



GLOBAL ENVIRONMENT FACILITY
INVESTING IN OUR PLANET

GEF/C.51/03
October 07, 2016

51th GEF Council Meeting
October 25-27, 2016
Washington, D.C.

Agenda Item 04

ANNUAL PORTFOLIO MONITORING REPORT 2016

Recommended Council Decision

The Council, having reviewed GEF/C.51/03, *Annual Portfolio Monitoring Report 2016* welcomes the overall finding that the GEF portfolio under implementation in FY16 performed satisfactorily across all focal areas. The Council also welcomes the update of the GEF Corporate Scorecard.

TABLE OF CONTENTS

Abbreviations and Acronyms	4
Executive Summary	6
Chapter 1. Fiscal Year 2016 Analysis	7
Projects and Programs Under Implementation in FY16	7
Performance Ratings in FY16.....	9
Chapter 2. Thematic Deep Dive.....	14
GEF Non-Grant Instruments (NGIs)	14
Historic Reflow Status.....	18
Lessons Learned from the Development of GEF-6 Non-Grant Instruments Pilot.....	19
Chapter 3. Results of the UNDP-implemented GEF Small Grants Programme	20
Annex I: GEF-6 Analysis	29
GEF-6 Programming.....	29
Anticipated Co-financing in GEF-6 (FY15 and FY16)	32
Gender, Civil Society, and Indigenous Peoples	34
Annex II: GEF Portfolio-Level Analysis	41
GEF Programing Snapshot	41
Cumulative GEF Project Approvals	42
Annex III. GEF Corporate Scorecard	43

LIST OF TABLES

Table 1: GEF Non-Grant Funding by GEF Phase	18
Table 2: GEF at a Glance since Inception.....	41
Table 3: GEF Cumulative Funding by Modality.....	42

LIST OF FIGURES

Figure 1: Grant Distribution of Projects by Region as of June 30, 2016	7
Figure 2: Grant Distribution of Projects by Agency as of June 30, 2016	8
Figure 3: Share of Grants across Enabling Activities by Agency	8
Figure 4: GEF Portfolio Performance Implementation Progress Ratings as of June 30, 2016.....	9
Figure 5: GEF Portfolio Performance Development Objective Ratings as of June 30, 2016	10
Figure 6: Percentage of Projects by Region Rated <i>Moderately Satisfactory</i> or above for their Implementation Progress and Development Objective Ratings as of June 30, 2016.....	11
Figure 7: Percentage of Projects by Focal Area Rated <i>Moderately Satisfactory</i> or above for their Development Objective and Implementation Progress Ratings as of June 30, 2016.....	12
Figure 8: Percentage of Projects by Agency Rated <i>Moderately Satisfactory</i> or above for their Development Objective and Implementation Progress Ratings as of June 30, 2016.....	13
Figure 9: Project and Program Approvals by Amount and Number of Projects by Fiscal Year	29
Figure 10: Share of Grants by Agency in GEF-6 (FY15 and FY16)	30
Figure 11: GEF-6 Share of Grants by Focal Area in GEF-6 (FY15 and FY16).....	31
Figure 12: Ratio of Anticipated Co-financing for Approved Projects	32
Figure 13: Ratio of Anticipated Co-financing to Total Grant by Agency in GEF-6 (FY15 and FY16)	33
Figure 14: Ratio of Anticipated Co-financing to Total Grant by Focal Area in GEF-6 (FY15 and FY16)	33
Figure 15: Role of Civil Society in GEF Projects	40
Figure 16: Cumulative Project Approvals	42

ABBREVIATIONS AND ACRONYMS

ABS	Access and Benefit Sharing
ADB	Asian Development Bank
AfDB	African Development Bank
AFR	Africa
APMR	Annual Portfolio Monitoring Report
AREF	African Renewable Energy Fund
BD	Biodiversity
BOAD	West African Development Bank
CBO	Community-Based Organization
CBD	Convention on Biological Diversity
CC	Climate Change
CCA	Climate Change Adaptation
CCM	Climate Change Mitigation
CEO	Chief Executive Officer
CI	Conservation International
Cities-IAP	Sustainable Cities Integrated Approach Pilot
CO ₂ eq	Carbon Dioxide Equivalent
Commodity-IAP	Taking Deforestation out of Commodity Supply Chains
COP	Conference of the Parties
CSO	Civil Society Organization
DBSA	Development Bank of Southern Africa
DO	Development Objectives
EA	Enabling Activity
EAP	East Asia and Pacific
EBRD	European Bank for Reconstruction and Development
ECA	Europe and Central Asia
FA	Focal Area
FAO	Food and Agriculture Organization of the United Nations
Food-IAP	Fostering Sustainability and Resilience for Food Security in Sub-Saharan Africa
FSP	Full-Sized Project
FUNBIO	Brazilian Biodiversity Fund
FY	Fiscal Year
GEBs	Global Environmental Benefits
GEF	Global Environment Facility
GEF EO	Global Environment Facility Evaluation Office
GEFID	Global Environment Facility Identification Number
GEFTF	Global Environment Facility Trust Fund
HCFC	Hydro-chlorofluorocarbon
IAP	Integrated Approaches Program

IDB	Inter-American Development Bank
IBRD	International Bank for Reconstruction and Development (World Bank)
ICT	Information and Communications Technology
IFAD	International Fund for Agricultural Development
IFC	International Finance Corporation
IP	Implementation Progress
IUCN	International Union for Conservation of Nature
IW	International Waters
LAC	Latin America and the Caribbean
LD	Land Degradation
LDCF	Least Developed Countries Fund
MEAs	Multilateral Environmental Agreements
MDB	Multilateral Development Bank
MFA	Multi-Focal Area
M&E	Monitoring and Evaluation
MNA	Middle East and North Africa
MSP	Medium-Sized Project
MTF	Multi Trust Fund
NBSAP	National Biodiversity Strategies and Action Plan
NGO	Non-governmental organization
NIP	National Implementing Partner
ODS	Ozone Depleting Substances
PV	Photovoltaic
PIF	Project Identification Form
PIR	Project Implementation Report
PMIS	Project Management Information System
POPs	Persistent Organic Pollutants
PPG	Project Preparation Grant
PPP	Public Private Partnership
RBM	Results-Based Management
SA	South Asia
SCCF	Special Climate Change Fund
SGP	Small Grants Programme
STAP	Scientific and Technical Advisory Panel
UNCCD	United Nations Convention to Combat Desertification
UNDP	United Nations Development Program
UNEP	United Nations Environment Program
UNFCCC	United Nations Framework Convention on Climate Change
UNIDO	United Nations Industrial Development Organization
WB	World Bank
WWF	World Wildlife Fund

EXECUTIVE SUMMARY

1. This Annual Portfolio Monitoring Report (APMR) covers a wide range of topics anchored on analyses of relevant datasets. **Chapter 1** mirrors what was previously called Annual Monitoring Review (AMR I) and focuses on performance of projects, while the rest of the report contains deep dives on selected thematic and cross-cutting topics. **Chapter 2** provides insights into the Non-Grant Instruments (NGIs) Pilot. **Chapter 3** provides a status update on results of the UNDP-implemented GEF Small Grants Programme (SGP).
2. The analysis of project performance contained in **Chapter 1** is based on 852 projects submitted by the Agencies, accounting for a total of USD 3,599 million (including PPGs) in GEF grants. Overall, these indicate satisfactory performance, with 89.6% of projects rated as moderately satisfactory or higher (satisfactory or highly satisfactory) for their implementation progress. Similarly, with respect to the likelihood of attaining development objectives, the GEF portfolio under implementation received a rating of moderately satisfactory or higher (satisfactory or highly satisfactory) for 91.5% of the projects.
3. **Chapter 2** examines the GEF-6 Non-Grant Instruments Pilot, where a total of eight projects have been approved through April 2016, using USD 92.2 million of allocated funds and attracting USD 1,605 million in co-financing. Design innovations are reported for the projects approved by Council. They addressed the focal areas of Climate Change Mitigation with 49% of the funding; Land Degradation with 32% of the funding; and Biodiversity with 19% of the funding.
4. **Chapter 3** synthesizes progress with the Small Grants Programme, with 525 new projects utilizing USD 17.6 million in GEF funding during FY16. Overall 3,490 SGP projects under implementation which were supervised and monitored during the reporting period totaled USD 123.9 million, with over USD 121.5 million in co-financing. During FY16, total of 1,142 projects were completed, the results of which will be presented in the detailed SGP Annual Monitoring Report for 2015-2016.
5. The APMR includes three annexes that contain detailed analyses of FY15 and FY16 (Annex I); portfolio monitoring for the GEF since inception (Annex II); and the GEF Corporate Scorecard, which is also published as a stand-alone document (**Annex III**). In **Annex I**, the GEF-6 Analysis shows that the ratio of anticipated co-financing for approved projects in GEF-6 is higher than the GEF-5 average. During the first two years of GEF-6 (FY15 and FY16), total programmed co-financing amounted to USD 13,307 million, equivalent to a ratio of anticipated co-financing to GEF grant amount of 7.5 to 1. This can be largely attributed to the high volume in the share of private co-financing for two particular projects approved in FY16. This is higher than in GEF-5, when it was 6.9 to 1 and GEF-4, when it was 5.6 to 1. The portfolio level data analysis in **Annex II** presents the portfolio overview of the GEF's cumulative project and program approvals.

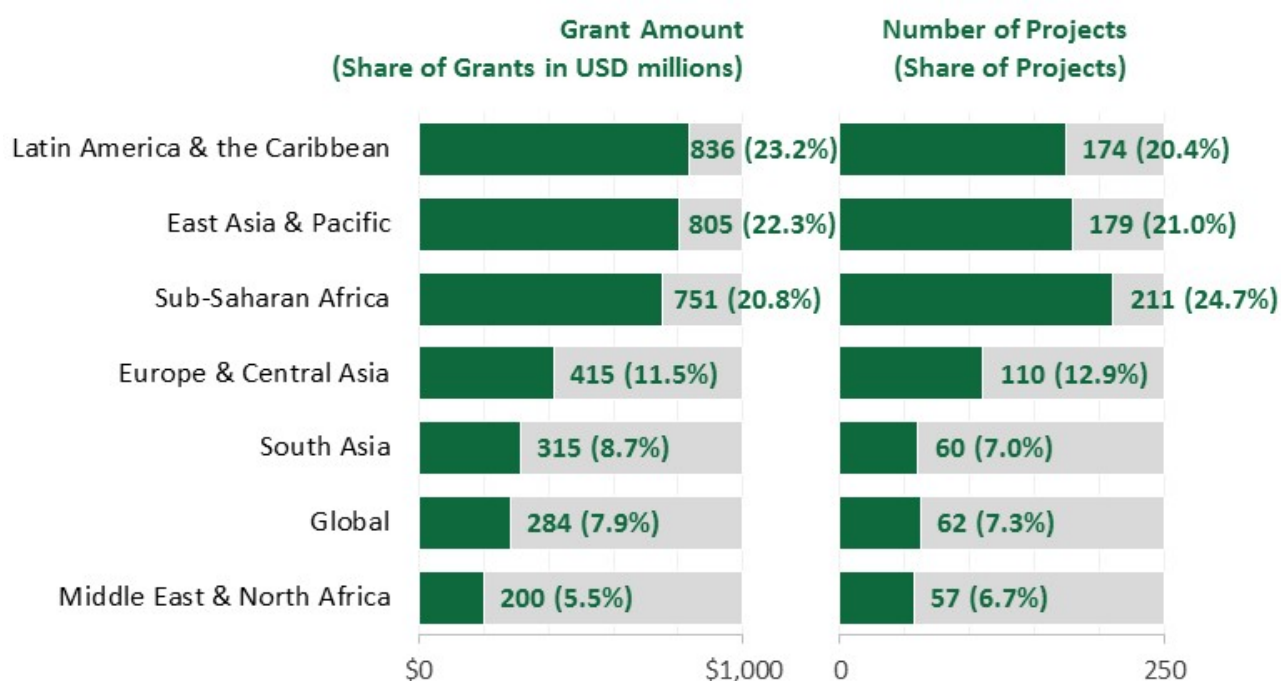
CHAPTER 1. FISCAL YEAR 2016 ANALYSIS

Projects and Programs Under Implementation in FY16

6. The following section presents data for all GEF projects and programs that have been under implementation in FY16. The GEF Agencies submitted data for 852 projects totaling USD 3,599 million (including PPGs) in GEF grants.

