples' involvement in GEF projects were found in the biodiversity portfolio. A global project on Conservation and Adaptive Management of Globally Important Agriculture Heritage Sites – GIAHS (FAO, GEF ID: 2127) included indigenous territories among targeted sites, and Free Prior Informed Consent (FPIC) was applied at the concerned sites before investments were made. The project employed FPIC guidelines and agreed criteria and procedures for designation, and guidelines for investment, including impact assessments. The project enhanced capacity of indigenous and local

²⁸ *Strategic Positioning for the GEF*, GEF/R.6/19, November 20, 2013, and *GEF-6 Programming Directions*, GEF/R.6./20/Rev.02, February 24, 2014

²⁹ Considering the large number of PIRs, only projects that had mid-term review or terminal evaluation are reviewed by focal areas through the AMR exercise.

communities in natural resources management, which in turn contributed to integrating them in the development planning of the concerned areas.

213. Other biodiversity projects in Costa Rica, Nicaragua, and Russia have focused on sustainable management of protected areas system, which included significant portion of project activities focused on co-management and collaboration with the indigenous peoples in and around the protected areas. These activities included establishing a joint management plan for the protected areas as well as development activities around the protected areas, including the promotion of eco-tourism and natural resource use based on traditional knowledge and culture.

214. The climate change mitigation portfolio focused on supporting rural electrification and use of renewable energy technologies that can benefit indigenous peoples. The project, Productive Uses of Renewable Energy in Guatemala – PURE (UNDP: 2499) had the objective of reducing greenhouse gas emissions by increasing access to renewable energy sources. At the same time, these new energy sources supported income generating activities, such as chicken and milk processing and tourism, with clean and affordable energy. The populations of the areas are largely indigenous, and consultations were held between policymakers and indigenous peoples as part of the preparation of the project.

215. It is worth noting that the projects involving indigenous peoples were found to also have a strong focus on gender mainstreaming and women’s empowerment. In general, these projects have conducted a more detailed socio-economic assessment, including gender analysis, compared to other projects. Many of the projects which involved indigenous peoples also employed social specialist, including female staff, for project implementation. These actions helped identify specific needs and activities for both indigenous women and men and monitored progress and results during project implementation.

216. In addition, useful lessons have also been generated from a few projects during the reviews of PIRs and evaluation reports with regards to the gaps in addressing indigenous peoples’ needs and interests, and compliance to GEF and its Agencies’ safeguard policies on indigenous peoples. Adequate measures and adjustments were made to the projects to work to maintain traditional culture and practices of the indigenous peoples and mitigate potential negative impact of the projects.

217. The GEF is committed to further strengthening engagement of indigenous peoples through its operation and projects. During FY13, the GEF Agencies, including new and existing Agencies, have gone through a rigorous process in reviewing their fiduciary standards and safeguard policies, including safeguards related to indigenous peoples. As a result, six GEF Agencies have been required to take steps to improve the content and implementation of their indigenous peoples’ policies. Further, the GEF Secretariat is working with the GEF Indigenous Peoples Advisory Group, which consists of indigenous peoples and expert members, to identify concrete activities to strengthen involvement of indigenous peoples in GEF projects, including capacity development and monitoring activities, based on the GEF Principles and Guidelines for Engagement with Indigenous Peoples.³⁰

³⁰ *GEF Principles and Guidelines for Engagement with Indigenous Peoples*, October 2012.

CIVIL SOCIETY PARTICIPATION IN GEF PROJECTS

218. For over two decades, civil society organizations (CSOs) have been important partners to the GEF. CSOs have taken different roles in GEF projects and programs, in advocacy, and policy formulation among other. Regarding projects, CSOs have contributed to design, implementation of specific components and to raising significant co-financing (both in cash and in-kind). They have led the execution of projects, and participated in monitoring, among others. In many cases, they have also benefited from the projects results. The participation of CSOs in GEF projects contribute to delivering on-the-ground results and increasing the impact of GEF-supported interventions as well as enhancing country ownership.

219. For this AMR the GEF Secretariat undertook an analysis of the roles played by CSOs in the cohort of projects that came in at mid-term and terminal evaluation in FY13.

220. Of the 173 projects analyzed across the focal areas for this AMR, 62 % included specific information related to CSO participation. This is a slight improvement from FY12, where 57 % of the projects analyzed included information on CSO participation. Table 22 below summarizes the number of projects that included a mention of CSOs per focal area.

Table 22: Civil Society Participation in GEF Projects

Focal Area	Number of Projects Reviewed for AMR FY13	Number of Projects that included mention of CSOs
Biodiversity	64	47
Climate Change	42	27
International Waters	20	13
Land Degradation	20	4
Chemicals	15	9
Multi-Focal Area	12	8
Total	173	108

221. About 73 % of the projects in the Biodiversity Focal Area included mention of CSOs playing some role in implementation, followed by Multifocal Area (67%), International Waters (65%), Climate Change (64%), Chemicals (60%) and Land Degradation (20%). All the projects which reported participation of CSOs mentioned the very positive contributions of these partners to the success of the project. In one instance, the project created a new NGO. Table 23 summarizes the findings of this analysis according to the roles played by CSOs. These roles were classified as: (i) executing agency; (ii) co-executing partner; (iii) co-financier; (iv) consulted; (v) beneficiaries; and (vi) other.

Table 23: Role of Civil Society in GEF Projects

Role	Number of Projects where CSOs played this role
Executing	2

Co-Executing	44
Consulted	17
Steering Committee/Coordination	9
Co-financing	4
Beneficiaries	8
Other ³¹	24
Total	108

Note: Included advocacy, coordination, lobby, communications, design, consulting.

222. Most of the projects that reported participation of CSOs identified their role as co-executing partners (41%), followed by participation in consultations (20%) and the “other” (22%) category which included advocacy and communications related activities. In many instances where the role was co-executors, civil society partners provided technical expertise and served as facilitators with local communities. A smaller percentage (8%) participated in the projects’ coordinating or steering committees and provided co-financing (4%). Of note, the co-financing and co-executing roles were overlapped in many instances. Therefore, the percentage shown for co-financing may appear low because the majority is already captured by the large percentage under the co-executing role. Finally, in 7% of the cases, CSOs were mentioned as direct beneficiaries of the project.

223. The GEF Secretariat continues to collaborate with the GEF CSO Network in the revision of the implementation of the GEF Public Involvement policy that was approved in 1996. The Network will present recommendations to the GEF Secretariat in terms of the Policy. It is expected that this process will be completed during the Fifth GEF Assembly in May 2014 and will be considered by the Secretariat to develop new guidelines for the implementation of the policy in the November Council meeting.

Projects Case Study of CSO engagement in GEF projects

224. In Benin, Burkina Faso and Niger, the project “Enhancing the effectiveness and catalyzing the sustainability of the W-Arly-Pendjari (WAP) protected area system”, implemented by UNDP, is bringing together partner initiatives to build the political, institutional, human and physical setup that is necessary for the long-term conservation and sustainable use of ecosystems in the W-Arly-Pendjari (WAP) Protected Area System.

225. WAP is an area of outstanding biodiversity significance. It is the largest and most important continuum of terrestrial, semi-aquatic and aquatic ecosystems in the West African savannah belt, the most significant range area for elephant conservation in the entire West African subregion and the most viable natural refuge available to most of the vulnerable and/or threatened animal species in Benin, Burkina Faso and Niger. Globally significant biodiversity within WAP is threatened by various factors, including agricultural encroachment, uncontrolled transhumance, poaching, uncontrolled bushfires, siltation and pollution of surface waters, climate change and variability, and unsustainable harvesting of NTFPs, timber and fish.

³¹ Included advocacy, coordination, lobby, communications, design, consulting.

226. The project has improved the perceived benefits derived from biodiversity conservation among users of natural resources in the WAP complex area. The implementation of a first series of 13 small grant projects was initiated on the ground and local communities involved in these pilot activities are now highly motivated with a strong sense of ownership, and increased awareness of the potential benefits deriving from these economic activities and their links with the conservation of biodiversity and ecosystem services, as independently verified in the mid-term evaluation. A total of 237 women are currently targeted as beneficiaries in pilot income generating activities. To improve the socio-economic sustainability of the region, the project is greening municipal development plans in the periphery of the WAP complex. The development and implementation of those plans for three pilot municipalities have been hailed as a success.

227. In India the MSP project “Reversing Environmental Degradation and Rural Poverty through Adaptation to Climate Change in Drought Stricken Areas” (FAO) is implemented in 9 Hydrological Units, spread over 143 habitations of the extent of about 134,442 ha, covering a population of over 204,567. This project is fully executed by a national NGO: Bharathi Integrated Rural Development Society (BIRDS), in partnership with other CSOs. The project has engaged communities to create a platform for community management of groundwater systems, through what is now popularly known as the Andhra Pradesh Farmer Managed Groundwater Systems (APFAMGS) Project. This project was the baseline project for the GEF MSP. CSOs had a key role in Participatory Ground Water Management and this has brought a paradigm shift, as the planning commission has identified in the 12th Five Year Plan (2012-17) the need for increased attention to the management of water resources. Consequently, the Ministry of Water Resources has been advised to scale up the so-called APFAMGS approach to participatory ground water management.

228. BIRDS network embarked upon a mission to build the adaptive capacities of the rural communities to cope with consequences of climate change and variability. Building on the experience of APFAMGS, BIRDS network aims to minimize impacts of climate change/variability through: mass awareness, generation, skill development and evolving location-specific technologies and methods of climate-smart agriculture and water management.

229. In terms of policy making, The SPACC Project coordinates with multiple stakeholders national, international, government, non-government, and community based institutions. Further, through coordination with institutions at varied levels, the project bridges the gap between grassroots organizations and policy makers at national and international level.

GEF SMALL GRANTS PROGRAMME

230. The GEF Small Grants Programme (GEF SGP), implemented by UNDP, reported on its second year of activities of the 5th Operational Phase (OP5). During this period (July 2012 – June 2013) SGP focused on the implementation of projects approved in OP5 as well as on building project portfolios in line with the new OP5 focal area objectives. Since 1992, the Programme has funded over 16,500 community-based projects in over 130 countries, more than half of which are LDCs and SIDS. Currently, SGP operates in 119 countries with an additional 9 countries running SGP programmes through their own Full Size Projects (FSPs).

231. In discussions between the GEF Secretariat and UNDP it was agreed that GEF SGP would submit one consolidated AMR in Sept-October of each year. This report would include the financial data as well as the substantive aspects of the implementation of the program. This report covering the period July 1 2012 - June 30, 2013 can be found here: <http://www.thegef.org/topics/gefsgp>.

232. SGP is constantly striving to meet the needs of new constituencies while continuing to support community-based organizations (CBOs) and other local civil society organizations (CSOs). During the reporting period, 877 projects were completed and reported on results. Out of these completed projects 4% engaged youth groups (31), 11% supported indigenous peoples' organizations (98) with more than half in local languages, 31% were led by women (277), and 44% incorporated gender elements (Nearly 400).

233. According to the GEF Council decision GEF/C.36/4, participating GEF SGP countries have differential access to OP5 core funding for the Programme (with a priority given to new countries, LDCs and SIDS), aligned with a specific set of criteria for governments to endorse a portion of their national GEF5 STAR allocations to the Programme for expanded community-based actions. Based on these access criteria, in OP5 countries were allowed to allocate additional STAR funds to SGP. Some countries, particularly those with no or very low core funds, are very dependent on the STAR funds, and the delay in access to these funds has had an impact on the optimum utilization of funds for grant projects over the reporting period.

234. In the course of this reporting period, the SGP received the full funding for OP5 that countries endorsed for it from the GEF 5 System for Transparent Allocation of Resources (STAR). Table 24 below shows the three tranches of funding received by SGP in OP5.

Table 24: GEF SGP Sources of Funding - July 2012 to June 2013

Project	Date of Approval	Amount
Global Core	PIF Approval by Council 18-Nov - 10	
	CEO Endorsement 25 -Apr-11	\$134,615,385
STAR I	PIF Approval by Council 9- Nov- 11	
	CEO Endorsement 20- Apr- 12	\$40,828,365
STAR II	PIF Approval by Council 12-Apr-13	
	CEO Endorsement 10-May-13	\$72,851,267

235. At the start of OP5, SGP country coverage underwent several changes in its composition: some countries were upgraded, and other regional programs became separate country programs, among other. SGP has also expanded its mandate to 7 new countries during the reporting period, which are well on their way to being fully operational.

236. Total fund delivery during the reporting period was over \$46 million from GEF funds, with 1,356 new grant projects approved, as well as over 3,300 ongoing active projects currently overseen by GEF SGP. The selected project results achieved in the biodiversity, climate change, land degradation, sustainable forest management, international waters, chemicals, and capacity development focal areas, draw upon the results reported by completed GEF SGP projects during the reporting period.

237. Table 25 below provides further details on the breakdown of the 1,356 new projects approved during the reporting year. A total of \$46m was committed from GEF grant funds against which a total of \$44 million was raised as project level matching co-financing.

Table 25: New GEF SGP projects approved during the period July 2012 to June 2013 by GEF sources of Funding

Funding Sources	Number of Projects	Grant Amount (\$ million)	Cash Co-Financing (\$ million)	In-Kind Co-Financing (\$ million)	Total Co-Financing (\$ million)
GEF STAR Funds	599	23	7	11	18
GEF Core Funds	715	22	8	18	26
GEF RAF Funding	42	1	<1	<1	1
Total	1,356	46	15	29	45

(Amount in millions USD, drawn from SGP database on 1 Aug 2013)

238. In addition to the above project level co-financing recorded in the SGP database, SGP also provided information on several key partnership programmes³² that were active during the reporting year with a combined volume of \$31,901,459 in programme level co-financing committed towards SGP.

239. Table 26 below shows the distribution of the active portfolio by GEF focal areas. As in past years, Biodiversity continued to be the largest focal area, reflecting the historical strengths of the Programme and the interest of many NGO and CBO grantees to address natural resource management issues. However, unlike past years, Land Degradation is now the second largest focal area in terms of ongoing grant projects, with 754 projects in the area. This is closely followed by Climate Change which has 737 ongoing projects in the active portfolio of projects. International waters and Chemicals had 161 and 134 ongoing projects respectively. The number of Multifocal area projects has declined significantly in view of the guidance provided by CPMT that each project should identify a primary focal area as well as one or more secondary focal areas where relevant. Thus while many SGP projects continued to have multiple benefits and relevance to more than one focal area, for better tracking and portfolio data, these are included under the primary focal area identified as the focus of the project. Capacity development was introduced as a new focal area in OP5, in alignment with the GEF 5 focal area strategies, which include the strategy for Cross-Cutting Capacity Development. SGP was required to limit the funding for capacity development projects to no more than 10% of the total grant funding for each country Programme in OP5. According to the data provided below there are 107 active projects – however only 18 of these are newly funded under the new capacity development focal area, while others are grants that have crosscutting capacity development components but may be primarily under another focal area.

³² These programme level funds are additional to the project level co-financing recorded per project entry in the SGP database. Detailed information is included in Annex 6 of the SGP AMR.

Table 26: GEF SGP Distribution by Focal Area. (Amount in millions USD, drawn from SGP database on 15 Aug 2013) ³³

Focal Area	Number of Projects	Grant Amount (\$million)	Co-Financing in Cash (\$ million)	Co-Financing in Kind (\$ million)
Biodiversity	1,662	52	22	29
Climate Change Mitigation	737	21	14	13
International Waters	161	4	3	3
Multifocal Area	117	3	1	2
Chemicals	134	4	2	2
Land Degradation	754	19	8	17
Climate Change Adaptation	64	1	<1	<1
Capacity Development	107	3	1	1
Total	3,736³⁴	108	51	66

³³ Note that the SGP database is dynamic and constantly updated by country programme staff. Therefore there may be slight discrepancies in number of projects and funding amounts based on the date on which the data was downloaded – e.g. data downloaded on 1 August may be slightly different from that on 15 August.

³⁴ Projects marked in the database with more than one focal area may be double counted under the relevant focal areas.

CHAPTER 4:

CROSS-CUTTING ISSUES

OVERDUE PROJECTS

240. Since the implementation of the reform eliminating the milestone extension approval process in January 2013, the Secretariat has been tracking and reporting on projects that exceed the project cycle time standard in the weekly program management bulletin that is shared with the GEF Agencies; the status of overdue projects was also reported in the Annual Monitoring Report presented at the November 2013 Council meeting.

241. In January 2014, following the concerns raised by OPS5 regarding overdue projects, the Secretariat and the Agencies took stock of all projects that have exceeded time-frame standards; 126 projects were found to be in this list.³⁵ In February 2014, the CEO communicated to all recipient country operational focal points requesting their cooperation in expediting project preparation. Since then the Secretariat, with Agency cooperation, has focused on projects that have been most delayed in the pipeline, and is undertaking tripartite discussions (recipient countries, Agencies, Secretariat) towards either cancelling specific projects or agreeing to continue preparation with firm project specific deadlines (no later than December 31, 2014).

242. The current list of overdue projects is presented in Annex 7.

AN ASSESSMENT OF TIME TAKEN TO FIRST DISBURSEMENT BY AMR PROJECTS

243. The GEF Council on reviewing the AMR FY12 requested a report on the time taken to first disbursement by a project, among the various portfolio performance measures reported to the GEF Council as a part of the AMR.³⁶ The GEF Secretariat sought dates of first disbursement for projects and received data from the ten GEF Agencies. The Secretariat conducted an analysis to assess the GEF portfolio related to this indicator, which was constrained by two major challenges: (i) the lack of a common definition of first disbursement and therefore the lack of consistent dataset across agencies on dates of first disbursement, and (ii) the definition of a the appropriate cohort for analysis. Both these constraints hold implications for the interpretation of the results and for further work.

244. The time taken (T) between CEO endorsement/approval and the first disbursement made by the GEF Agencies is one measure of the efficiency with which resources associated with a GEF project becomes available to the executing agency but is not the single most critical indicator of the status of a project's implementation or the health of the portfolio. During this interval, there are usually a number of process steps to cover – negotiations, agency approvals, grant signing, project effectiveness/start-up, establishing the project management unit, financial processes, conditions for effectiveness etc; in some instances, disbursement occurs with co-financed resources prior to disbursement of GEF resources. These processes vary by GEF Agency but also depend on the legal and institutional context of the recipient.

³⁵ 18 months between PIF approval and CEO endorsement for full-sized projects and 12 months between PIF approval and CEO approval for medium-sized projects.

³⁶ We thank the Agencies for their gracious support in providing the data and necessary information underpinning this note.

245. Definition of first disbursement. The GEF network does not have a common definition of first disbursement³⁷ or monitor it in the same way. For the purpose of this analysis, the Agencies' own definition, as provided, was used. ADB, IFAD, IADB, UNEP report the date when financial authorizations for withdrawals are made. UNIDO and UNDP report first disbursement as dates when the financial authorization is committed while AfDB identifies it as the date when conditions for first disbursement are fulfilled and the World Bank, as the date when the project is declared effective. A number of agencies have noted that there could be varying periods of time between CEO endorsement to project effectiveness and then to first disbursement, reflecting the varying nature and internal approval processes of the different agencies. For instance, Agencies that work directly within country processes can be expected to take longer than Agencies that can establish PMUs directly. When CEO endorsement takes place upstream in the cycle such as for the GEF-WB harmonization pilot, elapsed time will be longer to disbursement.

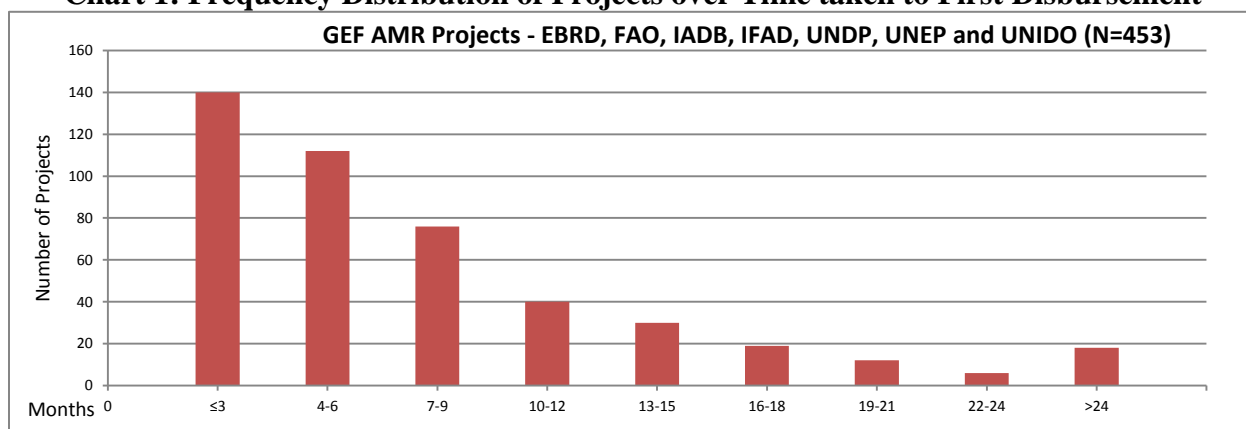
246. The cohort of projects included in this analysis has 453 projects reported on in AMR FY 13 Part I for which data on first disbursements and implemented by EBRD, FAO, IADB, IFAD, UNDP, UNEP and UNIDO. (Annex 6, Table 1). World Bank (142) and AfDB (1) projects were not included as they reported dates of effectiveness and condition of fulfillment for disbursement. The cohort of projects used for this analysis does not include any projects for which disbursement dates were not received or which were not reported in AMR Part I. Of these projects, 63 were approved/endorsed in GEF 3 and 367 in GEF 4 and 23 in GEF 5. The data for GEF 5 is necessarily incomplete. This cohort included 328 full size projects and 125 medium sized projects. The dates for the CEO endorsement/approval were taken from PMIS and mirror its accuracy. The choice of cohort for analysis was driven by the reporting for AMR. However, a more truly representative cohort would include all the projects that have been approved by Council.

247. With the recognition of these challenges, this analysis was used to further the discussion between the GEF Secretariat and the Agencies. It has been agreed that a common approach for assessing the first disbursement will be developed and an in-depth analysis on an improved dataset will be conducted and included in the AMR FY14 Part I. The analysis is expected to include disaggregated pictures of the data including by geographic regions, focal areas, and Agencies. The analysis will also examine the conditions contributing to more efficient disbursement intervals, particularly those with potential for replication, including a common understanding of the risk factors that contribute to lags and an exploration of which of risk factors can be mitigated by process improvements.

248. The analysis presents the frequency distribution of the number of projects over the number of months they took till first disbursement (Chart 1) and also the cumulative frequency distribution of over time (Annex 6). The latter presents the metric: Cumulative Percentage of Projects that have a T at or less than X months.

³⁷ The details of the definitions provided are available at the end of this annex.

Chart 1: Frequency Distribution of Projects over Time taken to First Disbursement



Preliminary Analysis of Cohort

249. The analysis found that at the median, this cohort had a T of 5 months or less, a majority or 75 % took about 10 months or less and 96 % of cohort started disbursing by 23 months. At the lower bound, 31 % of cohort started disbursing within 3 months. At the other end, 4 % of cohort took longer than 24 months to start disbursing indicating issues related to implementation.

250. Annex 6 presents the assessment of the cohort disaggregated by size and replenishment phase. There are not significant differences in the time taken by full size versus medium size projects in commencing disbursement and as can be expected medium sized projects perform as well or better than full size projects. There has been consistent progress over the replenishment periods as well. The cohort is necessarily incomplete for GEF 5 but shows progress, despite the limited view.

CLIMATE RELEVANT FINANCING

251. In the past year, some donor countries have requested information from the GEF Secretariat on GEF project finance – beyond finance in the climate change mitigation (CC-M) focal area or climate change adaptation (CC-A) financing (provided through the Least Developed Countries Fund (LDCF) or the Special Climate Change Fund (SCCF) – that provides benefits in terms of either or both CC-M or CC-A.