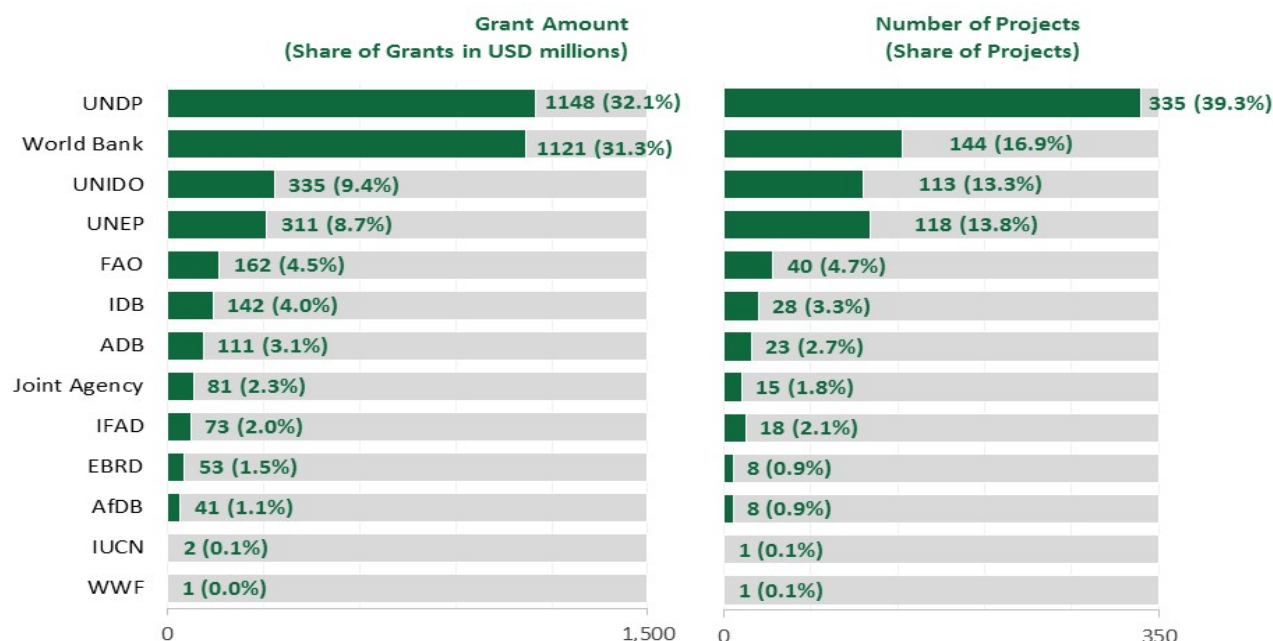
7. Latin America and the Caribbean have the largest portion of the GEF-funded projects under implementation, with USD 836 million (23.2% of the total), followed by East Asia and Pacific (22.3%) and Sub-Saharan Africa (20.8%). The Sub-Saharan Africa accounts for the highest number of projects under implementation.

Figure 1: Grant Distribution of Projects by Region as of June 30, 2016



8. In FY16, UNDP had the largest share of GEF funding under implementation, with USD 1,148 million (32.1% of the total), followed by the World Bank with USD 1,121 million (31.3%).

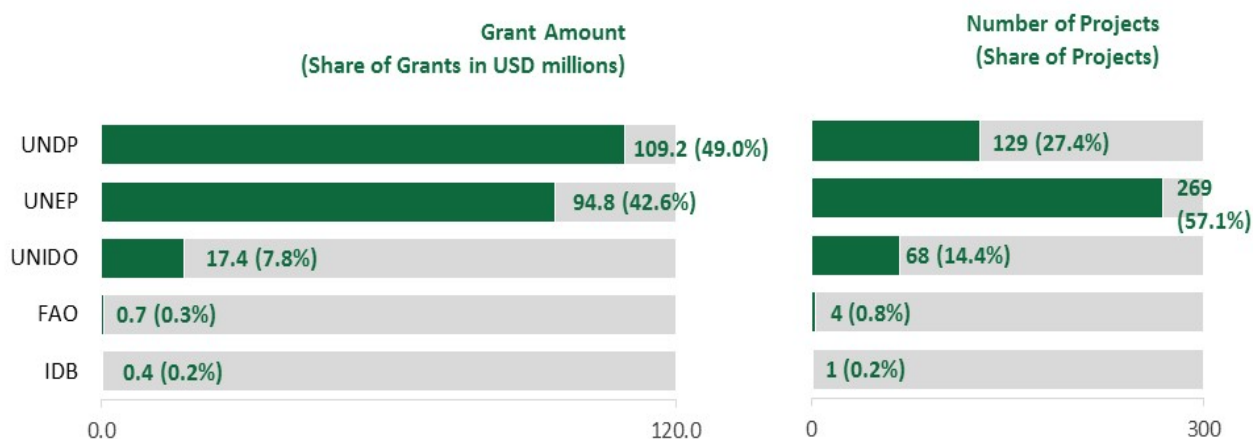
Figure 2: Grant Distribution of Projects by Agency as of June 30, 2016



9. For FY16, the GEF Agencies reported on the status of 471 Enabling Activities (EAs) projects totaling USD 223 million. This includes 69 EA projects approved during the FY16 (USD 30 million); 355 under implementation (USD 180 million); and 47 completed (USD 13 million).

10. In terms of the distribution of the 471 EAs projects by agency, UNEP's number was the highest (269 projects), followed by UNDP (129), UNIDO (68), FAO (4) and IDB (1).

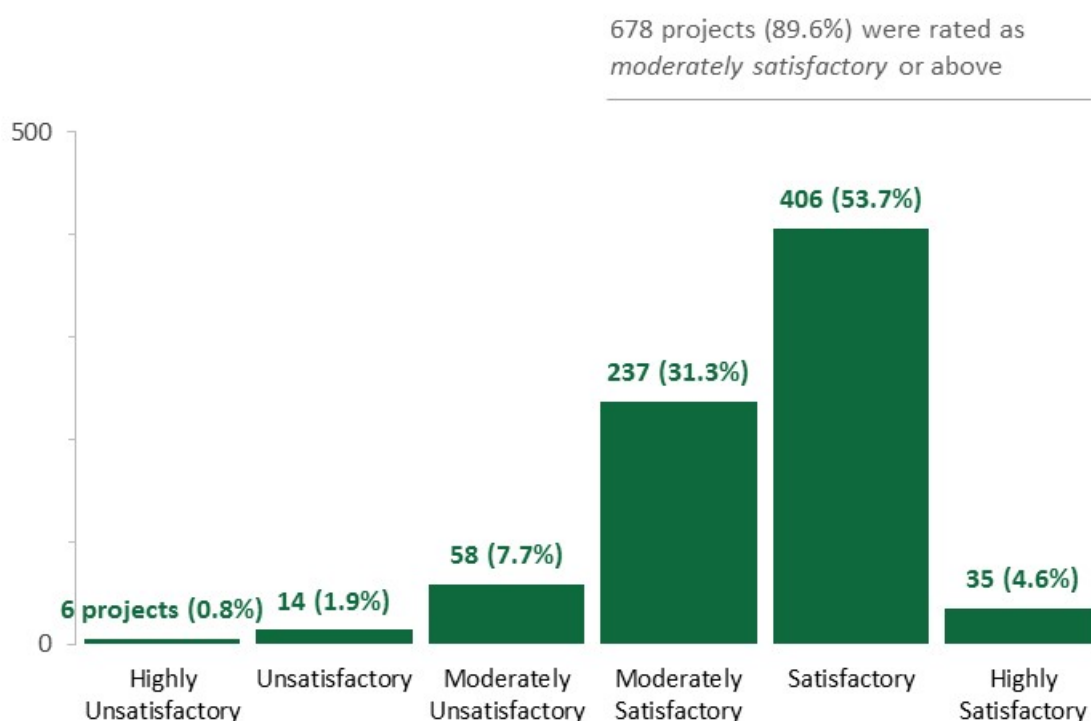
Figure 3: Share of Grants across Enabling Activities by Agency



Performance Ratings in FY16

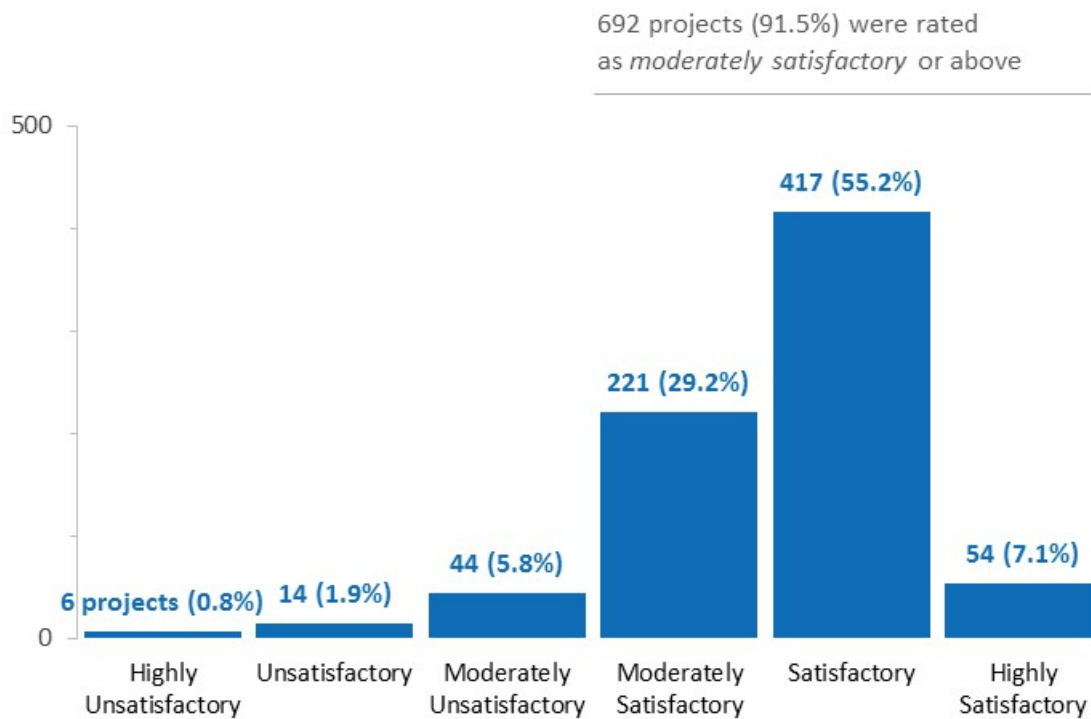
11. Projects under implementation for more than one year submit annual Project Implementation Reports (PIRs). Projects with less than one year of implementation are not required to submit PIRs. The PIRs contain agencies' Implementation Progress Ratings and Development Objective Ratings. Agencies score themselves on a six-point scale from *highly unsatisfactory* to *highly satisfactory*.
12. Of the 852 projects that completed PIRs, 756 had been under implementation for more than one year and are included in this analysis. The remaining 96 projects had not reached their final PIR preparation stage. **The cohort of 756 projects has been used in the figures in this chapter as well as in the GEF Corporate Scorecard.**
13. Implementation Progress ratings are based on progress for the given reporting period (i.e., progress during one year of implementation). Overall, these indicate satisfactory performance, with 89.6% of projects rated as *moderately satisfactory*, *satisfactory*, or *highly satisfactory*.

Figure 4: GEF Portfolio Performance Implementation Progress Ratings as of June 30, 2016



14. Development Objective ratings express the likelihood that a project will achieve its objectives by the end of project implementation. The GEF portfolio under implementation received a rating of *moderately satisfactory*, *satisfactory*, or *highly satisfactory* for 91.5% of the projects.