252. In response, the GEF Secretariat conducted a rapid assessment of the portfolio of projects approved during 2012 and 2013 fiscal years (July 1, 2011 – June 30, 2013) to develop a picture of total GEF project finance relevant for climate change.³⁸ The table below breaks down GEF climate-relevant finance into three categories.

- (a) Climate mitigation financing through the climate change focal area of the GEF TF totaling \$774 million. It includes:
 - (i) \$708 million in provided from the GEF TF CC-M focal area for mitigation “stand-alone” projects (e.g. those only with mitigation financing) as well

³⁸ Project approval means either Council approval of GEF full-size projects or GEF CEO approval of medium-size projects.

- as projects with multiple sources of financing – called “multi-focal area” and “multi-trust fund” projects; and
- (ii) \$65 million in projects funded through the GEF’s public-private partnership (PPP) set aside that focus on CC-M.
- (b) Climate change adaptation (CC-A) financing provided through the Least Developed Countries Fund (LDCF) and Special Climate Change Fund (SCCF) totaling \$518 million, comprised of LDCF/SCCF “stand-alone” projects (e.g., those with only LDCF/SCCF projects) as well as projects with multiple sources of financing multi-trust fund/ multi-focal area projects.
- (i) Financing of projects in other GEF focal or thematic areas (e.g. biodiversity, land degradation, sustainable forest management/REDD+, or sound chemicals management) that the GEF Secretariat believes provide meaningful climate change benefits, in terms of either or both CC-M and CC-A. This financing is therefore termed as being “climate relevant.” This amounts to \$647 million, as was provided through 126 GEF projects, and includes single focal/ stand-alone projects (e.g. those with biodiversity or land degradation financing) as well as multi-focal area/ multi-trust fund projects.

The table includes further details on the source of such “climate relevant” financing.

Methodology for Determining Climate Relevance

253. Determining the climate relevance of GEF financing outside of the climate change focal area is not an exact science. The Secretariat took the following approach, which is seen as reasonable and balanced.

254. The project titles and objectives of each project were screened for key words relating to climate change, such as climate change mitigation, adaptation, carbon, climate, REDD, climate adaptation, mitigation, resilience, HCFC. Each project that contained one or more of these key words was screened to confirm whether the description of the project indeed qualifies as CC-relevant. The totals for projects that met this test were included.

255. All projects that receiving support from the SFM/REDD+ set aside were included since this financing protects or enhances forests as carbon sinks and providers of both mitigation and adaptation benefits. (Only the part of the grant from SFM/REDD+ was included in this column)

256. The Secretariat has included other projects (in biodiversity, land degradation, and international waters that focus on protecting important carbon sinks, including forests)

257. Grants for cross-cutting capacity development projects were included if they include an objective of strengthening a country’s capacity to implement the United Nations Framework Convention on Climate Change in addition to other conventions for which the GEF serves as a/the financial mechanism.

Table 27: Climate-Relevant Financing

Category	\$
Climate Change Mitigation Financing:	773,670,226
Climate Change Adaptation Financing:	518,184,402
Climate Relevant Financing from other Focal Areas/Themes:	630,896,908
of which:	
Biodiversity	306,840,627
Land Degradation	120,307,642
SFM/REDD+	104,236,602
International Waters	75,502,030
Cross-Cutting Capacity Development	21,084,007
Ozone Depleting Substances	2,926,000
Sound Chemicals Management & Mercury	149,912
Total Climate Relevant GEF Finance	1,922,751,536
Total GEF Finance	2,809,416,410

ANNEXES

ANNEX 1: PROJECTS REVIEWED FOR FY13

Projects Reviewed at Midterm

Agency	GEF ID	Focal Area	Region	Country(ies)	Project Title	Project Size
UNDP	1095	B	AFR	Regional (Congo, Cameroon, Gabon)	Conservation of Transboundary Biodiversity in the Minkebe-Odzala-Dja Interzone in Gabon, Congo, and Cameroon	FP
World Bank	1234	B	AFR	Benin	Community-based Coastal and Marine Biodiversity Management Project	FP
World Bank	1273	B	AFR	Guinea	Coastal Marine and Biodiversity Management	FP
FAO	2127	B	CEX	Global (Chile, China, Algeria, Peru, Philippines, Tunisia)	CBPF: Conservation and Adaptive Management of Globally Important Agricultural Heritage Systems (GIAHS)	FP
UNDP	2435	B	Asia	China	CBPF: Priority Institutional Strengthening and Capacity Development to Implement the China Biodiversity Partnership and Framework for Action	FP
World Bank	2450	B	LAC	Brazil	Rio Grande Do Sul Biodiversity Conservation	FP
World Bank	2641	B	LAC	Brazil	Sustainable Cerrado Initiative	FP
UNDP	2723	B	ECA	Bosnia-Herzegovina	Mainstreaming Karst Peatlands Conservation Concerns into Key Economic Sectors	MSP
ADB	2766	B	Asia	China	CBPF: Integrated Ecosystem and Water Resources Management in the Baiyangdian Basin	FP
UNDP	2773	B	LAC	Costa Rica	Overcoming Barriers to Sustainability of Costa Rica's Protected Areas System	FP
ADB	2788	B	Asia	China	CBPF: Ningxia Integrated Ecosystem and Agricultural Development Project	FP
World Bank	2924	B	AFR	South Africa	Development, Empowerment and Conservation in the Greater St Lucia Wetland Park and Surrounding Region	FP
UNDP	3254	B	AFR	Seychelles	Mainstreaming Prevention and Control Measures for Invasive Alien Species into Trade, Transport and Travel Across the Production Landscape	FP
ADB	3279	B	Asia	Indonesia	Citarum Watershed Management and Biodiversity Conservation Project	FP
UNDP	3428	B	AFR	Tanzania	SFM Extending the Coastal Forests Protected Area Subsystem	FP
UNDP	3518	B	ECA	Russian Federation	Strengthening the Marine and Coastal Protected Areas of Russia	FP

Agency	GEF ID	Focal Area	Region	Country(ies)	Project Title	Project Size
IADB	3532	B	LAC	Colombia	Protecting Biodiversity in the Southwestern Caribbean Sea	FP
World Bank	3533	B	AFR	Cote d'Ivoire	Protected Area Project (Projet d'Appui a la Relance de la Conservation des Parcs et Reserves, PARC-CI)	FP
UNDP	3590	B	LAC	Colombia	Mainstreaming Biodiversity in the Coffee Sector in Colombia	FP
World Bank	3668	B	AFR	Zambia	Extension of Kasanka Management System to Lavushi Manda National Park	MSP
UNDP	3745	B	ECA	Russian Federation	Improving the Coverage and Management Efficiency of Protected Areas in the Steppe Biome of Russia	FP
UNDP	3752	B	AFR	Cape Verde	SPWA-BD: Consolidation of Cape Verde's Protected Areas System	FP
World Bank	3772	B	AFR	Congo DR	CBSP Forest and Nature Conservation Project	FP
UNDP	3820	B	Asia	Mongolia	Strengthening of the Protected Area Networking System in Mongolia (SPAN)	FP
UNDP	3861	B	LAC	Belize	Strengthening National Capacities for the Consolidation, Operationalization and Sustainability of Belize's Protected Areas System	MSP
UNDP	3864	B	Asia	China	CBPF: Strengthening Globally Important Biodiversity Conservation Through Protected Area Strengthening in Gansu Province	FP
UNDP	3910	B	LAC	Argentina	Inter-jurisdictional System of Coastal-Marine Protected Areas (ISCOMPA)	FP
UNDP	3946	B	ECA	Serbia	Ensuring Financial Sustainability of the Protected Area System	MSP
UNDP	3950	B	ECA	Uzbekistan	Mainstreaming biodiversity into Uzbekistan's oil-and-gas sector policies and operations	MSP
World Bank	3961	B	AFR	Gambia	SPWA-BD: The Gambia Biodiversity Management and Institutional Strengthening Project	MSP
World Bank	4169	B	AFR	Regional (Africa)	SPWA-BD: Scaling up the impacts of goods practices in linking poverty alleviation and biodiversity conservation	MSP
UNDP	1335	C	AFR	Egypt	Bioenergy for Sustainable Rural Development	FP
World Bank	1831	C	AFR	Uganda	Energy for Rural Transformation Project (APL)	FP
UNDP	2554	C	AFR	Morocco	Energy Efficiency Codes in Residential Buildings and Energy Efficiency Improvement in Commercial and Hospital Buildings in Morocco	FP

Agency	GEF ID	Focal Area	Region	Country(ies)	Project Title	Project Size
UNDP	2775	C	AFR	Kenya	Development and Implementation of a Standards and Labeling Programme in Kenya with Replication in East Africa	FP
UNDP	2776	C	AFR	Egypt	Sustainable Transport	FP
UNDP	2844	C	Asia	India	Energy Efficiency Improvements in the Indian Brick Industry	MSP
World Bank	2918	C	AFR	Rwanda	Sustainable Energy Development Project (SEDP)	FP
UNDP/UNEP	2939	C	CEX	Global ()	Solar Water Heating Market Transformation and Strengthening Initiative, Phase 1	FP
UNDP	2942	C	ECA	Turkey	Promote Energy Efficiency in Buildings	FP
UNDP	3027	C	ECA	Tajikistan	Support to Sustainable Transport Management in Dushanbe	MSP
UNDP	3215	C	Asia	Jordan	Energy Efficiency Standards and Labeling of Building Appliances	MSP
UNDP	3216	C	ECA	Russian Federation	RUS: Standards and Labels for Promoting Energy Efficiency	FP
World Bank/UNDP	3241	C	Asia	India	Sustainable Urban Transport Project	FP
UNDP	3359	C	Asia	Thailand	Promoting Renewable Energy in Mae Hong Son Province	FP
UNDP	3433	C	ECA	Slovak Republic	Sustainable Mobility in the City of Bratislava	MSP
UNDP	3479	C	LAC	Colombia	CO-EFFICIENCY: Improving Energy Efficiency in Buildings in Colombia through Synergies between Environmental Conventions	MSP
EBRD	3535	C	ECA	Ukraine	Creating Markets for Renewable Power in Ukraine	FP
EBRD/UNIDO	3593	C	ECA	Russian Federation	RUS Market Transformation Programme on Energy Efficiency in GHG-Intensive Industries in Russia	FP
EBRD	3596	C	ECA	Russian Federation	RUS Improving Efficiency in Public Buildings in the Russian Federation - under the Energy Efficiency Umbrella Program	FP
EBRD/World Bank	3597	C	ECA	Russian Federation	RUS Improving Urban Housing Efficiency in the Russian Federation	FP
UNDP	3658	C	ECA	Russian Federation	RUS: Transforming the Market for Efficient Lighting	FP
UNDP	3700	C	Asia	China	Promoting Energy Efficient Room Air Conditioners (PEERAC) Project	FP
UNDP	3758	C	ECA	Kazakhstan	Energy Efficient Design and Construction in Residential Sector	FP
UNDP	3759	C	ECA	Serbia	Support to Sustainable Transportation System in the City of Belgrade	MSP
World Bank	3827	C	AFR	Nigeria	SPWA-CC: Nigeria Urban Transport	FP

Agency	GEF ID	Focal Area	Region	Country(ies)	Project Title	Project Size
UNDP	3881	C	AFR	Ghana	SPWA-CC: Promoting of Appliance Energy Efficiency and Transformation of the Refrigerating Appliances Market in Ghana.	FP
UNDP	3931	C	ECA	Kyrgyzstan	Small Hydro Power Development	MSP
UNDP	3935	C	ECA	Armenia	LGGE Improving Energy Efficiency in Buildings	FP
UNIDO	3976	C	Asia	Cambodia	Reducing Greenhouse Gas Emissions through Improved Energy Efficiency in the Industrial Sector	FP
UNDP	1375	I	ECA	Regional (Armenia, Azerbaijan, Georgia)	Reducing Transboundary Degradation in the Kura-Aras Basin	FP
UNDP/World Bank, UNEP	1893	I	CEX	Global	Strengthening Global Capacity to Sustain Transboundary Waters: The International Waters Learning Exchange and Resource Network (IW:LEARN), Operational Phase	FP
FAO/UNEP	1909	I	AFR	Regional (Cape Verde, Gambia, Guinea, Guinea-Bissau, Morocco, Mauritania, Senegal)	Protection of the Canary Current Large Marine Ecosystem (LME)	FP
UNDP	2701	I	AFR	Regional (Botswana, Lesotho, Namibia, South Africa)	Development and Adoption of a Strategic Action Program for Balancing Water Uses and Sustainable Natural Resource Management in the Orange-Senqu River Transboundary Basin	FP
UNDP	3305	I	AFR	Regional (Angola, Namibia, South Africa)	Implementation of the Benguela Current LME Action Program for Restoring Depleted Fisheries and Reducing Coastal Resources Degradation	FP
UNDP	3522	I	Asia	Regional (Indonesia, Papua New Guinea, Timor Leste)	CTI Arafura and Timor Seas Ecosystem Action Programme (ATSEA) - under the Coral Triangle Initiative	FP
World Bank	3558	I	AFR	Regional (Cape Verde, Liberia, Sierra Leone, Senegal)	SP-SFIF: West Africa Regional Fisheries Program (WARFP)	FP
UNDP/ADB	3639	I	CEX	Global	CTI GEF IW: LEARN: Portfolio Learning in International Waters with a Focus on Oceans, Coasts, and Islands and Regional Asia/Pacific and Coral Triangle Learning Processes - under the Coral Triangle Initiative	FP

Agency	GEF ID	Focal Area	Region	Country(ies)	Project Title	Project Size
UNDP	3690	I	ECA	Regional (Albania, Bosnia-Herzegovina, Croatia, Montenegro)	Protection and Sustainable Use of the Dinaric Karst Aquifer System	FP
FAO	3726	I	CEX	Global	Groundwater Governance: A Global Framework for Country Action	FP
UNDP/UNEP	3900	I	CEX	Global (Global)	MENARID: GEF IW LEARN: Strengthening IW Portfolio Delivery and Impact	FP
FAO	2139	L	AFR	Regional (Burundi, Rwanda, Tanzania, Uganda)	SIP: Transboundary Agro-Ecosystem Management Programme for the Kagera River Basin (Kagera TAMP)	FP
UNEP	2184	L	AFR	Regional (Ghana, Morocco, Uganda, South Africa)	SIP: Stimulating Community Initiatives in Sustainable Land Management (SCI-SLM)	MSP
IFAD	3379	L	AFR	Mauritania	SIP: Participatory Environmental Protection and Poverty Reduction in the Oases of Mauritania	FP
World Bank	3384	L	AFR	Nigeria	SIP: Scaling up SLM Practice, Knowledge, and Coordination in Key Nigerian States	FP
UNDP	3393	L	AFR	Uganda	SIP: Enabling Environment for SLM to overcome land degradation in the cattle corridor of Uganda.	FP
IFAD	3567	L	AFR	Burkina Faso	CPP: Burkina Faso - Sub-programme of the Northern Region-under Partnership Programme for Sustainable Land Management	FP
UNEP/UNIDO	2600	M	REG	Regional (Albania, Bosnia-Herzegovina, Algeria, Egypt, Croatia, Lebanon, Libya, Morocco, Syria, Tunisia, Turkey, Serbia)	Strategic Partnership for the Mediterranean Large Marine Ecosystem-Regional Component: Implementation of Agreed Actions for the Protection of the Environmental Resources of the Mediterranean Sea and Its Coastal Areas	FP
IFAD	2631	M	Asia	Jordan	MENARID: Mainstreaming Sustainable Land and Water Management Practices	FP
IFAD	2632	M	AFR	Morocco	MENARID: Participatory Control of Desertification and Poverty Reduction in the Arid and Semi Arid High Plateau Ecosystems of Eastern Morocco	FP

Agency	GEF ID	Focal Area	Region	Country(ies)	Project Title	Project Size
UNDP	2929	M	LAC	Regional (Dominican Republic, Haiti)	Reducing Conflicting Water Uses in the Artibonite River Basin through Development and Adoption of a Multi-focal Area Strategic Action Programme	FP
UNDP	3129	M	ECA	Tajikistan	Sustaining Agricultural Biodiversity in the Face of Climate Change	FP
World Bank	3398	M	AFR	Regional (Egypt, Ethiopia, Sudan)	SIP: Eastern Nile Transboundary Watershed Management in Support of ENSAP Implementation	FP
UNDP	3469	M	Asia	India	SLEM/CPP: Sustainable Land Management in Shifting Cultivation Areas of Nagaland for Ecological and Livelihood Security	FP
UNIDO	3541	M	ECA	Global (Russian Federation)	TT-Pilot (GEF 4): Phase Out HCFCs and Promotion of HFC-free Energy Efficient Refrigeration and Air-Conditioning Systems in the Russian Federation Through Technology Transfer	FP
UNIDO	2875	P	ECA	Macedonia	Demonstration project for Phasing-out and Elimination of PCBs and PCB-Containing Equipment	MSP
UNDP/FAO	3105	P	Asia	Vietnam	Building Capacity to Eliminate POPs Pesticides Stockpiles	FP
UNDP	3270	P	LAC	Mexico	Environmentally Sound Management and Destruction of PCBs	FP
UNIDO	3542	P	Asia	Mongolia	Capacity Building For Environmentally Sound PCBs Management And Disposal	FP
UNIDO	3543	P	ECA	Azerbaijan	Environmentally Sound Management and Disposal of PCBs	FP
UNIDO	3709	P	LAC	Peru	Environmentally Sound Management and Disposal of PCBs	FP
UNIDO	3732	P	Asia	Regional (Indonesia, Cambodia, Lao PDR, Mongolia, Philippines, Thailand)	Demonstration of BAT and BEP in Fossil Fuel-fired Utility and Industrial Boilers in Response to the Stockholm Convention on POPs	FP
UNIDO	2875	P	ECA	Macedonia	Demonstration project for Phasing-out and Elimination of PCBs and PCB-Containing Equipment	MSP
UNDP	3804	P	AFR	Nigeria	Less Burnt for a Clean Earth: Minimization of Dioxin Emission from Open Burning Sources	FP

Projects Reviewed at Completion

Agency	GEF ID	Focal Area	Region	Country(ies)	Project Title	Project Size
World Bank/ADB	878	B	Asia	Sri Lanka	Protected Areas and Wildlife Conservation Project	FP
UNDP	1068	B	ECA	Russian Federation	Conservation of Wetland Biodiversity in the Lower Volga Region	FP
UNDP	1099	B	Asia	Maldives	Atoll Ecosystem-based Conservation of Globally Significant Biological Diversity in the Maldives' Baa Atoll	FP
UNDP	1107	B	Asia	Nepal	Landscape Level Biodiversity Conservation in Nepal's Western Terai Complex	FP
UNDP	1145	B	Asia	Iran	Conservation of Iranian Wetlands	FP
UNDP	1201	B	Asia	Malaysia	Conserving Marine Biodiversity through Enhanced Marine Park Management and Inclusive Sustainable Island Development	FP
World Bank	1253	B	AFR	Mali	Gourma Biodiversity Conservation Project	FP
World Bank	1538	B	LAC	Uruguay	Integrated Natural Resources and Biodiversity Management	FP
ADB	1907	B	Asia	Afghanistan	Natural Resources and Poverty Alleviation Project	MSP
World Bank	1999	B	AFR	Kenya	Wildlife Conservation Leasing Demonstration	MSP
World Bank	2099	B	LAC	Regional (Honduras, Nicaragua)	Corazon Transboundary Biosphere Reserve	FP
UNDP	2105	B	ECA	Croatia	Conservation and Sustainable Use of Biodiversity in the Dalmatian Coast through Greening Coastal Development	FP
World Bank	2634	B	Asia	China	Guangxi Integrated Forestry Development and Biodiversity Conservation	FP
UNDP	2702	B	LAC	Nicaragua	Strengthening and Catalyzing the Sustainability of	FP

Agency	GEF ID	Focal Area	Region	Country(ies)	Project Title	Project Size
					Nicaragua's Protected Areas System	
UNDP	2723	B	ECA	Bosnia-Herzegovina	Mainstreaming Karst Peatlands Conservation Concerns into Key Economic Sectors	MSP
World Bank	2969	B	Asia	Indonesia	Partnerships for Conservation Management of the Aketajawe-Lolobata National Park, North Maluku Province	MSP
UNDP	3192	B	ECA	Kyrgyzstan	Sustainable Management of Endemic Ichthofauna of the Issyk-Kul Lake Basin	MSP
World Bank	3284	B	AFR	Liberia	Consolidation of Liberia's Protected Area Network	MSP
UNDP	3556	B	ECA	Uzbekistan	Strengthening Sustainability of the National Protected Area System by Focusing on Strictly Protected Areas	MSP
UNDP	3675	B	ECA	Moldova	Improving Coverage and Management Effectiveness of the Protected Area System in Moldova	MSP
UNDP	3914	B	ECA	Belarus	Mainstreaming Biodiversity Conservation into Territorial Planning Policies and Practices	MSP
World Bank	647	C	AFR	Morocco	Integrated Solar Combined Cycle Power Plant (formerly Solar Based Thermal Power Plant)	FP
World Bank	786	C	ECA	Poland	Krakow Energy Efficiency Project	FP
World Bank	921	C	AFR	Senegal	Electricity Services for Rural Areas Project	FP
ADB	1105	C	Asia	China	Efficient Utilization of Agricultural Wastes	FP
UNDP	1149	C	ECA	Kazakhstan	Removing Barriers to Energy Efficiency in Municipal Heat and Hot Water Supply	FP
UNDP	1235	C	AFR	Botswana	Renewable Energy-Based Rural Electrification	FP

Agency	GEF ID	Focal Area	Region	Country(ies)	Project Title	Project Size
					Programme	
UNDP	1240	C	Asia	India	Removal of Barriers to Energy Efficiency Improvement in the Steel Rerolling Mill Sector	FP
World Bank	1831	C	AFR	Uganda	Energy for Rural Transformation Project (APL)	FP
World Bank/IFC	2111	C	ECA	Russian Federation	Russian Sustainable Energy Finance Program	FP
UNDP	2499	C	LAC	Guatemala	Productive Uses of Renewable Energy in Guatemala	FP
UNDP	2526	C	Asia	Pakistan	Promotion of Energy Efficient Cooking, Heating and Housing Technologies (PEECH)	MSP
World Bank	2531	C	ECA	Macedonia	Sustainable Energy Program	FP
UNDP	2554	C	AFR	Morocco	Energy Efficiency Codes in Residential Buildings and Energy Efficiency Improvement in Commercial and Hospital Buildings in Morocco	FP
UNEP	2683	C	AFR	Regional (Burundi, Kenya, Malawi, Mozambique, Rwanda, Tanzania, Uganda, Zambia)	Greening the Tea Industry in East Africa	FP
World Bank	2767	C	LAC	Regional (Argentina, Brazil, Mexico)	LAC Regional Sustainable Transport and Air Quality Project	FP
UNDP	2826	C	LAC	Uruguay	Uruguay Wind Energy Programme (UWEP)	MSP
UNEP	3224	C	CEX	Global	Establishing Sustainable Liquid Biofuels Production Worldwide (A Targeted Research Project)	MSP
UNDP	3256	C	ECA	Montenegro	Power Sector Policy Reform to Promote Small Hydropower Development in the	MSP

Agency	GEF ID	Focal Area	Region	Country(ies)	Project Title	Project Size
					Republic of Montenegro	
UNDP	3415	C	ECA	Global (Albania)	Identification and Implementation of Adaptation Response Measures in the Drini-Mati River Deltas	MSP
UNDP	3417	C	ECA	Global (Armenia)	Adaptation to Climate Change Impacts in Mountain Forest Ecosystems of Armenia	MSP
UNEP	3457	C	CEX	Global	Global Market Transformation for Efficient Lighting	FP
UNDP	3479	C	LAC	Colombia	CO-EFFICIENCY: Improving Energy Efficiency in Buildings in Colombia through Synergies between Environmental Conventions	MSP
World Bank	3878	C	ECA	Armenia	GEO: GEOFUND APL2 – ARMENIA GEOTHERMAL PROJECT	FP
UNEP	3948	C	AFR	South Africa	Reducing the Carbon Footprint of Major Sporting Events, FIFA 2010 and the implementation of the national greening programme in liaison with 2010 FIFA LOC	MSP
UNDP	1032	I	LAC	Regional (Antigua And Barbuda, Barbados, Brazil, Bahamas, Belize, Colombia, Costa Rica, Dominica, Dominican Republic, Grenada, Guatemala, Guyana, Honduras, Haiti, Jamaica, St. Kitts And Nevis, St.	Sustainable Management of the Shared Marine Resources of the Caribbean Large Marine Ecosystem (CLME) and Adjacent Regions	FP