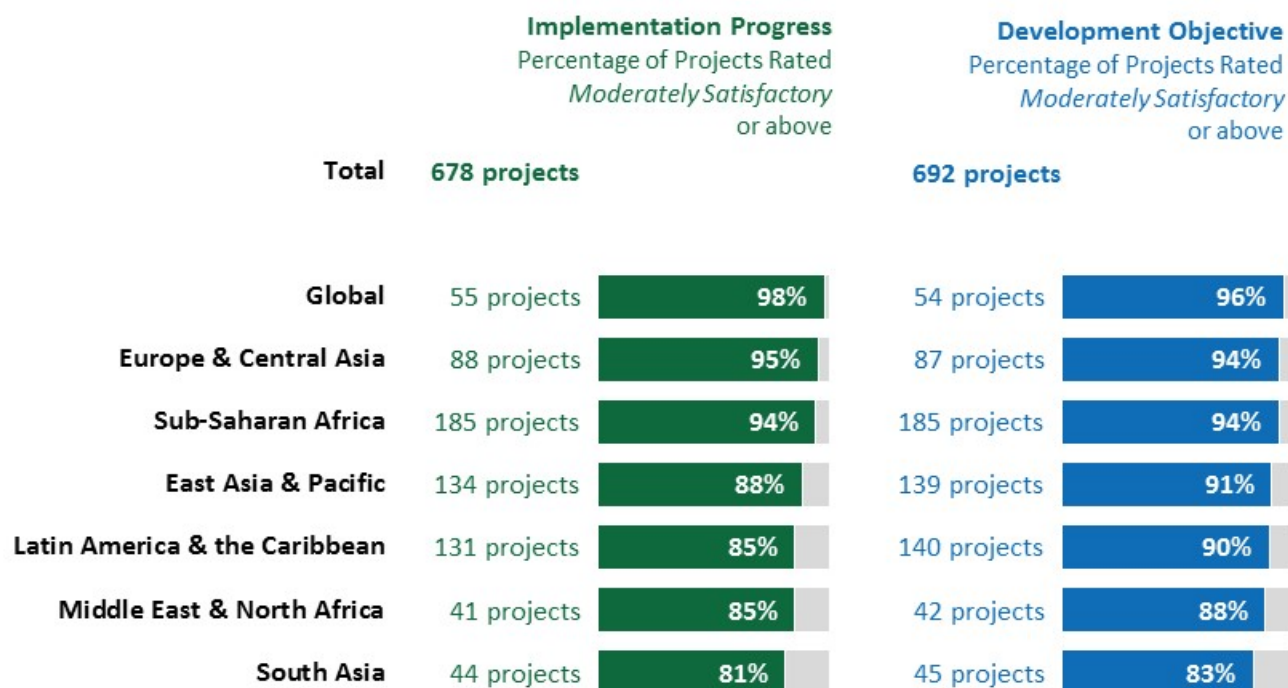
Figure 5: GEF Portfolio Performance Development Objective Ratings as of June 30, 2016



15. For the cohort of 756 projects, 692 projects rated *moderately satisfactory* or above for their development objective and 678 were rated *moderately satisfactory* or above for their implementation progress.

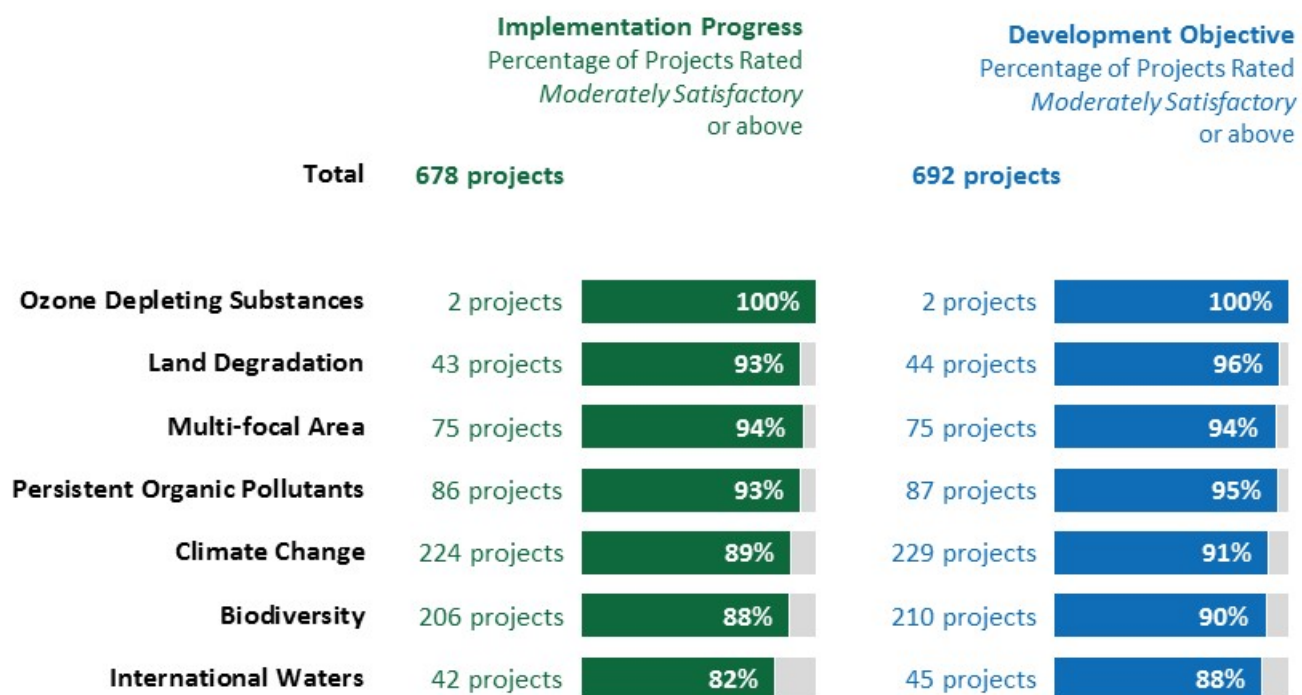
16. All regions were successful in achieving *moderately satisfactory* or above in their progress towards implementation and development objective ratings.

Figure 6: Percentage of Projects by Region Rated *Moderately Satisfactory* or above for their Implementation Progress and Development Objective Ratings as of June 30, 2016



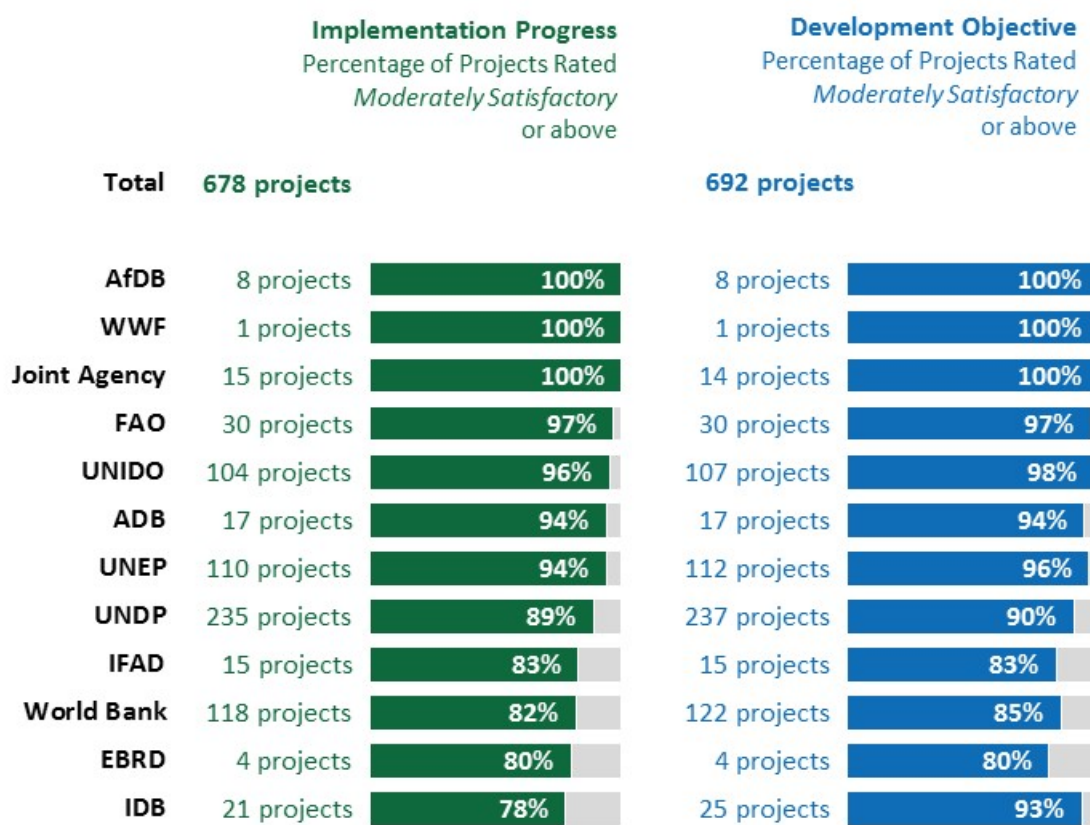
17. All focal area were successful in achieving *moderately satisfactory* or above in their progress towards implementation and development objective ratings.

Figure 7: Percentage of Projects by Focal Area Rated *Moderately Satisfactory* or above for their Development Objective and Implementation Progress Ratings as of June 30, 2016



18. All agencies were successful in achieving *moderately satisfactory* or above in their progress towards implementation and development objective ratings.

Figure 8: Percentage of Projects by Agency Rated *Moderately Satisfactory* or above for their Development Objective and Implementation Progress Ratings as of June 30, 2016



CHAPTER 2. THEMATIC DEEP DIVE

GEF Non-Grant Instruments (NGIs)

19. Blended finance that makes use of grants or the GEF NGI window aims to deploy scarce public resources in a way that incentivizes or catalyzes the redirection of financing and markets towards the promotion of sustainable development. The GEF-6 replenishment package included an innovative Non-Grant Instruments Pilot window to pursue innovative types of financing, such as debt, equity, and guarantee; catalyze private sector investment; and extend the reach of blended finance to all focal areas.

20. The GEF Secretariat has experienced strong interest from GEF Partner Agencies, GEF recipient countries, and the private sector and NGO stakeholders in the Pilot. In GEF-6 to date, the GEF Secretariat has received formal requests for more than USD 200 million from the NGI window, along with numerous informal requests that are well in excess of the resources available for the GEF-6 period.

21. Based on the diversity and high quality of the submissions, it is clear that GEF partner agencies are developing creative and innovative designs to best use NGIs Pilot funding across the full spectrum of GEF focal areas and, in several cases, deliver multiple focal-area global environmental benefits with integrated approaches that leverage the role of the private sector.

The Portfolio of Non-Grant Instruments Pilot Projects

22. The GEF has approved a total of eight (8) NGIs Pilot Projects, using USD 92.2 Million in GEF Funding and attracting USD 1,605 Million in co-financing through April 2016. This includes seven (7) full-size projects and one (1) medium-size project.

23. Project proposals addressed focal areas of Climate Change Mitigation with 49% of the funding; Land Degradation with 32% of the funding; and Biodiversity with 19% of the funding. Regional coverage is showing application of GEF NGIs Pilot projects in virtually all GEF regions. Africa has three projects and 44% of the total funding; Latin America has two projects and 30%; Eastern Europe has one project with 18%; and Asia has one project with 7% of the total funding. One global MSP has the remaining allocated funding to date. Additional proposals are under review.

24. The full-size NGI projects covered a full range of modalities, including four equity investments, one private sector loan, one risk guarantee, and one reimbursable grant. The medium-size project uses debt-aggregation. Short summaries of each GEF-6 investment are provided below.

a) Equity Investment in Biodiversity. This Impact Investment in Support of the Implementation of the Nagoya Protocol on Access and Benefit Sharing (ABS) will support efforts in Latin America and the Caribbean to develop Small and Medium Enterprises (SMEs) that are actively implementing the Nagoya Protocol. It will focus on 20 SMEs that are taking part in the

production and valorization of genetic resources by means of research and development or that are part of value chains linking users and producers of these genetic resources. The investment will facilitate improved capacities for the valorization of genetic resources or commercialization of value-added products, effectively linking users and producers of these genetic resources. The project will bring on board the experience of the Union for Ethical Biobased Trade (UEBT). Under the NGIs Pilot, the GEF will invest USD 10 million and receive an estimated risk-adjusted equity return of 13-15% along with its principal. Reflows to the GEF trust fund will be confirmed at CEO endorsement; estimated to occur after the project is completed and fully returned within ten years. The project yields estimated benefits of 100,000 ha under improved management of landscapes and seascapes; 800,000 hectares under sustainable land management; and two freshwater basins with water-food-ecosystems security and conjunctive management of surface and groundwater.

b) Junior Equity for Renewable Energy. The Equity Fund for the Small Projects Independent Power Producer Procurement Program managed by the Development Bank of South Africa (DBSA) will promote renewable energy supply in South Africa by small and independent power producers. Similar to African Renewable Energy Fund (AREF), GEF funds are invested with the expectation of below-market return. DBSA will also create a securitization platform to help resell initial investments after the projects have begun power production. These two interventions help reduce capital costs for small-scale producers and attract private sector capital. The proposed investments will result in installation of close to 100 MW of renewable energy, reducing approximately 260,000 tons of CO₂e per year, resulting in an estimated 5 million tons of CO₂e over an assumed average project lifetime of 20 years.

c) Junior Equity for Agro-Forestry. The Moringa Agro-forestry Fund for Africa, managed by the African Development Bank (AfDB), will promote sustainable land management in production landscapes in Burkina Faso, Côte d'Ivoire, Kenya, Mali, Tanzania, Zambia, and DR Congo. The Fund will invest in 5-6 scalable, replicable agroforestry projects that combine plantation forestry with agricultural elements to capture most of the value chain. The GEF has taken a junior equity position in the fund with an expected return of 6%. The GEF's position helps lower risks for private sector investors who may be reluctant to consider land management projects on purely commercial terms due to, for example, long payback periods, lack of track record and uncertainty over product prices. The project also targets 79,000 hectares to maintain significant biodiversity and associated ecosystems goods and services, and more than 200,000 hectares of production systems under sustainable land and forest management. The project is expected to yield GHG emissions benefits of 9.5 million tons of CO₂e.

d) Guarantees and Subordinated Debt for Land Restoration. The Risk Mitigation Instrument for Land Restoration project, managed by the Inter-American Development Bank (IDB) combines a

GEF investment of USD 15 million with USD 120 million in co-financing to deploy innovative risk mitigation instruments to support public and private sector investment to restore degraded lands in Latin America. The private sector is increasingly seeking investments in the restoration of degraded lands as a means of bringing low productivity land into production. Such investments, however, have longer payback periods and represent various types of high financial risk making them difficult to finance. GEF funds will be used to provide guarantees and subordinated loans, helping catalyze additional public and private sector investments by reducing perceived risk. The project will support land restoration and integrated natural resources management activities such as sustainable management for increased eco-system services; landscape regeneration; intercropping; shade-grown systems; high-value forest products; and silvo-pastoral systems yielding benefits on at least 45,000 hectares. The enhancements to carbon stock in these investments are estimated to yield emissions reductions of 4.5 million tons of CO₂e.

e) Subordinated, Concessional Debt for Energy Efficient Transport. The green logistics program managed by the European Bank for Reconstruction and Development (EBRD) will improve efficiency and productivity of freight transport in the Black Sea region by enhancing access to finance. GEF funding will be used to provide subordinated loans at a concessional rate and security for investments made by the EBRD that promote energy efficiency and lower GHG emissions in the logistics sector. The availability of junior funding from the GEF will allow the EBRD to invest its own funds in projects that otherwise would be priced excessively, thus leveraging the EBRD's capacity to deliver energy efficiency solutions in the logistics sector in the region and to help clients to introduce energy efficient practices. With the GEF funding, co-financing investments should be well over USD 155 million during the project period. Subsequent follow-on investments are expected to rise to USD 250 million after the project is completed. Estimated GHG emissions reductions are 9.1 million tons of CO₂e.

f) Reimbursable Grant for Renewable Energy. The AfDB/GEF project, investing in Renewable Energy Project Preparation under the Sustainable Energy Fund for Africa (SEFA), will support a first of its kind reimbursable grant project preparation facility for renewable energy projects in Africa. Funding provided by the project preparation facility will be reimbursed as project developers receive financing for successful projects. This allows the facility to remain sustainable over time and continue to fund additional project preparation investments. If this approach proves viable, it would lead to an expansion of bankable projects that would attract equity and debt financing, leading to faster development of low-carbon energy in Africa. Co-financing will come from the AfDB (USD 35 million), private sector project developers and debt investors in the eventual projects (USD 920 million). The project is estimated to provide reimbursable grants for at least 10 renewable energy projects, resulting in estimated emissions reductions of 3.5 million tons of CO₂e. Under the NGIs Pilot, the GEF reimbursable grant will

earn an estimated 2-5% on each project. The grants can be recycled back into the project preparation facility until the seventh year of the 10-year project. Reflows of recovered principal and interest to the GEF will commence after 7 years and will be fully returned after 12 years. Additional reflow details will be defined at the CEO endorsement stage.

g) Equity Investment in Sustainable Fisheries. The CI/GEF project, The Meloy Fund: A Fund for Sustainable Small-scale Fisheries in Southeast Asia, will improve the conservation of coral reef ecosystems by providing financial incentives to fishing communities in the Philippines and Indonesia to adopt sustainable fishing behaviors and rights-based management regimes. This project will focus on the business aspects of the industry, such as ensuring market access, improving assets/equipment as well as providing technical assistance. The Meloy Fund will be the first impact fund focused entirely on community small-scale fishers in the developing tropics and will have a long-lasting impact by financing unbanked enterprises to acquire those fixed assets that will enable financial growth, job creation and resilience to economic shocks. Estimated global environmental benefits are improved management of 1.2 million hectares of seascapes. Co-financing of USD 35 million comes from the technical assistance provided by executing partners; foundations; investment and impact funds; and other private sector investors. Under the Non-Grant Instruments Pilot, investments will be targeted to SMEs with expected tenors of 5-7 years and will be expected to earn between 10-15% returns, yielding an estimated gross internal rate of return of approximately 10.5% over the 10-year life of the fund. Additional reflow details will be defined at the CEO endorsement stage.

h) Debt Aggregation for Energy Efficient City Lighting. The International Energy Efficiency Facility (IEEF), managed by the World Bank, is an example of a targeted intervention aimed at bridging the gap between institutional investors seeking exposure to real asset classes and the idiosyncratic investment needs related to increasing efficiency and bringing down carbon emissions in cities around the world. The IEEF will help aggregate energy efficient investment projects in cities around the globe, focusing first on conversion of traditional urban street lighting technologies to more efficient lighting emitting diodes (LEDs). Without aggregation, many projects would be too small for consideration by investors. Aggregation also helps cities with lower credit ratings to participate in a package that spreads the risk. Cities stand to not only achieve greenhouse gas emission reduction benefits, but also to realize budgetary savings. Once up and running, this facility could expand aggregation approaches to broader types of efficiency investments, such as building retrofits. Estimated emissions reductions are 1 million tons of CO₂e.

Historic Reflow Status

25. Based on a data collection exercise conducted with GEF Agencies since GEF-3, the GEF has provided non-grant funding with an expectation of reflows totaling USD 215.7 million. This includes the Photovoltaic Market Transformation Initiative (PVMTI) and the Environmental Business Finance Program (EBFP) with IFC in GEF-3; the “Earth Fund” with IFC in GEF-4; the Public Private Partnership (PPP) Set-Aside in GEF-5; and the NGIs Pilot in GEF-6. Of the invested amount, there is an expectation of reflows of the full principal plus returns. However, most all investments have significant associated risks, and it is thus conceivable that the potential the returns will eventually prove to be negative. The number of projects, investment amounts, and expected reflows are summarized in the following table.

Table 1: GEF Non-Grant Funding by GEF Phase

GEF Phase	Full-size Projects with Expected Reflows	GEF Amount (Million USD)	Co-financing Amount (Million USD)	Expected Reflows (Million USD)	Reflows received to-date (Million USD)
GEF-3	2	39.0	146.0	26.1	7.8
GEF-4	1	22.5	1,000.0	22.5	0.4
GEF-5	5	70.0	907.1	90.8	0.0
GEF-6	8	84.2	1,313.9	100.9	0.0
Total	16	215.7	3,367.0	240.3	8.2

26. The GEF-3 projects with IFC were among the first attempts to use GEF concessional finance with an expectation of reflows. The PVMTI project was initially successful, but market conditions led to cancellation and losses in several projects. The EBFP project was very successful and reflows are still being generated. The GEF-4 “Earth Fund” project is now fully invested, with reflows just beginning. The GEF-5 and GEF-6 investments are expected to generate reflows for the GEF in the next 10-20 years. Estimates of future reflows are based on the investment strategies and criteria established in the project documents. However, all investments are subject to risks and therefore the future reflows are not guaranteed.

Lessons Learned from the Development of GEF-6 Non-Grant Instruments Pilot

27. The GEF-6 Non-Grant Instruments Pilot was successful in demonstrating innovative approaches; diversity of focal areas; and interest from many countries and agencies. Lessons learned include:

- The MDBs continue to demonstrate more experience in presenting proposals with strong financial rationale and business models.
- Climate change mitigation projects, especially clean energy projects, are most common, but significant innovation on land, forestry, and biodiversity is evident.
- GEF investments in equity, guarantees, and debt instruments have been effective in catalyzing private sector investment.
- A cap of USD 15 million means that some highly catalytic projects are not available to the GEF Agencies.
- New GEF Agencies are more ambitious to explore natural resource focal areas than other focal areas.
- Blending grant and Non-Grant Instruments Pilot resources in single projects is difficult.
- Agencies are still developing and improving techniques for monitoring and reporting reflows.

CHAPTER 3. RESULTS OF THE UNDP-IMPLEMENTED GEF SMALL GRANTS PROGRAMME

28. The Small Grants Programme (SGP) is a corporate program of the GEF, implemented by the United Nations Development Program (UNDP) since 1992. SGP grant making in 125 countries enables communities and CSOs to take action to address global environment and sustainable development challenges. The program also supports capacity development and community empowerment, and promotes social inclusion through involvement of indigenous peoples, women, and youth. SGP projects support biodiversity conservation, climate change mitigation and adaptation, prevention of land degradation, protection of international waters, and reduction of the impact of chemicals, while generating sustainable livelihoods.

29. During the reporting year from 1 July 2015 - 30 June 2016 (FY16), the SGP provided small grant funding to 525 new projects, committing a total amount of USD 17.6 million in GEF funding. This level is lower than in previous years as the reporting period coincides with the end of the SGP's 5th Operational Phase and inception period of its 6th Operational Phase. This year a significant effort has been placed on undertaking extensive stakeholder consultation processes and implementing capacity development projects required in countries to lay the foundation for the new grantmaking phase. Country Program Strategies were elaborated, or are in the process of being elaborated, in all SGP country programs to establish priorities and criteria for grantmaking in the new phase.

30. The total number of grant projects under implementation which were supervised and monitored during FY16 by the SGP amounted to 3,490 projects for a total grant value of over USD 123.9 million and total co-financing value of over USD 121.5 million.¹ During the reporting year, 1,142 projects were completed, the results of which will be presented in the detailed SGP Annual Monitoring Report for 2015-2016.

31. In terms of country coverage, SGP was active in 125 countries during this year, with 110 countries being supported by the SGP Global Program, and 15 SGP upgraded country programs funded through Full-Size Projects (FSPs) in GEF-6. Least developed countries (LDCs) and Small Island Developing States (SIDS) currently account for 59% of all SGP country programs, with support provided to CSOs in 40 LDCs and 37 SIDS. During the last year, the SGP started up a new country program in the Republic of Congo, which is expected to become fully operational in the coming year.