Agency	GEF ID	Focal Area	Region	Country(ies)	Project Title	Project Size
				Lucia, Mexico, Nicaragua, Panama, St. Vincent and Grenadin		
World Bank	2098	I	AFR	Regional (Kenya, Comoros, Madagascar, Mauritius, Mozambique, Seychelles, Tanzania, South Africa)	Western Indian Ocean Marine Highway Development and Coastal and Marine Contamination Prevention Project	FP
World Bank	2133	I	ECA	Regional (Albania, Montenegro)	Lake Skader-Shkoder Integrated Ecosystem Management	FP
UNDP	2700	I	Asia	Regional (China, Indonesia, Cambodia, Lao PDR, Philippines, Thailand, Timor Leste, Vietnam)	Implementation of Sustainable Development Strategy for the Seas of East Asia (SDS-SEA)	FP
World Bank	3148	I	ECA	Croatia	DBSB Agricultural Pollution Control Project - under the Strategic Partnership Investment Fund for Nutrient Reduction in the Danube River and Black Sea	FP
UNDP	3523	I	Asia	Regional (Indonesia, Philippines, Vietnam)	CTI West Pacific-East Asia Oceanic Fisheries Management Project - under the Coral Triangle Initiative	MSP
World Bank	2459	L	AFR	Mauritania	Community-based Watershed Management Project	FP
ADB	2504	L	ECA	Regional (Kyrgyz Republic, Kazakhstan, Tajikistan, Turkmenistan, Uzbekistan)	CACILM: Central Asian Countries Initiative for Land Management Multi-country Partnership Framework Phase 1	FP

Agency	GEF ID	Focal Area	Region	Country(ies)	Project Title	Project Size
UNDP	2740	L	ECA	Uzbekistan	CACILM: Achieving Ecosystem Stability on the Exposed Aral Seabed and the Kyzylkum Desert, Uzbekistan - under CACILM Partnership Framework, Phase 1	MSP
UNDP	2743	L	ECA	Kyrgyzstan	CACILM: Demonstrating Sustainable Mountain Pasture Management in Susamyr in Kyrgyzstan- under CACILM Patnership Framework Phase I	MSP
ADB	3230	L	ECA	Regional (Kyrgyz Republic, Kazakhstan, Tajikistan, Turkmenistan, Uzbekistan)	CACILM: Central Asia Countries Initiative for Land Management (CACILM) Multicountry Partnership Framework Support Project-under CACILM Partnership Framework, Phase 1	FP
UNDP	3231	L	ECA	Regional (Kyrgyzstan, Kazakhstan, Tajikistan, Turkmenistan, Uzbekistan)	CACILM: Multicountry Capacity Building Project	FP
World Bank	3382	L	AFR	Niger	SIP: Community Driven SLM for Environmental and Food Security	FP
World Bank	3385	L	AFR	Senegal	SIP: Sustainable Land Management in Senegal	FP
ADB	1684	M	Asia	Regional (China, Cambodia, Lao PDR, Thailand, Vietnam)	National Performance Assessment and Subregional Strategic Environment Framework in the Greater Mekong Subregion (GMS)	MSP
ADB	1870	M	Asia	Regional (China, Mongolia)	Prevention and Control of Dust and Sandstorms in Northeast Asia	MSP
World Bank	2101	M	AFR	Tanzania	Marine and Coastal Environment Management Project (MACEMP)	FP

Agency	GEF ID	Focal Area	Region	Country(ies)	Project Title	Project Size
UNDP	2422	M	ECA	Slovak Republic	Integration of Ecosystem Management Principles and Practices into Land and Water Management of Slovakia's Eastern Lowlands	MSP
UNDP	3049	M	LAC	Jamaica	Piloting Natural Resource Valuation within Environmental Impact Assessments	MSP
UNDP	3070	M	Asia	Jordan	Developing Policy Relevant Capacity for Implementation of the Global Environmental Conventions in Jordan	MSP
UNDP	3173	M	Asia	Lao PDR	Meeting the Primary Obligations of the Rio Conventions through Strengthening Capacity to Implement Natural Resources Legislation	MSP
UNDP	3190	M	AFR	Egypt	Mainstreaming Global Environment in National Plans and Policies by Strengthening the Monitoring and Reporting System for Multilateral Environmental Agreements	MSP
IFAD	1848	M	AFR	Kenya	Mount Kenya East Pilot Project for Natural Resource Management (MKEPP)	
World Bank	3471	M	Asia	India	SLEM/CPP: Sustainable Land Water and Biodiversity Conservation and Management for Improved Livelihoods in Uttarakhand Watershed Sector	
UNDP/UNEP, UNIDO, World Bank	2331	O	ECA	Regional (Azerbaijan, Bulgaria, Belarus, Hungary, Kazakhstan, Lithuania, Latvia, Poland,	Preparing for HCFC phase out in CEITs: needs, benefits and potential synergies with other MEAs	MSP

Agency	GEF ID	Focal Area	Region	Country(ies)	Project Title	Project Size
				Russian Federation, Slovak Republic, Tajikistan, Ukraine, Uzbekistan)		
World Bank/FAO	1348	P	AFR	Regional (Ethiopia, Morocco, Mali, Nigeria, Tunisia, Tanzania, South Africa)	Africa Stockpiles Program, P1	FP
UNDP	1802	P	CEX	Global (Argentina, India, Lebanon, Latvia, Philippines, Senegal, Tanzania, Vietnam)	Demonstrating and Promoting Best Techniques and Practices for Reducing Health-care Waste to Avoid Environmental Releases of Dioxins and Mercury	FP
World Bank	2360	P	Asia	China	PCB Management and Disposal Demonstration	FP
UNIDO	2720	P	AFR	Regional (Ghana, Nigeria)	Regional Project to Develop Appropriate Strategies for Identifying Sites Contaminated by Chemicals listed in Annexes A, B and/or C of the Stockholm Convention	FP
UNIDO	2865	P	REG	Regional (Egypt, Jordan, Sudan, Yemen)	Promotion of Strategies to Reduce Unintentional Production of POPs in the PERSGA Coastal Zone	MSP

ANNEX 2: ADAPTATION PROJECTS UNDER THE STRATEGIC PRIORITY ON ADAPTATION

GEF ID	Country	Project Title	Report reviewed
2095	Regional (Argentina, Bolivia, Brazil, Paraguay, Uruguay)	<i>Sustainable Management of the Water Resources of the la Plata Basin with Respect to the Effects of Climate Variability and Change</i>	PIR
2364	Regional (Bolivia, Brazil, Colombia, Ecuador, Guyana, Peru, Suriname, Venezuela)	<i>Integrated and Sustainable Management of Trans-boundary Water Resources in the Amazon River Basin Considering Climate Variability and Climate Change</i>	PIR
2753	Sri Lanka	<i>Participatory Coastal Zone Restoration and Sustainable Management in the Eastern Province of Post-Tsunami Sri Lanka</i>	PIR
2889	Mozambique	<i>Zambezi Valley Market Led Smallholder Development</i>	PIR
3129	Tajikistan	<i>Sustaining agricultural biodiversity in the face of climate change</i>	MTR
3267	Yemen	<i>MENARID: Adaptation to Climate Change Using Agro-biodiversity Resources in the Rained Highlands of Yemen</i>	PIR
3415	Albania	<i>Identification and Implementation of Adaptation Response Measures in the Drini-Mati River Deltas</i>	TE
3417	Armenia	<i>Adaptation to Climate Change Impacts in Mountain Forest Ecosystems of Armenia</i>	TE
3470	India	<i>SLEM/CPP: Sustainable Rural Livelihood Security through Innovations in Land and Ecosystem Management</i>	PIR
3471	India	<i>SLEM/CPP: Sustainable Land Water and Biodiversity Conservation and Management for Improved Livelihoods in Uttarakhand Watershed Sector</i>	PIR
3472	India	<i>SLEM/CCP: Integrated Land Use Management to Combat Land Degradation in Madja Pradesh</i>	PIR
3589	Regional (Indonesia, Malaysia, Philippines)	<i>CTI Coast and Marine Resources Management in the Coral Triangle: Southeast Asia under Coral Triangle Initiative</i>	PIR
3591	Regional (Papua New Guinea, Solomon Islands, Palau, Micronesia, Fiji, Timor Leste, Vanuatu)	<i>PAS: Strengthening Coastal and Marine Resources Management in the Coral Triangle of the Pacific - under the Pacific Alliance for Sustainability Program</i>	PIR
3669	Tunisia	<i>MENARID: Second Natural Resources Management Project</i>	PIR
3882	India, Global	<i>SLEM/CPP: Reversing Environmental Degradation and Rural Poverty through Adaptation to Climate Change in Drought Stricken Areas in Southern India: A Hydrological Unit Pilot Project Approach</i>	PIR

ANNEX 3: FOCAL AREA LEARNING OBJECTIVES AND LEARNING QUESTIONS

The following annex provides the learning objectives and 2013 guiding questions for each focal area:

Biodiversity Targeted Learning

Learning Objective	Guiding questions
LO1: Enhancing Impact and Results through Improved Understanding of Protected Area Management Effectiveness.	<ol style="list-style-type: none"> 1. Sustainable Protected Area Systems <ol style="list-style-type: none"> a) Detail the financial mechanisms for protected areas (such as user fees, tourist taxes, payments for environmental services, trust funds, debt-for-nature swaps, etc) which have been created, or existing mechanisms strengthened and provide an assessment of the relative weight and investment per mechanism. We aim to assess per region and globally what kinds of mechanisms we are supporting and to what degree. b) Within the context of each financial mechanism we will assess: i) what have been the shortcomings of each approach; ii) what approaches appear to be the easiest to operationalize, iii) what approaches appear to the most difficult to operationalize; and iv) what enabling conditions correlate most directly with successful implementation of financial mechanisms for PA systems and sub-systems? c) How are project teams identifying the funding gap for national PA systems, sub-systems and sites (hopefully through the financial sustainability scorecard) and how have they set a target for reducing the gap? We will assess progress in reducing the funding gap. d) For PA projects that are not focused on PA financing, per se, we will assess whether and how the project is contributing to one of the three pillars of PA system sustainability as defined in the strategy: a) adequate finance, b) ecosystem and species representation, and c) individual and institutional capacity.
LO2: Enhancing Social Impacts through Improved Understanding of the Causal Relationships between Protected Area Management and Local Community Welfare.	
LO3: Enhancing Impacts through Improved Understanding of the Causal Relationships between Popular Mainstreaming Approaches and Conservation Outcomes.	<ol style="list-style-type: none"> 2. Biodiversity Mainstreaming <ol style="list-style-type: none"> a) List the production sectors in which the project has contributed to the development of policies and regulations so as to include measures to conserve biodiversity. b) Define the points of entry: a) policy making and legislation; b) spatial and sector planning; c) awareness/advocacy. c) Within each entry point, what are the factors responsible for implementation success that projects have identified in their PIR. Are there conditions that lend themselves to implementation success or failure for each entry point? If so, what are they? d) Are projects able to demonstrate much more than the output of a policy change? If this is the case, is there any indication of how the lead executing agency proposes to measure biodiversity outcomes and impact post-project?