32. The focal area distribution of SGP grant projects under implementation continued to remain strongly focused on Biodiversity, which accounted for the largest share of the portfolio (38%), followed by Climate Change Mitigation (24%) and Land Degradation (21%). International Waters and Chemicals and Wastes each accounted for 3%, while Capacity Development

¹ The active portfolio of grant projects funded from GEF funds only amounts to 3,142 projects for a value of USD 111 million with co-financing leveraged of USD 112.5 million, while additional projects are funded from other co-financing channeled through the SGP.

accounted for 5% and Multifocal Area projects accounted for 2%. Climate Change Adaptation, which is co-funded from non-GEF sources, accounted for 4% of all ongoing projects.

33. In terms of the regional distribution of the SGP's portfolio of active projects, Africa, and Latin America and the Caribbean, have the largest share of grant funds with 32% each, followed by Asia and the Pacific (27%). Two smaller regions, Europe and the CIS and the Arab States, accounted for 6% and 3% respectively of grant funding within the portfolio of active projects.

Progress towards Focal Area Objectives

34. The SGP's biodiversity portfolio continued to support the sustainable use of biodiversity in production landscapes and seascapes, in and around Protected Areas (PAs) and Indigenous and Community Conserved Areas and Territories (ICCAs), as well as through appropriate protection and transmission of traditional knowledge and genetic resources by culturally appropriate means.

35. As a result of 433 biodiversity projects completed this year, the SGP has helped to conserve 1,803 significant species, and positively influenced 645 PAs and ICCAs, covering 8.41 million hectares of PAs, and 1.84 million hectares of ICCAs. With regards to the sustainable use of biodiversity, a total of 653 biodiversity-based products have been supported by SGP projects during the reporting period.

In **China**, an SGP-supported a project completed in the last year was on the "Sustainable development of ICCAs" in two typical ecological systems. This project resulted in improved conservation management of 22,000 hectares of grassland in Cuochi (located in the region of Sanjiangyuan); and 400 hectares of forest in Laozhai (located in Southern Guizhou karst area). Both of these areas were identified as national priorities for biodiversity conservation under the National Biodiversity Strategies and Action Plan (NBSAP).

In the village of Cuochi located in the hinterland of Qinghai-Tibetan Plateau, which is the source of the Yangtze, Yellow and Lancang rivers, widely known as "the water tower of Asia", the SGP project enabled the local community of 850 people to demarcate their sacred mountains and lakes as ICCAs, conduct biodiversity baseline surveys; and develop sustainable management plans for the ICCAs.

In the village of Laozhai, with support from the SGP, the local community revived customary laws on conservation. They planted 2,000 seedlings of Chinese yew (*Taxus chinensis*); and mobilized the local government to provide 80 induction cookers to all households in order to reduce demand for firewood. The project also delivered trainings on sustainable resource management and tree planting to 100 people (38 female and 62 male). As a result of the project, the Laozhai community registered their ICCA with the Global ICCA Registry hosted by UNEP World Conservation Monitoring Centre. In recognition of their conservation efforts, the Laozhai community was awarded the SEE Ecology Award by the Society, Entrepreneurs and Ecology Foundation in June 2015.

36. In the Climate Change focal area, the SGP completed 323 projects with the portfolio distribution remaining consistent with historical trends. Low carbon technology and renewable energy projects comprised 46% of completed projects, while projects focusing on energy efficiency solutions made up 26% and projects on the conservation and enhancement of carbon stocks accounted for 25%.

In **Armenia**, the SGP supported the Stepanavan community to pilot a number of energy technologies including solar thermal systems and energy efficiency measures in buildings in three community kindergartens and a sports school, benefitting around 400 children.

As a result, the community was able to save up to USD 5,500 annually by reducing its daily consumption of natural gas by at least 30 cubic meters, resulting in reduction of at least 25 tons of CO₂ emissions annually. Improvements in children's comfort and sanitary conditions of the facilities was an added benefit.

Furthermore, due to the improvement of efficiency of the gas heating water boiler system, the old gas heaters, which posed a potential risk for children's health through carbon monoxide poisoning, were phased out. The project also conducted trainings for the staff of the kindergartens and the municipality. The measures implemented with SGP support also became part of the efforts of Stepanavan community to incorporate disaster risk reduction and climate change issues into development programs within the global campaign "Making Cities Resilient: My City is Getting Ready".

37. Under the Land Degradation focal area, through projects completed in the past year, it is reported that over 900,000 hectares of land have been brought under improved management practices including forest, agricultural lands and water courses, while over 550,000 community members are demonstrating sustainable land and forest management practices.²

In **South Africa**, the SGP supported a project to develop the capacities of small-scale farmers to address land degradation and conserve biodiversity in the Bokkeveld area in Northern Cape region. As a result, three demonstration contour banks covering 1,500 m were constructed in the Dobbelaarskop farm, which was extensively eroded. Soil and water conservation demonstration activities and erosion control were undertaken on the Avontuur farm. This included the construction of check dams and micro-catchments and surface remediation by means of geotextile and spreading of seeds and breakers on crusted soil. The activities also included construction of 260 check dams, 6 gabions and 110 micro-catchments to control erosion. The control measures have resulted in plant re-growth and reduced soil and water runoff. Training workshops were held with farmers including production of a video. As a result of the project capacities of over 90 farmers were developed who are now practicing sustainable land management on their farms. The results of the project were published in a poster at the World Overview of Conservation Approaches and Technologies global meeting in Pretoria in 2014 and at the UNCCD COP11, and included in the book "Living Land" published by the UNCCD.

² This total includes global and upgraded for the 2015-2016 reporting year.

38. In the cross-cutting area of sustainable forest management (SFM), 28 projects were completed in the reporting year as a result of which more than 100,000 hectares have been restored through improved forest management practices. The International Waters portfolio of the SGP continued to support the implementation of Strategic Action Programs (SAPs) in alignment with regional priorities identified in 15 international water bodies. As a result of the 23 projects completed in the last year, 40 tons of land-based pollution has been reduced, and 32,000 hectares of marine and coastal areas or fishing grounds, as well as 2,696 hectares of river and basins, have been brought under sustainable management.

In **Zimbabwe**, BIOHUB Trust project is implementing a pilot project on promoting bamboo as an alternative energy source for household use and tobacco curing, while at the same time promoting sound forest management in Hurungwe District. BIOHUB is protecting five species that are under severe threat (*Colophospermum mopane*, *Julbernardia globiflora*, *Acacia nilotica*, *Brachystegia spiciformis* and *Brachystegia boehmii*). The project supported the establishment of five assisted natural regeneration (ANR) sites covering 1,907 hectares from which carbon credits trading will be initiated. This will provide additional income to the selected villages that have set aside some of their forests for this initiative. The organization is also working on a UN-REDD project to build synergies. With the aim to promote giant bamboo timber, which is a good carbon sink, 3,750 bamboo plants were distributed and planted in an area covering 12.3 hectares, benefitting 250 people. To reduce pressures on the forests, the project disseminated 63 fuel saving stoves benefitting 48 females and 15 males, while 245 members benefited from direct stove building training workshops. In terms of livelihood improvement, the project also established fruit trees in six locations in the area with about 4,500 seedlings raised in the nurseries. The fruit trees are benefiting 225 beneficiaries each one of whom will receive 20 saplings to plant at household level to improve livelihoods.

In **Egypt**, the SGP supported a project to improve water use efficiency of irrigation in the Naqada Village in Qena Governorate, which is located in Upper Egypt. The area suffers from water scarcity and land degradation due to unsustainable water-use practices by farmers. The project has succeeded in developing 17 irrigation canals with a total length of 4,675 meters, benefiting the livelihoods of 399 farmers. Lining the irrigation canals has conserved 8,000 square meters of degraded agricultural land, which has been re-cultivated. To support local capacity development, five trainings were organized with the participation of farmers, local leaders and executives in Qena in the areas of follow-up and reporting, understanding of environmental issues and the role of civil society, community participation, tools and methods, and the challenges in the Nile River basin. The project further conducted 20 awareness-raising seminars in villages in Qena on the direct benefits of lining irrigation canals, focusing on the conservation of irrigation water, energy and the agricultural land that could be re-cultivated. Printed materials were designed and produced to support the awareness-raising activities. The grantee partner has succeeded to partner with the Irrigation Department in Naqada, the local government units in charge of irrigation water, water users associations, farmers, and other NGOs. This has facilitated implementation of the project and provided the technical follow-up needed. This project now provides a demonstration site to show improved water-use efficiency in irrigation agriculture, which is a key regional environmental priority in Nile River basin.

39. In the Chemicals and Waste focal area, the SGP completed 33 projects which to date have helped to avoid 3,458 tons of solid waste from open burning and contributed to the proper disposal of 37 tons of pesticides. Fifteen SGP country programs have contributed to the implementation of national plans and policies on chemicals and waste in the reporting year.

In *Sri Lanka*, an SGP project supported the establishment of an e-waste collection network within the Colombo South municipality area. The network consists of 162 small shops and 43 private companies and 1 NGO. An e-waste collection and processing center was established and a license was obtained from government to collect and processes e-waste. Doorstep e-waste collection was also carried out. To date, 4,000 kg of e-waste were collected and it is estimated that the collected e-waste contained approximately 46.65 kg of heavy metals and hazardous chemicals. Many workshops and training programs were conducted for school children, private sector companies, and government officials. The project collaborated with the National Institute of Education to include E-waste management lessons in the school syllabus. Art, poster and video competitions were held to promote the e-waste management concept among school children and the general public. Moreover, mass media and social media campaigns were used to promote e-waste management.

40. The SGP continued to build the capacities of CSOs and CBOs in environmental management across all GEF focal areas using specific capacity development grants for stakeholder workshops, knowledge fairs, knowledge management, and improvement of M&E, among other key areas. During this reporting year, the SGP completed 51 dedicated capacity development projects to strengthen the capacities of 1,153 CSOs and 726 CBOs, comprising 9,507 people, to address global environmental issues at the community level.

41. The SGP continued to work as a grant-maker to facilitate networking and capacity development of CSOs and communities. Key activities undertaken by SGP country programs included strengthening of grantee networks (78%), connecting grantees with capacitated NGOs (78%), promotion of peer to peer exchanges (73%), organized training on different subjects (73%), and connecting grantees with government extension services (65%), among others. SGP projects also contributed to the objective of several of the Sustainable Development Goals. Projects completed during this year benefited the goal of life on land (SDG 15), climate action (SDG 13), ending poverty (SDG 1), gender equality (SDG 5) and reduced inequalities (SDG 10) using integrated approaches.

42. In addition, with regards to livelihoods improved as a result of SGP-completed projects, 61% of SGP country programs increased access to food security and nutritional value and provided appropriate technologies for the communities they work with. Forty percent of SGP countries reported they increased access to education, 38% increased access to improved health and 37% increased access to infrastructure among their beneficiaries.

43. Approximately a third of SGP country programs engaged in South-South exchanges, increasing the capacity and technical knowledge of SGP grantees, improving results in existing projects, up-scaling projects, and leading to the development of new projects. Almost half of the SGP country programs conducted CSO-Government Dialogues, with 20 of these dialogues

focused on discussing the impact of climate change on indigenous communities and how best to promote the meaningful participation of indigenous peoples in climate action that could be made part of positions of country delegations in the UNFCCC COP21 negotiations in Paris.

Using a capacity development grant, SGP Bolivia produced a report about property rights in the buffer zones of the Kaa Iya natural park and protected area and disseminated it among the Isoceño Indigenous People in Guaraní, Ayoreo, and Chiquitano. The project trained 40 indigenous leaders in land management, natural resource management, and conflict resolution, and developed a proposal for a training program for indigenous leaders. Relationships between the local community and staff from the Instituto Nacional de Reforma Agraria, Assembly members of the Indigenous Self-Government Department of Santa Cruz, and counsellors of the municipalities of Charagua and San Jose de Chiquitos were established to improve information flow regarding ownership of land and ways to address conflict resolution.

Social Inclusion

44. Global and country-level strategies to promote gender equality and women's empowerment continued to show promising results. Approximately 81% of 1,142 SGP projects completed during the reporting period were reported to be gender responsive and carried out a gender analysis prior to project implementation, while 29% of completed projects were led by women. Some of the strategies used by SGP countries to promote gender equality and women's empowerment included the promotion of women's participation throughout the project cycle, the use of a gender check list for the approval of projects, partnerships with gender organizations and networks in the country, specific gender targets, and creation of women's organizations.

45. With regards to youth engagement, two-thirds of SGP country programs reported at least one project involving youth leadership or participation, amounting to over 32% of all completed projects. Similarly, at least 140 SGP projects were completed with indigenous peoples' organizations, comprising over 12% of all completed projects in this reporting period. In particular, 10 countries reported accepting proposals in local and indigenous languages, as well as the use of participatory video and/or alternative proposal formats to facilitate access to funding by indigenous peoples.

Scaling up and Policy influence

46. SGP country programs reported that 146 completed projects during the reporting year were already replicated or had been scaled up. In terms of policy influence, 80 projects completed during the reporting period reported influencing policy through project activities and by liaising with local authorities and other government institutions. Below are some examples of scaling up or policy influence achieved by SGP projects completed in the past year.

In **Georgia**, the Zugdidi Botanical Garden rehabilitation project was scaled up with the Government of Georgia investing 3 million GEL for further infrastructure rehabilitation. The use of biodiversity monitoring drones initially in Borjomi Kharagauli National Park has been successfully replicated in the Lagodekhi Protected Area, where park administrators are now using these drones to search for fires and monitor for other natural disasters. Further testing of the drones in pasture monitoring is also anticipated.

In **Zimbabwe**, Practical Action launched a project with SGP support to promote climate-smart technology, while fostering local entrepreneurship and development. By establishing an off-grid renewable energy model, inefficient diesel engines were made obsolete and stable access to energy was secured for the community. The project scheme helped offset 160 Mt of carbon emission equivalents per year, and has an estimated life span of 25-30 years. By providing reliable energy, the community has better access to health care due to improved light conditions at night, as well as better access to reliable irrigation. This project has been scaled up with a USD 1,245,161 grant from the European Union. With these funds, the previous 4.2 Kw solar power station has been upgraded to a 99 Kw power station, leading to expansion of operations with four irrigation pumps, electrification of Mashaba Primary School, energy for Mashaba health clinic, and establishment of five small entrepreneur-managed energy kiosks, benefiting a total of 5,399 people.

In **Lesotho**, to address land degradation in Setleketseng, a project was launched to improve land resource management practices and foster sustainable livelihoods for 209 households. The project successfully demonstrated wetland restoration through rehabilitation of two wetlands covering an area of 3.5 hectares. This project has been replicated and scaled up by the Ministry of Forestry and Land Reclamation with the rehabilitation and sustainable management of an additional eight wetlands.

In **Nepal**, the project “Enhancement of Climate Resilience Community by Reducing Land Degradation for Sustainable Livelihoods” focused on organic farming intended to limit land degradation and reduce vulnerability to flooding. This project has been replicated by eight more village development committees with support from the OPEC Fund for International Development (OFID). As a result, more farms were brought under organic farming and ecological agriculture management benefiting 599 farmers. The District Development Committee, Sindhuli further contributed USD 30,000 to secure banks of the Kamala River, employing both bamboo baskets and gabion wire boxes to construct a long embankment that saved more than 2,000 ha of land from erosion.

In **Mauritius**, following successful implementation of the SGP project “Alternative Livelihoods and Support for Sustainable Marine Resource Management in Rodrigues”, Rodrigues Island closed all octopus fisheries. Currently, the Ministry of Fisheries in collaboration with the Mauritius Marine Conservation Society, with funding and technical support from FAO Smartfish, and the Indian Ocean Commission, has replicated the experience from Rodrigues Island to mainland Mauritius. As a result of the knowledge and lessons gathered, seven villages in the south eastern region of Mauritius have committed on a voluntary basis to implement closure of the octopus fisheries over an area of 2,600 hectares for two months each year. As a result of the closures, octopus catch size has increased from 75 g to 1.4 kg in recent years. Further, the success of the project has led to a policy decision from the Government of Mauritius to carry out the seasonal closure of the octopus fisheries across the entire Republic of Mauritius as from August 2016 for two months each year.

In **Suriname**, a grant to the “No Kwik” Movement was instrumental in providing the Government of Suriname an extra incentive in deciding to sign and ratify the Minamata Convention, a major milestone in Suriname’s legislative stance on mercury.

In **Benin**, with the support of SGP, Synergie Paysanne and the Pro-Environment Platform were instrumental in strengthening the environmental protection aspects of Law No. 2013-01. The law ensures better regulation of access to land by citizens, prior confirmation of land rights before any transaction, and limits placed on the acquisition of vast fields of unexploited land by affluent people.

In **Seychelles**, the results of a shark education project has influenced the revision and renewal of the National Plan of Action for shark conservation for the next four years.

Knowledge and Communications

47. The SGP has supported broader adoption of its supported practices through knowledge management work at national and global levels. At the country level, to promote technology transfer and learning between communities and CSOs, SGP country programs carried out 273 peer-to-peer exchanges and 677 training sessions during the reporting year. A key part of this effort is the documentation and dissemination of the practices and lessons learned emerging from the implementation of sustainable development projects, at the local and national level. In the last year, country programs produced over 1,200 project fact sheets, case studies, publications, and videos, as well as over 60 how-to toolkits about innovative technologies. In addition, several global initiatives were also undertaken by the SGP team to document, codify, and exchange lessons.

48. The results of GEF support to poor and vulnerable communities and local CSOs through the SGP were mentioned in the local media (TV, radio, print, digital, and social media) over 1,300 times in the reporting period. Furthermore, SGP community-driven projects were recognized nationally and internationally, winning 55 national and international awards in the last year. During this period, the SGP also shared its knowledge at various international forums

including the UNFCCC COP21, CBA10, East Asian Seas Congress, and the eighth GEF International Waters Conference in Sri Lanka in May 2016.

Monitoring and Evaluation

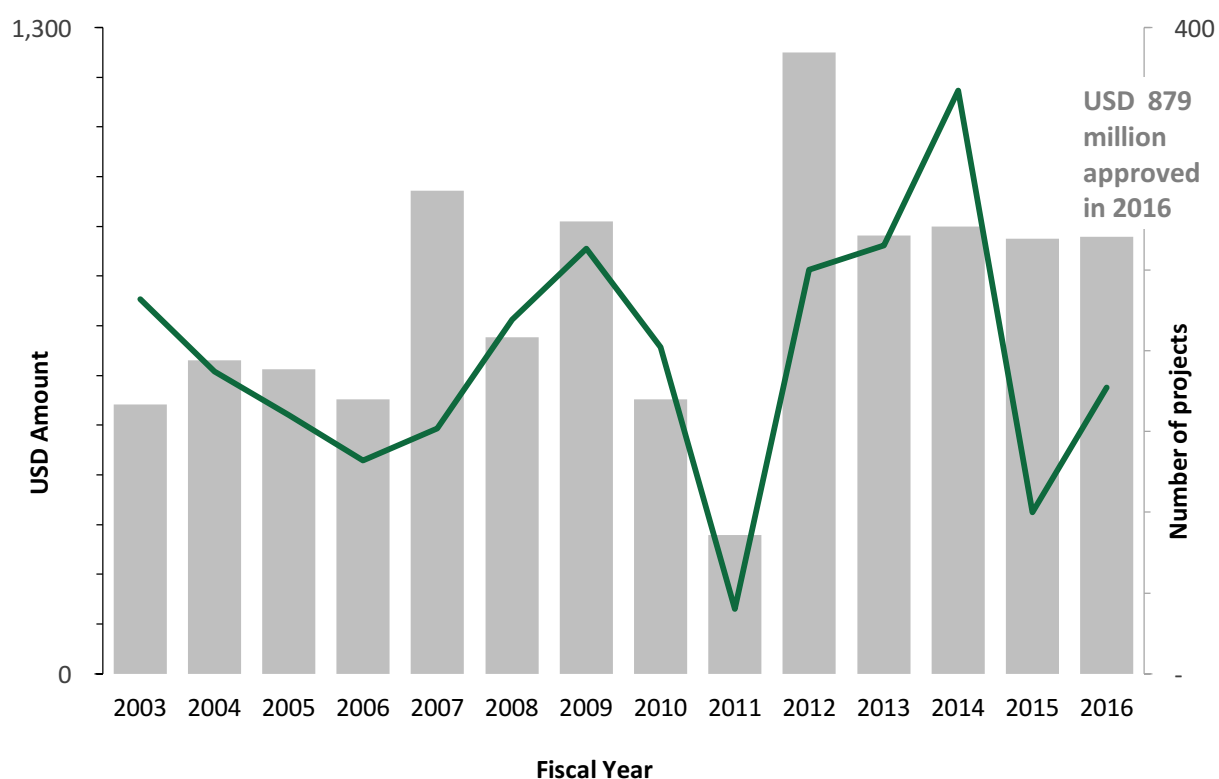
49. During the reporting year, 1,950 projects, representing 56% of the active portfolio, received monitoring visits. The majority (54%) of SGP country programs reported that 80-100% of projects visited were progressing in a satisfactory manner. A further 37% reported that 60-80% of the projects visited were found to be progressing satisfactorily. Less than 9% of SGP country programs reported that up to 40% of projects visited were seen to be achieving satisfactory progress. In addition, 18 SGP country programs were evaluated during the reporting period by independent third parties. The findings of these evaluations have contributed to the elaboration of several country program strategies and – in the case of the upgraded countries – to the design of project documents in GEF-6.

ANNEX I: GEF-6 ANALYSIS

GEF-6 Programming

1. In GEF-6 (FY15 and FY16), the GEF programed USD 1.78³ billion for 277 projects and programs; of these, 146 were FSPs, 50 were MSPs, and 81 were EAs.
2. **The volume of programming and the number of projects approved vary significantly between fiscal years.** Figure 9 provides an overview on total approvals and grant amounts by fiscal year across the last three replenishment periods⁴.

Figure 9: Project and Program Approvals by Amount and Number of Projects by Fiscal Year (as of June 30, 2016)



³ The total grant amount includes the grant for projects plus the Project Preparation Grant (PPG).

⁴ The third replenishment (GEF-3) period includes four fiscal years (2003-2006). The fourth replenishment (GEF-4) period includes four fiscal years (2007-2010), the fifth replenishment (GEF-5) period includes four fiscal years (2011-2014), and the sixth replenishment (GEF-6) period includes four fiscal years (2015-2018).

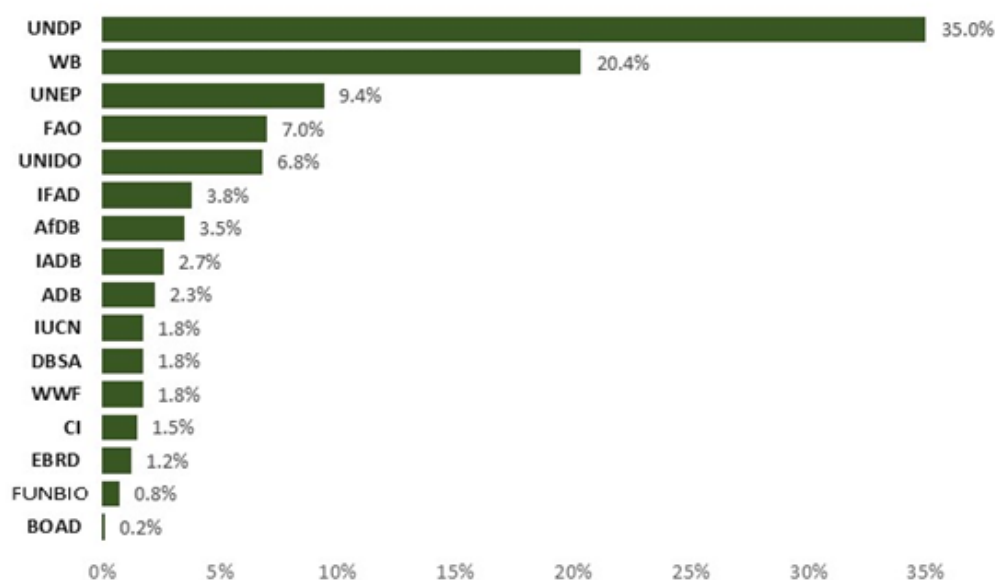
3. This highlights the cycle of project approvals through replenishment periods, with additional dynamics in the graph reflecting various policies and approaches.⁵

Project and Program Approvals in GEF-6⁶

4. The breakdown of **project approvals by Agency** shows that the United Nations Development Program (UNDP) has programed the largest grant amount totaling USD 621 million (35% of total approved), followed by the World Bank with USD 361 million (20.4%) and the United Nations Environment Program (UNEP) with USD 167 million (9.4%). The figure below reports the share of grant amounts by each of the 16 Agencies (including new Agencies) that programed GEF funding in GEF-6 (FY15 and FY16).