Climate Change Mitigation Targeted Learning

Learning objectives	Guiding questions
LO1: Enhance impact and results through improved understanding of market development for mitigation technologies	<ol style="list-style-type: none"> 1. What are the roles of the private sector in successful market development or transformation for mitigation technologies? 2. What are the successful business models that contribute to the continuity of market development and expansion after GEF pilots (e.g., efficient cookstoves or off-grid lighting distribution models)? 3. Which market development or transformation strategies have been effective or ineffective in addressing specific barriers and why?
LO2: Enhance socio-economic impact and results through improved understanding of synergies and/or tradeoffs of achieving multiple benefits.	<ol style="list-style-type: none"> 1. What institutional arrangements and project design factors contribute to higher socio-economic benefits along with carbon benefits (e.g., fuel savings, employment/income generation, energy access, and local pollutant reduction)? 2. How does the project promote synergies and minimize tradeoffs between energy access activities and land (forest)-based carbon benefit activities* (e.g., sustainable supply of biomass for efficient cookstoves or sustainable charcoal production projects)?
LO3: Enhance the reliability of GHG accounting through improved estimates and reporting of GHG benefits of climate change mitigation projects, including GHG emission reductions, avoided GHG emissions, and carbon stocks for forests or non-forest lands.	<ol style="list-style-type: none"> 1. What are the difficulties and challenges, if any, in using GEF GHG accounting manuals or tracking tools for estimating and reporting carbon benefits? Please offer suggestions to improve. 2. What approaches have been suggested or used in estimating carbon benefits for LULUCF projects and SFM/REDD+ projects (all SFM projects should have carbon benefits)? Please identify gaps and limitations in current approaches. 3. What conditions (e.g., monitoring efforts) have contributed to reliable estimates and reporting of carbon benefits, and what are the cost implications of creating these conditions?
* Land (forest) based carbon benefit activities include LULUCF, sustainable forest management, and REDD+ activities.	

International Waters Targeted Learning

Learning objectives	Guiding questions
LO1: To understand enhanced catalytic effects of the IW projects results on the regional cooperation and management frameworks on transboundary water systems through analyzing key activities and milestones.	<p>Question 1: Do the country level investments and the regionally agreed commitments lead to catalytic impacts, on its way to increase sustainable cooperation on transboundary water systems?</p> <ol style="list-style-type: none"> 1. What kind of catalytic impacts are taking place on the national/regional level, and how are these sustained? 2. When during the project's implementation are these different forms of catalytic impacts most likely to take place? why? 3. What kind of catalytic impacts have the highest likelihood of being sustained? why?
LO2: To identify good practices and essential activities and to understand how the IW focal area can achieve impacts regionally and on-the-ground actions through national implementation of regional cooperative frameworks.	<p>Question 2: Do the existing assessments methods and tools (e.g PIR and IW tracking tool) adequately capture the core elements in sustainable cooperation of transboundary water systems?</p> <ol style="list-style-type: none"> 1. How are catalytic impacts monitored and assessed in the PIR and IW TT? 2. How are results and information from the PIR and IW TT used by the projects and the countries? 3. Is there a need to further develop the IWLEARN knowledge sharing and management system within the IW portfolio?
LO3: To study experiences and IW knowledge products and incorporate these into IWLEARN for portfolio dissemination.	

Land Degradation Focal Area Targeted Learning

Learning objectives	Guiding questions
LO1: To develop a framework and tools for linking the measurement of agreed GEBs at project level to impacts across multiple scales	<ol style="list-style-type: none"> 1. What agreed GEBs of SLM are being measured by projects at different scales: local (site/farmscale), landscape/watershed, national, regional? 2. What tools are been used for monitoring and measurement of agreed GEBs? 3. How appropriate are the tools relative to others being developed by GEF funded projects and others? 4. How are the agreed GEBs being linked to project level impacts at the different scales?
LO2: To increase understanding of multiple benefits from sustainable land management	<ol style="list-style-type: none"> 1. What are the major tradeoffs associated with generating ecosystem services from SLM projects in different production systems? 2. How is synergy achieved in generating agreed GEBs from implementation of SLM projects at multiple scales? 3. How is the GEF catalytic effect manifested in SLM projects with respect to scaling-up and replication?

Chemicals Cluster Focal Area Targeted Learning

	Guiding questions GUIDING QUESTIONS
LO1: To understand the circumstances and situations under which co-financing can be improved and global environmental benefits be maximized	<ol style="list-style-type: none"> 1. Who are the co-financing partners and which component are they investing in? 2. What are the specific features that make a project or project activity appealing to them? 3. In cases where the PIF or prodoc has a low ratio but during implementation the ratios increased, what are the reasons for this?
LO2: To Understand how GEF projects contribute to mainstreaming sound chemicals management into national development plans, national policy and legislation/regulations and how this can be further strengthened to identify additional benefits including health impacts	<ol style="list-style-type: none"> 1. How have GEF projects assisted recipient countries in establishing/revising its national approach to SCM? 2. How has SCM been incorporated into national development plan? What are the international approaches and lessons learnt in non-GEF supported projects/programmes? 3. How have GEF projects supported the development of national policy or plan vis-a-vis mainstreaming?
LO3: To learn what technologies and practices have been introduced or transferred to countries, and to explore their effectiveness and replicability in the portfolio and post project.	<ol style="list-style-type: none"> 1. Whether BAT/BEP for release reduction of UOPs developed through GEF projects has been shared and how is it shared? 2. How is the UOPs reduction amount calculated and what are the associated cost, technology applied, effectiveness of technology, and replicability? 3. Have the outputs on alternative products, methods, and strategies for substituting DDT usage in malaria control have been shared, and how so? 4. How have disposal projects considered the overall national chemicals management framework and local level capacity in selecting the disposal technologies in any given project?
LO4: Identify effective approaches and good practices in removing barriers that prevent successful and timely implementation of projects in order to access risks in project formulation.	<ol style="list-style-type: none"> 1. What are causes of barriers affecting implementation? 2. What are the approaches utilized to remove the barriers? Are they successful?
LO5: How have projects, agencies, countries and other stakeholders incorporated other environmental and development issues into POPs/Chemicals projects.	<ol style="list-style-type: none"> 1. How to achieve synergy within the chemicals clusters, eg. POPs and ODS? 2. How climate change mitigation/ adaptation can be designed into GEF projects by tapping into the climate benefits of HCFC phaseout while designing HPMP stage 2? 3. How to build synergy strategy with NR teams such as IW on endocrine disruptor and marine debris? 4. How are GEF POPs/Chemicals projects addressing the responsibility/liability gap for chemical releases and waste handling between governments and private sector primary importers/users of chemicals?

ANNEX 4: SPECIFIC BIODIVERSITY QUESTIONS FOR THE AMR FY13

Sustainable Protected Area Systems

Protected Area Management Effectiveness

- a) Please review the METT for each PA that has been presented and list the threat's that are identified and how the reduction of these threats is being measured during project implementation.

Threat	Threat reduction indicator
E.g. Cattle grazing	Head of cattle/hectare

- b) Please indicate the kinds of biodiversity status indicators that are being tracked in the project.

Biodiversity component being monitored	BD status indicator
E.g Elephant population	Ratio of male/female in population and total numbers
E.g.Forest	Vegetative cover, extent, using MODIS

RATIONALE: Through the GEF BD FA learning missions we are discovering that the most reliable and least expensive data PA managers are collecting that also serves as a good biodiversity proxy is the measure of threat and pressure reduction, therefore, we want to assess how rigorous this is being applied in our projects. In addition, we have discovered the challenges in measuring biodiversity status during these missions, thus we want to better assess what is being monitored in our projects with the aim of identifying good practice. Results from this analysis will feed into an ongoing process of improving and refining the BD tracking tools and contribute to more realistic project logframes.

Sustainable Financing of Protected Areas and PA Systems

- a) List the financial mechanisms for protected areas which have been created or existing mechanisms strengthened in the protected area finance projects.

Financing Mechanism	Yes/No
User fees/gate fees	
PES	
Trust fund (sinking)	
Trust fund (endowment)	
Please list other	

- b) Within the context of each financial mechanism or approach to increase PA finance: i) what enabling conditions correlate most directly with successful implementation of financial mechanisms/approaches for PA systems and sub-systems; ii) what have been the shortcomings of each in terms of revenue generation.

Financing	Required Enabling	Shortcomings from Revenue Generation Standpoint
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Mechanism and/or approach to increase finance ³⁹	Conditions	
User fees/gate fees		
PES		
Trust fund (sinking)		
Trust fund (endowment)		
PA Economic valuation studies to increase Government allocation to PA management costs		
Other		

c) Identify the most successful financing mechanism and/or approach to support protected area management costs from a purely revenue generation standpoint. *Please identify an example from this year's PIR and analyze the potential for its replication within the GEF portfolio.*

d) Identify the PA financing mechanism and/or approach that you believe has the most unrealized potential and that the GEF should be supporting more extensively *citing an example from this year's PIR.*

RATIONALE: GEF support to strengthen financial sustainability is a growing portion of the GEF PA investment and this analysis will improve understanding on the mechanisms and strategies being used and the real revenue generation potential of each within the context of GEF projects and their duration. This is critical as we are seeking to reduce national-level funding gaps in protected area systems. Analysis will be used in future project design and project review by GEFSEC as well as for GEF-6 strategy development.

³⁹ A finance mechanism refers to the standard tools employed to generate revenue for protected area management that GEF has been supporting since its inception. An “approach” in the way it used here does not include one of the specific mechanisms that we normally identify with PA finance, but would include other “approaches”. For example, within our own portfolio, these “approaches” include studies (such as a valuation of the tourism value of protected areas) or business development (such as the development of a private sector business arm that would turnover profits to the protected area authority). The first approach lead to a reduction of the protected area management funding gap through increased Government budget allocation and the second through the channeling of the business profits to the PA authority. Neither would be considered a traditional “finance mechanism” as the term is currently used and the analysis must include these other options as they are where innovation is taking place. In the end, the point of this analysis is to identify what is working and why and how much revenue is actually being generated, whether it is a discrete finance mechanism or another approach.

Biodiversity Mainstreaming in Sector Policy and through Sustainable Use of Biodiversity

- a) How do BD policy mainstreaming projects measure progress towards policy mainstreaming during implementation? What indicators are being used and how are these monitored and what is reported?
- b) How do BD mainstreaming projects focused on sustainable use of biodiversity and that do not use certification as a BD proxy of biodiversity measure biodiversity status?
- c) Does the design of biodiversity mainstreaming projects reflect the determinants of success identified in the recent STAP mainstreaming workshop?

RATIONALE: GEF support to biodiversity mainstreaming through policy change and sustainable use has been a significant part of GEF investment in biodiversity mainstreaming. At the portfolio level, GEF has been measuring progress through a simple policy scorecard and through recording of hectares under some kind of certification system. The purpose of this review is to assess how the policy scorecard might be improved and refined based on project experience and whether any projects are using robust biodiversity status measures for sustainable use projects. In addition, a recent STAP workshop identified the determinants of success for biodiversity mainstreaming and this analysis will identify the consistency of the current project designs with identified good practice.

ANNEX 5: SUMMARY OF CAPACITY DEVELOPMENT PROJECTS

In GEF-4, 23 Medium-Size Projects – called CB2 projects - were approved to address national environmental capacity constraints. These projects were primarily aimed at strengthening multi-sectoral processes that promote policy harmonization, realize cost-efficiency, and enhance operational effectiveness in Convention obligations. Thus, the main focus of these CB2 projects was on developing capacities to improve environmental governance systems and on mainstreaming global environmental issues into national development agendas. They corresponded to a total of \$11 million in GEF support and \$ 12 million in co-financing. 20 of these projects have been implemented by UNDP and 3 projects by UNEP. Nearly half of all CB2 projects were approved for the ECIS region (9), with the rest distributed equally among other regions, with the exception of the Pacific region. 22 projects are already completed and 1 project should be completed in 2015 (Morocco).

During the period, UNDP submitted 9 PIRs. 2 PIRs were rated highly satisfactory vis-à-vis the Development Objectives (DO), 5 were rated satisfactory and 2 were rated marginally satisfactory. The same ratings were given for the projects Implementation Progress (IP).