5. As of end-FY16, the GEF has a total of 18 implementing Agencies, of which eight were new Agencies under the accreditation pilot. The eight new accredited implementing Agencies during FY15 and FY16 submitted a total of 23 projects.

Figure 10: Share of Grants by Agency in GEF-6 (FY15 and FY16)⁷



6. The largest share of current GEF-6 (FY15 and FY16) programing was in the Climate Change focal area (36%) and Biodiversity (31%), followed by Chemicals and Waste (13%), Land Degradation (12%), and International Waters (8%). When breaking down project approvals by

⁵ The drop in project numbers in 2015 is due to the high share of programs (including the IAPs) approved in FY15. However, considering that each approved program will be delivered through discrete “child” projects, the actual number of projects for FY15 is higher than indicated in Figure 9. Furthermore, the total amount programmed by fiscal year has remained constant since FY 2013.

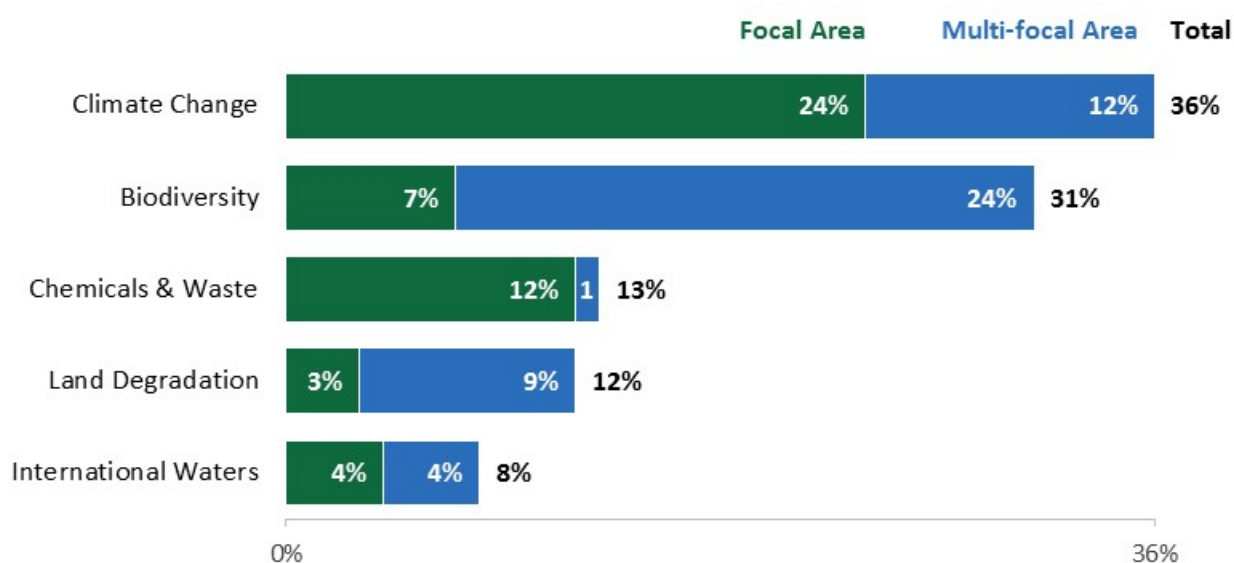
⁶ Analysis in this section includes FSPs (including programs), MSPs, and EAs.

⁷ The share of Joint Agency projects and Integrated Approach Pilots is broken down into their respective agencies.

focal area, the FY15 and FY16 data show a total of USD 1.78 billion programed with i) Climate Change and Biodiversity accounting for more than half and ii) a high share of Multi-Focal Area (MFA) projects in the FY15 and FY16 approvals. The breakdown includes the amounts of focal area resources programed through the Integrated Approach Pilots (IAPs), which leveraged USD 150 million of the fund set-aside for these programs in the GEF-6 replenishment. In addition, Programmatic Approach programs approved in FY15 and FY16 used a total of USD 416 million (30%) of the focal area resources. The proportion of focal area resources programed during FY15 and FY16 is broadly in line with the GEF-6 replenishment amounts allocated for each.

7. **Fifty percent of programming during the reporting period was associated with MFA projects.** Specifically, programming by the Biodiversity and Land Degradation focal areas in FY15 and FY16 came mainly in the form of MFA projects; for International Waters, roughly half of programming was through MFA projects.

Figure 11: GEF-6 Share of Grants by Focal Area in GEF-6 (FY15 and FY16)



Anticipated Co-financing in GEF-6 (FY15 and FY16)⁸

8. To date, the ratio of anticipated co-financing for approved projects in GEF-6 is higher than the GEF-5 average. In GEF-6 (FY15 and FY16), total programed co-financing amounted to USD 13,307 million, equivalent to a ratio of anticipated co-financing to GEF grant amount of 7.5 to 1. This is higher than in GEF-5, when it was 6.9 to 1, as well as in GEF-4 when it was 5.6 to 1.

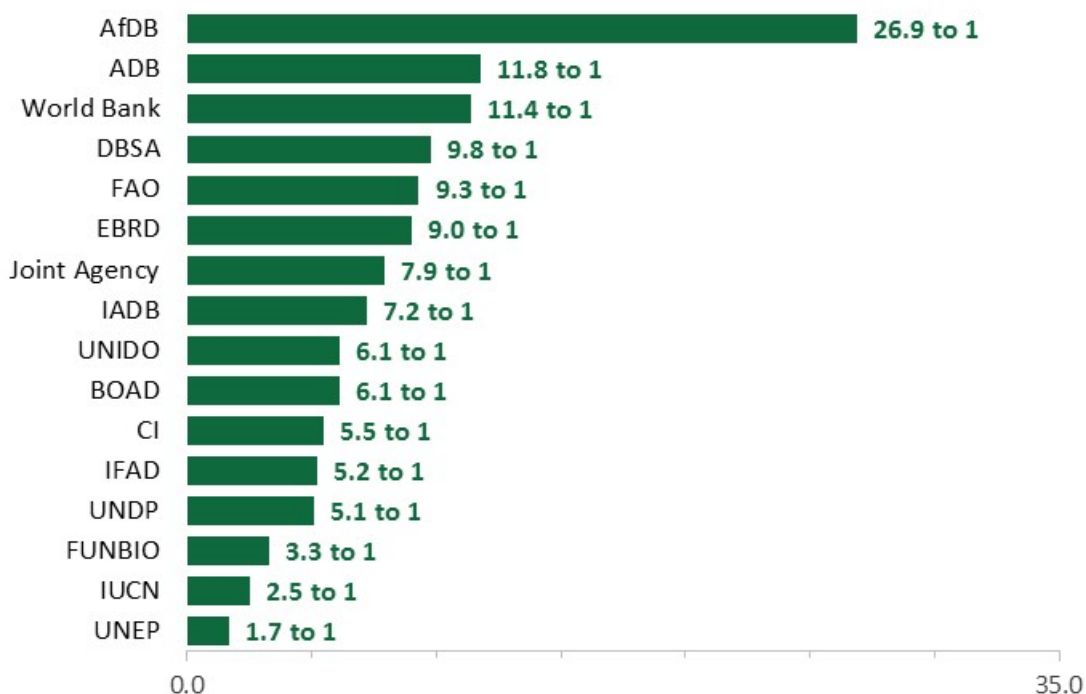
Figure 12: Ratio of Anticipated Co-financing for Approved Projects



9. **By Agency – in common with past experience – co-financing ratios are highest for the development banks.** The ratio of anticipated co-financing to total grant amount was highest for the African Development Bank (26.9 to 1). The sharp increase in share of co-financing for the World Bank and AfDB is due to the high volume in the share of private sector co-financing for three particular projects: World Bank Geothermal Energy Upstream Development (457:1), World Bank Grid-Connected Rooftop Solar PV Program (34:1), and AfDB Investing in Renewable Energy Project Preparation under the Sustainable Energy Fund for Africa (96:1).

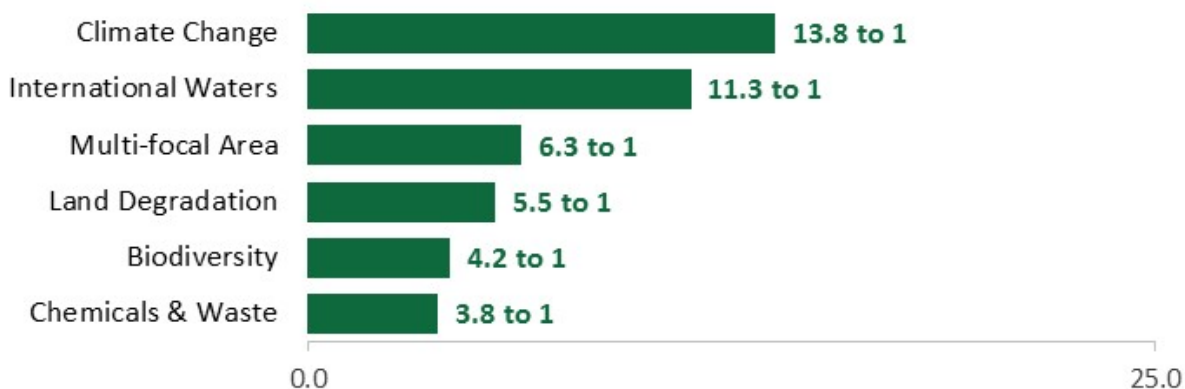
⁸ Analysis in this section included FSPs (including programs), MSPs, and EAs in GEF-6 (FY15 and FY16).

Figure 13: Ratio of Anticipated Co-financing to Total Grant by Agency in GEF-6 (FY15 and FY16)



10. By focal area, the ratio of anticipated co-financing to total grant amount shows that Climate Change had the highest ratio (13.8 to 1) among focal areas, followed by International Waters (11.3 to 1). The Figure below shows the ratio of anticipated co-financing to total grant by focal area. The sharp increase in share of the Climate Change co-financing is due to the high volume in the share of private sector co-financing for three particular projects which are listed in the previous paragraph.

Figure 14: Ratio of Anticipated Co-financing to Total Grant by Focal Area in GEF-6 (FY15 and FY16)



Gender, Civil Society, and Indigenous Peoples

Gender

11. The GEF believes that more systematic inclusion of gender aspects in projects can create positive synergies between global environmental benefits (GEBs), gender equality, and women's empowerment. As such, the GEF Policy on Gender Mainstreaming⁹ and the GEF 2020 Strategy recognize that mainstreaming gender through GEF programs and projects presents opportunities to increase the effectiveness of its investments. The GEF Gender Equality Action Plan (GEAP)¹⁰, approved in 2014, that commits the GEF to strengthen monitoring and reporting on gender mainstreaming includes the GEF-6 Results Framework on gender. It specifically includes two GEF-6 Core Gender Indicators designed to track gender mainstreaming at the entry stage of the GEF project cycle:

1. **Percentage of projects that have conducted gender analysis during project preparation;**
2. **Percentage of projects that have incorporated a gender-responsive project results framework.**

12. In GEF-6, the GEF project templates have been improved, requiring projects to clearly state whether gender has been taken into consideration during the project planning phase and to describe how gender equality and women's empowerment issues will be mainstreamed in project implementation and monitoring. **The information below is based on the Secretariat's analysis of 29 GEF-6 CEO-endorsed projects¹¹ related to these two indicators.** In summary, the analysis shows a steady positive trend in terms of practice to conduct gender analyses and developing gender-responsive results frameworks in GEF projects. More detailed analysis can be found below.