Following a mandate from the GEF Council to the GEF Secretariat to report on the development of the Strategic Approach to Capacity Building⁴⁰, the GEF Secretariat recently initiated an assessment of the CB2 portfolio. The study was conducted by a Senior Consultant and its objective was to assess the extent to which the GEF portfolio of CB2 projects has catalyzed the work of the GEF to helping countries meet and sustain global environmental outcomes. Taking into account the strategic rationale of the CB2 projects, the independent study focused on the contribution of these projects towards institutionalizing targeted national capacities to meet and sustain global environmental objectives and impacts. Between June and September of 2013 a review of project documentation, an on-line survey, telephone interviews and data analysis were conducted, and the final report is now available at: <http://www.thegef.org/topics/capacity-development>

For GEF-5, the Cross-cutting Capacity Development (CCCD) strategy aims at supporting countries to strengthen their underlying capacities to meet agreed Rio Convention objectives, through creating synergies among the full set of GEF and MEA interventions, creating economies of scale to institutionalize critical individual, organizational, and systemic (i.e., policy, legislative and awareness) capacities to catalyze action to protect the global environment. To date, 36 projects have been approved under the CCCD Strategy for GEF-5 for a total of \$38 million in GEF support and \$56 million in co-financing. These 36 Mid-Sized projects are distributed amongst Africa, CIS, Latin America and Asia and one Full-Sized project for the Pacific.

Project Case Study of Capacity Development

JORDAN: Developing Policy-Relevant Capacity for Implementation of the Global Environmental Conventions in Jordan

The CB2 Project in Jordan focused on establishing and strengthening the human base for optimal management and effective implementation of Rio Conventions. This was achieved by not only supporting the three Rio Conventions' National Committees (the National Committee on Climate Change; The National Committee on Biodiversity; and The National Committee on Combating Desertification), which formed the most effective and feasible collaboration mechanisms between policy makers and research communities, and later establishing their scientific advisory arms or the “three Thematic Research Groups”, but also through taking further steps in providing systematic technical assistance to developing

⁴⁰ Council Decision GEF/C.22.8

their mandates, Rules of Procedure, work plans, and most importantly involving the national research communities in the policy making process. The Project is considered as “best practice” in terms of utilizing a nationally-mandated entity to support and justify decisions that are not always in line with prevailing political thinking. Moreover, to inform research communities about Rio topics- (as well as national policies) related national research priorities, the Project extensively analyzed provisions and obligations of Rio Convention to Jordan, and extracted potential research topic priorities (which were in turn scored by involved national policy makers to prioritize them based on a set of criteria) and provided to local environmental research institutions guidance, procedures, and tools on how to implement such research areas. This aimed at promoting and supporting developing policy-oriented research and allowing research to be aligned with national environmental policies and plans.

A virtual platform to collect, analyze and manage dissemination of Rio Conventions-related information was also designed and programmed to establish a one-stop information platform that supports the connectivity between the research and policy making. The virtual platform was designed as the core block in a proposed “blueprint” for the unprecedented Jordan Environmental Information System (JEIS), which will be built gradually to gather all similar scattered databases in one system.

ANNEX 6: ADDITIONAL DETAILS ON ASSESSMENT OF TIME TAKEN TO FIRST DISBURSEMENT BY GEF PROJECTS

1. *Definition of first disbursement:* The GEF Agencies do not share a common definition of first disbursement⁴¹ or monitor it in the same way; a reflection of differences in their internal project cycles. The Secretariat requested the Agencies' own definition for first disbursement along with the data. ADB, IFAD, IADB, UNEP report the date when financial authorizations for withdrawals are made. UNIDO and UNDP report first disbursement as dates when the financial authorization is committed or allocated. AfBD identifies it as the date when conditions for first disbursement are fulfilled and the World Bank provided the dates of project effectiveness.
2. *UNDP: Date when funds are allocated for disbursement.* After CEO endorsement, the project undergoes a final appraisal and approval by UNDP, the Implementing Partner and other stakeholders at the country level. After this appraisal, the project document is signed by UNDP and the government partners. The project document signature date is the official start of the project and project funds, including UNDP co-financing, can be disbursed. GEF project funds are disbursed after project start when the annual budget is authorized and the first authorized spending limit is allocated for disbursement. It is possible that the Executing Agency may have undertaken project activities after the official start of the project but well before the authorization of the spending limit of GEF funds.
3. *UNEP: Date when funds withdrawal is authorized.* Pursuant to UNEP signing legal agreement with the partner/Executing Agency, 1st Disbursement Date is the date fund transfer instructions are sent to the UNEP bank in New York by the Budget and Fund Management Services in UNON.
4. *UNIDO: Date when funds are reserved.* Date of first disbursement is equivalent to "the date of the first legally binding financial commitment, which UNIDO enters into under a specific project grant, via an approved reservation of funds by an authorizing officer."
5. *IFAD: Date when funds withdrawal is authorized.* The definition of the date of first disbursement is when IFAD authorizes the first withdrawal of funds from the Grant account, based on the receipt of a satisfactory Withdrawal Application from the Recipient, for onward remittance to the recipient by IFAD's Treasury. A first disbursement date would therefore be the first such authorization of disbursement for an approved GEF Grant by the Finance division of IFAD.
6. *IADB: the date in which project funds are first disbursed* by the IADB to the project's executing agency or financial administrator. Please note that there could be a several month lag between the start of project implementation (the date of signature of the contract between IDB and executing agency) and first disbursement date.
7. *FAO: Date when funds are allocated.* FAO considers as first date of disbursement the day in which project funds are transferred from the GINC account, the general income account in which GEF project resources are kept, to the individual project account. Funds have to be

⁴¹ The details of the definitions provided are available at the end of this annex.

deposited in the accounts before FAO can conclude agreements to transfer resources to executing partners.

8. *EBRD: Dates of funds disbursement*

9. *AfDB: Date when conditions for disbursement are fulfilled.* At AfDB three dates to be considered for a first disbursement to take place: (i) The date of entry into force of the "project" is the date upon which the Bank notifies to the "client" that all conditions stipulated in the signed loan/grant agreement have been fulfilled, (ii) The date of effectiveness for 1st disbursement is the date upon which the Bank notifies to the Client that all conditions for 1st disbursement are fulfilled, and (iii) The date of actual 1st disbursement is the date of the 1st disbursement and it occurs upon justified and acceptable submission to the Bank by the "client". Under this report the date presented is the second date – when conditions for disbursement are fulfilled. The date of Actual 1st Disbursement corresponds to the "Implementation date".

10. *ADB: Date when funds are disbursed.* The "date of first disbursement" for a Project Grant or Technical Assistance Project is the date of first funding disbursal after the effectiveness of the TA or grant either by ADB's direct payment to consultants, suppliers, training institutions, or designated beneficiaries directly for services rendered, goods supplied, training provided, or any eligible TA expenditures; reimbursements to recipients or advances for project facilitation. Internally, one of the key indicators that ADB uses is the "date of project effectiveness", which is essentially the start of implementation and a precursor (requirement) before any disbursements can be made. The actual date of this also will vary, depending on the complexity of any conditions and covenants set. It will also vary depending on the project type as indicated below:

- For TA's the date of effectiveness is normally the date of ADB Board/Management approval, however in some cases letters of concurrence may still be needed from the recipient countries prior to disbursements at the national level.
- For a grant, effectiveness happens after ADB Board/Management approval, and is normally considered to be the date of signing of the grant agreement between ADB and recipient. In some cases however, effectiveness conditions may be set subsequent to the signing of the agreement (e.g. the establishment of imprest accounts, completion of outstanding safeguard covenants etc), which would need to be completed before the grant is considered effective.

11. A second indicator that ADB's disbursement monitoring emphasizes is the "Disbursement Ratio" over time, which is the "actual disbursed amount" over "Total available funds for project expenses". This is monitored periodically against the projects individual disbursement plan; and slow performing projects may trigger corrective actions where needed.

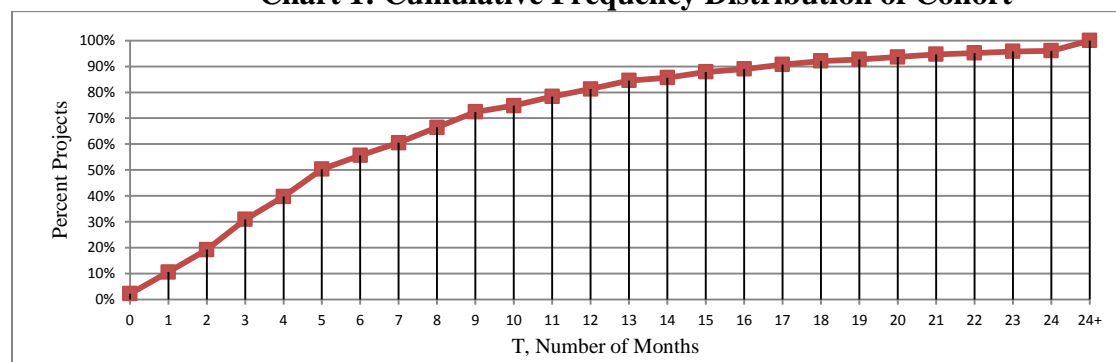
12. *World Bank: Date of Effectiveness.* The date of first disbursement for the World Bank is the date on which a project grant becomes effective. There are certain disbursement conditions stipulated in a grant agreement between the Bank and the recipient. A grant becomes effective only after those conditions are fulfilled in accordance with the terms of the grant agreement, which allows the Bank to process applications for withdrawal by Recipients. A Project becomes active after a Board approval is obtained. However, there might be a lag between the Board approval date and the date of first disbursement due to the delay from recipients in fulfillment of

effectiveness conditions, and meeting the mandatory fiduciary and legal obligations. The effective disbursement date, defined as the date from which the expenses incurred can be charged to the Trust Fund, is the same or earlier as the Grant effectiveness date.

13. *Presentation of Analysis.* With all the caveats, the cohort data has been presented as frequency distributions of numbers of project over time as well as cumulative frequency distributions of percentage of projects over time; the latter shows the cumulative Percentage of Projects that have a T at or less than X months.

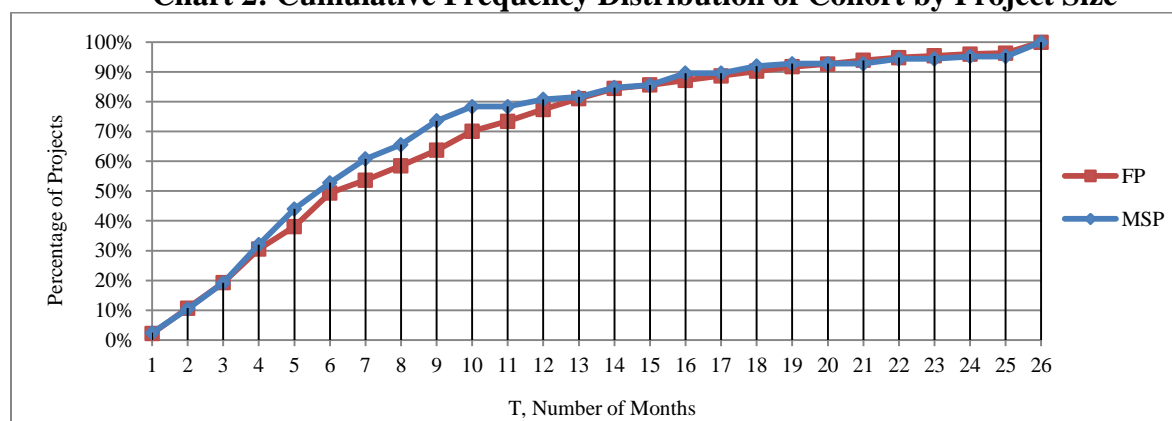
14. The results of the analysis indicate that progress has been made over time even if there may be scope for improvement in reducing the time taken after projects are approved by CEO by reducing processing time within Agencies and project entities before the project can receive funds, without reducing due diligence of fiduciary and other standards. A deeper understanding of the processes and factors behind longer intervals in first disbursement would be needed contribute to guidance and/or targeted support and capacity building. Given the data quality issues, at this time, the disaggregated analysis has been restricted to an overview of the cohorts by project size and replenishment periods.

Chart 1: Cumulative Frequency Distribution of Cohort



15. *Cohort by Size:* It is expected that MSPs will start earlier disbursement because of the likelihood of simpler processes and and implementation modalities, but the data does not show a large difference. One reason for this could be that significant contributors to the delays in MSPs were from the International Waters focal area projects and to a lesser degree from Multi-focal area and Biodiversity projects perhaps reflecting greater complexity in cooperative institutional arrangements across countries/Agencies.

Chart 2: Cumulative Frequency Distribution of Cohort by Project Size



16. **Cohort by Replenishment Phase:** The portfolio included projects from GEF3, GEF4 and partial GEF5 - the majority of projects. By 5 months, 41 % of GEF 3, 49 % of GEF4 and 91 % of GEF 5 projects made a first disbursement. The bulk of projects in this cohort were approved in GEF4 with 367 projects included in this group and there was consistent improvement in comparison to GEF3 projects. The ongoing phase, GEF 5, has fewer projects in this cohort as most approvals were in the latter half of the replenishment period.

Chart 3: Cumulative Frequency Distribution of Cohort by Replenishment Phase

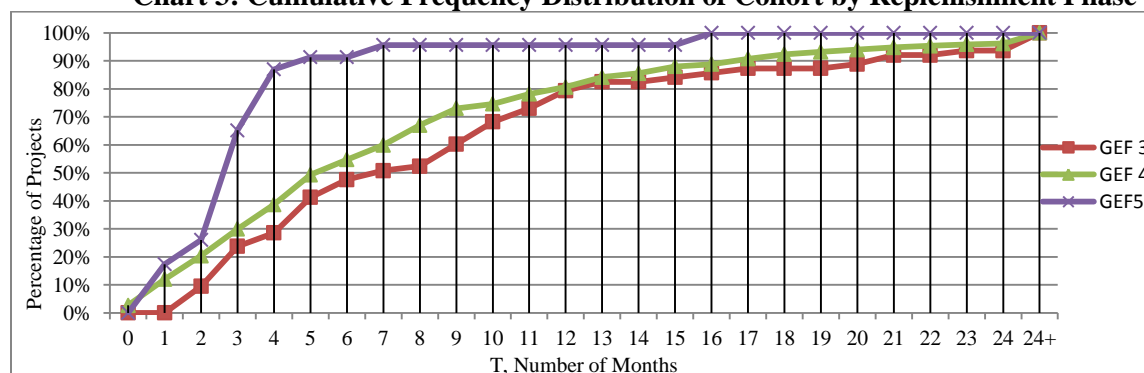


Table 1: Cohort of projects – by Agency, Replenishment Phase and Project Size

Focal Area/IA	GEF3	GEF4	GEF5	Total	FP	MSP
EBRD		6	1	7	7	
FAO	1	19		20	17	3
IADB	1	16		17	15	2
IFAD	5	15		20	16	4
UNDP	45	227	4	276	198	78
UNEP	9	42	6	57	40	17
UNIDO	2	42	12	56	35	21
Total	63	367	23	453	328	125

Table 2: Frequency Distribution of Projects over Time taken to First Disbursement

Number of Months	≤ 3	4-6	7-9	10-12	13-15	16-18	19-21	22-24	>24
Number of Projects	170	158	99	58	35	27	18	7	24

ANNEX 7: OVERDUE PROJECTS ACCORDING TO STANDARD PREPARATION TIME LIMITS

All projects listed in this Annex have passed the due date for CEO approval or endorsement and will continue to be in this list until they completed the approval or endorsement stage. The last column shows where the projects are pending and expected action can either be from the Agencies or from the GEF Secretariat.

Report as of 4/02/2014 ⁴²								Council / CEO		Overdue ⁴³ Months	Last ⁴⁴ Action
#	GEF	Trust Fund	GEF Phase	Focal Area	Country	Title	Agency	PIF Approval Date	Due Date		
<u>Full Size Projects</u>											
1	3840	LDCF	GEF - 4	CC	Yemen	Integrated Coastal Zone Management	WB	6/25/2009	4/25/2011	35	GEFSEC
2	3905	GET	GEF - 4	POPs	Egypt	Sustainable Persistent Organic Pollutants Management Project	WB	6/24/2009	4/24/2011	35	Agency
3	3982	GET	GEF - 4	POPs	Kazakhstan	Elimination of POPs Wastes	WB	3/17/2010	1/17/2012	26	GEFSEC
4	4112	GET	GEF - 4	CC	Morocco	Energy Efficiency in the Industrial Sector	AfDB	3/17/2010	1/17/2012	26	GEFSEC
5	4108	GET	GEF - 4	POPs	Lebanon	PCB Management Project	WB	6/8/2010	4/8/2012	23	GEFSEC
6	4356	GET	GEF - 5	BD	China	Securing Biodiversity Conservation and Sustainable Use in China's Dongting Lake Protected Areas	FAO	3/29/2011	9/29/2012	18	GEFSEC
7	4427	GET	GEF - 5	CC	Russian Federation	Russia Energy Efficiency Financing (REEF) Project	WB	3/29/2011	9/29/2012	18	GEFSEC
8	4508	GET	GEF - 5	POPs	Algeria	Environmentally Sound Management of POPs and Destruction of PCBs Wastes	UNIDO	11/9/2011	5/9/2013	10	GEFSEC
9	4577	GET	GEF - 5	BD	Bolivia	Conservation and Sustainable Use of Agro-biodiversity to Improve Human Nutrition in Five Macro Eco-regions	FAO	11/9/2011	5/9/2013	10	GEFSEC
10	4614	GET	GEF - 5	POPs	Vietnam	Hospital Waste Management Support Project	WB	11/9/2011	5/9/2013	10	GEFSEC
11	4616	MTF	GEF - 5	MFA	El Salvador	Climate Change Adaptation to Reduce Land Degradation in Fragile Micro-Watersheds Located in the Municipalities of Texistepeque and Candelaria de la Frontera	FAO	11/9/2011	5/9/2013	10	GEFSEC
12	4617	GET	GEF - 5	POPs	China	Municipal Solid Waste Management	WB	11/9/2011	5/9/2013	10	GEFSEC

⁴² These projects are all PIFs approved by Council / CEO but not yet CEO approved / endorsed. They continue to appear in this report as long as they have not been CEO approved / endorsed.

⁴³ According to 18/22 months (for FSP in GEF5 / GEF4 respectively) or 12 months (MSP) for preparation time.

⁴⁴ Counting from the due dates. Some of these due dates are new due dates after an extension was approved prior to the latest streamlining measure that eliminated the extension request.

#	GEF	Trust Fund	GEF Phase	Focal Area	Country	Title	Agency	Council / CEO PIF Approval Date	Due Date	Overdue Months	Last Action
13	4634	GET	GEF - 5	MFA	Ukraine	Conserving, Enhancing and Managing Carbon Stocks and Biodiversity while Promoting Sustainable Development in the Chernobyl Exclusion Zone through the Establishment of a Research and Environmental Protection Centre and Protected Area	UNEP	11/9/2011	5/9/2013	10	GEFSEC
14	4637	GET	GEF - 5	BD	Brazil	Marine and Coastal Protected Areas	WB	11/9/2011	5/9/2013	10	GEFSEC
15	4645	GET	GEF - 5	MFA	Zimbabwe	Hwange-Sanyati Biological Corridor (HSBC) Project	WB	11/9/2011	5/9/2013	10	Agency
16	4683	GET	GEF - 5	CC	Russian Federation	ARCTIC: Targeted Support for Energy Efficiency and Renewable Energy in the Russian Arctic	EBRD	11/10/2011	5/10/2013	10	GEFSEC
17	4599	LDCF	GEF - 5	CC	Sierra Leone	Building adaptive capacity to catalyze active public and private sector participation to manage the exposure and sensitivity of water supply services to climate change in Sierra Leone	UNDP	1/19/2012	7/19/2013	8	GEFSEC
18	4477	GET	GEF - 5	POPs	Pakistan	Comprehensive Reduction and Elimination of Persistent Organic Pollutants in Pakistan	UNDP	2/29/2012	8/29/2013	7	GEFSEC
19	4603	GET	GEF - 5	CC	Colombia	Low-carbon and Efficient National Freight Logistics Initiative	IADB	2/29/2012	8/29/2013	7	GEFSEC
20	4612	GET	GEF - 5	POPs	India	Development and Promotion of Non-POPs alternatives to DDT	UNIDO / UNEP	2/29/2012	8/29/2013	7	GEFSEC
21	4641	GET	GEF - 5	POPs	Cameroon	Disposal of POPs and Obsolete Pesticides and Strengthening Sound Pesticide Management	FAO	2/29/2012	8/29/2013	7	GEFSEC
22	4651	GET	GEF - 5	BD	China	A Landscape Approach to Wildlife Conservation in Northeastern China	WB	2/29/2012	8/29/2013	7	GEFSEC
23	4665	GET	GEF - 5	MFA	Russian Federation	ARCTIC: Conserving Biodiversity in the Changing Arctic	UNEP	2/29/2012	8/29/2013	7	GEFSEC
24	4738	GET	GEF - 5	POPs	Morocco	Disposal of Obsolete Pesticides including POPs and Implementation of Pesticides Management Programme	FAO	2/29/2012	8/29/2013	7	GEFSEC
25	4740	GET	GEF - 5	POPs	Regional	Disposal Of Obsolete Pesticides Including POPs And Strengthening Pesticide Management In The Permanent Interstate Committee	FAO	2/29/2012	8/29/2013	7	GEFSEC

#	GEF	Trust Fund	GEF Phase	Focal Area	Country	Title	Agency	PIF Approval Date	Due Date	Overdue Months	Last Action By
26	4756	GET	GEF - 5	POPs	Benin	Disposal of POPs and Obsolete Pesticides and Strengthening Life-cycle Management of	FAO	2/29/2012	8/29/2013	7	GEFSEC
27	4344	GET	GEF - 5	CC	Timor Leste	Promoting Sustainable Bio-energy Production from Biomass	UNDP	6/7/2012	12/7/2013	3	GEFSEC
28	4583	GET	GEF - 5	MFA	Turkey	Environmental Land Management and Rural Livelihoods	FAO	6/7/2012	12/7/2013	3	GEFSEC
29	4602	GET	GEF - 5	ODS	Azerbaijan	Initiation of the HCFCs Phase out and Promotion of HFCs-Free Energy Efficient Refrigeration and Air-Conditioning Systems	UNIDO	6/7/2012	12/7/2013	3	GEFSEC
30	4611	GET	GEF - 5	POPs	Regional	Reducing UPOPs and Mercury Releases from the Health Sector in Africa	UNDP	6/7/2012	12/7/2013	3	GEFSEC
31	4629	GET	GEF - 5	CC	Maldives	Strengthening Low-Carbon Energy Island Strategies	UNEP	6/7/2012	12/7/2013	3	Agency
32	4632	GET	GEF - 5	MFA	China	Conservation of Biodiversity and Sustainable Land Management in the Soda Saline-alkaline Wetlands Agro Pastoral Landscapes in the Western Area of the Jilin Province	FAO	6/7/2012	12/7/2013	3	GEFSEC
33	4660	GET	GEF - 5	MFA	Global	ABNJ: Sustainable Fisheries Management and Biodiversity Conservation of Deep-sea Living Marine Resources and Ecosystems in the Areas Beyond National Jurisdiction (ABNJ)	FAO / UNEP	6/7/2012	12/7/2013	3	Agency
34	4662	GET	GEF - 5	BD	China	CBPF-MSL: Piloting Provincial-level Wetland Protected Area System in Jiangxi Province	FAO	6/7/2012	12/7/2013	3	Agency
35	4668	GET	GEF - 5	POPs	Regional	Demonstration of Effectiveness of Diversified, Environmentally Sound and Sustainable Interventions, and Strengthening National Capacity for Innovative Implementation of Integrated Vector Management (IVM) for Disease Prevention and Control in the WHO AFRO Region	UNEP	6/7/2012	12/7/2013	3	GEFSEC
36	4677	GET	GEF - 5	MFA	Thailand	GMS-FBP: Strengthening Capacity and Incentives for Wildlife Conservation in the Western Forest Complex	WB	6/7/2012	12/7/2013	3	GEFSEC