13. **Percentage of projects that have conducted gender analysis during project preparation:** Collecting gender-disaggregated information and carrying out a gender analysis in the project planning stage is the starting point for gender mainstreaming. The Secretariat found that all of the GEF-6 CEO-endorsed projects reviewed were gender-relevant, and that all of these projects had considered some gender dimensions relevant to the project during the planning stage, prior to CEO Endorsement. The more detailed analysis found that 86%¹² of the GEF-6 projects had conducted gender analysis during project preparation. These figures show a

⁹ [GEF/C.40/10/Rev.1](#) / [GEF/SD/PL/02](#)

¹⁰ [GEF/C.47/09.Rev.01](#)

¹¹ 29 July 1, 2014 - June 30, 2016

¹² The analysis reflects findings based on project documents only, which might not capture the real situation. Note also that projects that had not conducted a gender analysis specified that gender equality was an important consideration and that they anticipated to carry out a more detailed analysis during implementation.

remarkable increase in the number of projects that had conducted a gender analysis compared to the baseline of 18%.¹³

14. Since the cohort for this review was rather small, the analysis did not point to any conclusive differences between the different focal areas. The Secretariat will, however, continue to monitor the breakdown of projects by focal area and report on this as more GEF-6 projects are received for approval.

15. The Secretariat noted that the tools and scope of the gender analyses depended on the focus, level, and size of the project. Generally, across the focal areas, the gender analyses ranged from fairly broad gender-sensitive contextual or situational analyses to more detailed stand-alone analyses that included detailed and participatory efforts to identify different priorities and needs between women and men. The Secretariat's analyses further noted that the gender-sensitive situation, context, or sectoral analysis revealed important information on structural and socio-cultural factors, including socio-economic trends, laws, and policies that influence gender disparities relevant to the projects. The more detailed gender analyses conducted in these projects revealed important information related to different opportunities of women and men to participate in, contribute to, and benefit from project resources, activities, and results.

A Climate Change focal area project (GEFID 9116) promoted access to renewable energy and development of information technology tools for rural communities in Cameroon. It carried out a gender analysis that highlighted gender disparities in education, health, employment, security, and access to information and communication technologies. Based on the analysis, the project anticipated a series of activities to support the empowerment of women e.g. strengthening Women's Promotion Centers; providing community training of at least 3,000 women, and producing an ICT entrepreneurship training manual with a targeted distribution for women.

16. **Percentage of projects that have incorporated elements of a gender-responsive project results framework:** Translating findings from gender analysis into the project results framework is key to ensuring that the project will be able to address and monitor results in terms of gender equality or women's empowerment. The analysis found that 79% of projects¹⁴ included some types of gender-responsive results framework with both, sex-disaggregated information and sex-disaggregated targets or indicators. This points to a notable increase

¹³ As agreed in the GEF-6 Results framework on Gender, the baseline number is based on information provided in Mainstreaming Gender at the GEF (2008).

¹⁴ This analysis reflects findings based on project documents.

compared to the baseline where only 57% of projects¹⁵ were estimated to have incorporated gender aspects in their results frameworks. The analysis of the portfolio found the most common target or indicator used was “estimated number of female and male beneficiaries for specific project outputs”, typically linked to female and male participation in training or other capacity building exercises.

17. The analysis found that many projects included distinct and specific gender activities and/or had developed (or anticipated to develop) some type of gender action plans. For example, a Climate Change focal area project in Laos (GEFID 9146) considered how reducing gender gaps could positively contribute to project objectives. This led them to develop a Gender Action Plan outlining specific activities to address community- and gender-related concerns. Defined outputs were directed to improve women’s access to social services and economic opportunities and framework for monitoring gender-specific aspects of its impact, including benefits. The GEF Secretariat will continue to monitor these kinds of practices and approaches and share lessons learned.

18. As part of the implementation of the GEF Gender Equality Action Plan, the Secretariat, together with the GEF Gender Partnership, is compiling good practices and mapping gender-responsive indicators across the GEF Project portfolio. These will inform the forthcoming GEF guidelines on gender mainstreaming. The Secretariat also continues to share lessons learned, tools, and practices to better address gender equality and women’s empowerment issues during project planning and design.

¹⁵ As agreed in the GEF-6 Results framework on Gender, the baseline value is based on data provided in the OPSS Technical document #16 Sub-study on Gender Policy on Gender Mainstreaming.

Indigenous Peoples' Engagement in GEF Projects

19. The GEF-6 Corporate Results Framework includes an indicator on indigenous peoples' involvement in GEF projects: **Percentage of projects that involve Indigenous peoples as key partners.**
20. Among the 29 full-sized projects that were GEF-CEO endorsed in GEF-6 (July 1, 2014 to June 30, 2016), 8 projects have involved indigenous peoples. The total GEF grant towards these eight projects is USD 107.7 million.
21. Half of the portfolio (four out of the eight projects) that involved Indigenous peoples were Multi-Focal Area projects, followed by two Biodiversity projects, and one each for Climate Change Mitigation and Chemicals and Waste projects.
22. The degree of Indigenous peoples' involvement in GEF projects differs from one project to another, depending on the thematic and geographical focus of the project. For example, some project sites do not have a population of indigenous peoples.
23. Five of the eight projects involved Indigenous peoples as active and key implementing partners. This included management and implementation of small grants, involvement in strategic planning, management of natural resources, and design and implementation of capacity building activities.¹⁶ For the remaining three projects, indigenous peoples were identified as one of the key stakeholders and beneficiaries of the projects.¹⁷
24. The International Waters and Land Degradation projects did not indicate involvement of indigenous peoples as some were focused in regions/sites where indigenous peoples are not present (e.g. in Central Asia), and others focused on policy, research, and the development at the global/regional levels. The GEF Agencies will continue to assess project impacts to indigenous peoples during project preparation and incorporate appropriate measures in project design as relevant, in line with the GEF Policy on Agency Minimum Standards on Indigenous Peoples.
25. In GEF-6, the GEF project templates have been improved to clearly describe involvement of and approach towards Indigenous peoples in project preparation and implementation. Following the GEF Policy on Agency Minimum Standards on Environment and Social Safeguards, all projects that have involved indigenous peoples have prepared either an Indigenous Peoples

¹⁶ 1) GEFID 6931: Global GEF Small Grants Programme – Sixth Operational Phase (Part I), GEFID 6940: 2) Sustainable Forest and Land Management in the Dry Dipterocarp Forest Ecosystems of Southern Lao PDR; 3) GEFID 9088: Sixth Operational Phase of the GEF Small Grant Programme in Costa Rica; 4) GEFID 9352: Strengthening Capacities for Implementation of the Nagoya Protocol in Nepal; and 5) GEFID 6970 Pacific Islands Regional Oceanscape Program.

¹⁷ 1) GEFID 6928: Reducing UPOPs and Mercury Releases from Healthcare Waste Management, e-Waste Treatment, Scrap Processing and Biomass Burning; 2) GEFID 9347: Support to Eligible Parties for the Revision of NBSAPs and Development of the Fifth National Report to the CBD (Phase III); 3) GEFID 6925: Umbrella Program for Biennial Update Report to the United Nations Framework Convention on Climate Change (UNFCCC).

Planning Framework/Action Plan or Checklist through consultations with the concerned Indigenous peoples and partners to ensure positive results, as well as to mitigate any foreseen negative impact.

26. Beyond identifying the percentage of projects that involved Indigenous peoples, the APMR exercise also reveals the type of projects that they were involved in, as well as lessons on approaches and tools that were effective to engage them in GEF projects.

27. **The 6th Operational Phase of the GEF Small Grants Programme** (GEFID 6931: MFA) has incorporated explicit focus in working with and developing capacity of indigenous peoples on global environmental issues. It uses innovative tools and approaches in support of indigenous peoples, including following a set of principles that advocate for a flexible, time-sensitive, and simple project cycle to foster access to small grants. The program allows unique indigenous peoples-friendly modalities such as alternative proposal formats (e.g. video/visual proposal) and proposal submission in local languages. The program also allows for flexible disbursement terms to cope with indigenous peoples' culture, customs, and seasonal movements. In addition, the project offers new opportunities for indigenous peoples through an Indigenous Peoples Fellowship Program to build capacity, learning exchanges, and CSO-Government policy and planning dialogues in at least 50 countries.

28. **The Strengthening Capacities for Implementation of the Nagoya Protocol in Nepal** Project (GEFID 9352: Biodiversity) involves strong inclusion of indigenous peoples in national and local policy development, demonstrating leadership for implementing access to genetic resources and the fair and equitable sharing of benefits in Nepal. Activities in this project include training indigenous peoples and local community members in negotiations skills that allow them to participate in ABS decision-making, and the development of community protocols that affirm and document their rights to their traditional knowledge and understanding of the long-term benefits. The project is using unique media tools, such as videos featuring indigenous peoples voices, street drama, art competitions, and quiz contexts to raise awareness among indigenous peoples and local communities. To ensure the effective participation of indigenous groups in project activities, an indigenous peoples' organization is a member of the Project Steering Committee. Another project working on ABS in Bahamas, Mexico, Papua New Guinea, and Venezuela (GEFID 9347: Biodiversity), also works to build capacity to ensure access to traditional knowledge associated with genetic resources held by indigenous peoples and local communities.

29. **The Pacific Islands Regional Oceanscape** (GEFID 6970: MFA) targets indigenous peoples as key beneficiaries of the project. It focuses on strengthening the shared management of selected Pacific Island oceanic and coastal fisheries, and the critical habitats upon which they depend. Consultations with indigenous peoples were conducted during the project preparation to mitigate against any social e.g. the risks that access to traditional coastal fishing grounds might be restricted as a result of fisheries management measures supported by the project. An Indigenous Peoples Planning Framework has also been developed to ensure compliance with the safeguard policies of the GEF and the World Bank.

Civil Society Organizations in GEF projects

30. The GEF has approved a number of policies and guidelines that recognize the importance of stakeholder engagement and the key role played by civil society organizations (CSOs), including indigenous peoples, in GEF operations. In addition, the GEF 2020 Strategy states that “the GEF will seek to further strengthen its work with CSOs, including indigenous peoples, in recipient countries and internationally to develop knowledge that will have impact on key drivers and jointly create a platform for actions.”

31. The Policy on Public Involvement in GEF Projects (Public Involvement Policy), approved by Council in 1996, establishes that effective public involvement is critical to the success of GEF-financed projects. When done appropriately, public involvement improves the performance and impact of projects. The Policy formulated guiding principles and requirements on consultation, participation, and dissemination of information in GEF projects.

32. As a result of the Policy Recommendations of the GEF-6 Replenishment Process, in October 2014, Guidelines for the Implementation of the Public Involvement Policy were issued to provide more concrete mechanisms and tools to implement the policy throughout the whole GEF project cycle.

33. More recently, and as stated in the guidelines action plan, the GEF Secretariat improved the project templates and review sheets to better account for stakeholder engagement in the design and implementation of projects.

34. All GEF Agencies are required to comply with the Public Involvement Policy and its Implementation Guidelines when implementing GEF projects and programs.

35. The GEF project templates for PIF and CEO endorsement include a separate section each that identifies the inclusion of stakeholders (including CSOs) in project preparation, as well as information on the role they are expected to play during implementation.¹⁸

36. Among the 29 GEF-6 projects that were CEO-endorsed in FY16 (July 1, 2015 to June 30, 2016) 100% included a mention of CSOs. This high percentage is not surprising since, as mentioned above, the CEO template includes a section to describe CSO involvement in project implementation. However, the degree of specificity in terms of stakeholder and CSO participation in the projects varies across agencies and focal areas. Some agencies include a detailed description of the role that each type of stakeholder is expected to play during project implementation, while others include more general statements such as “CSOs being consulted”.

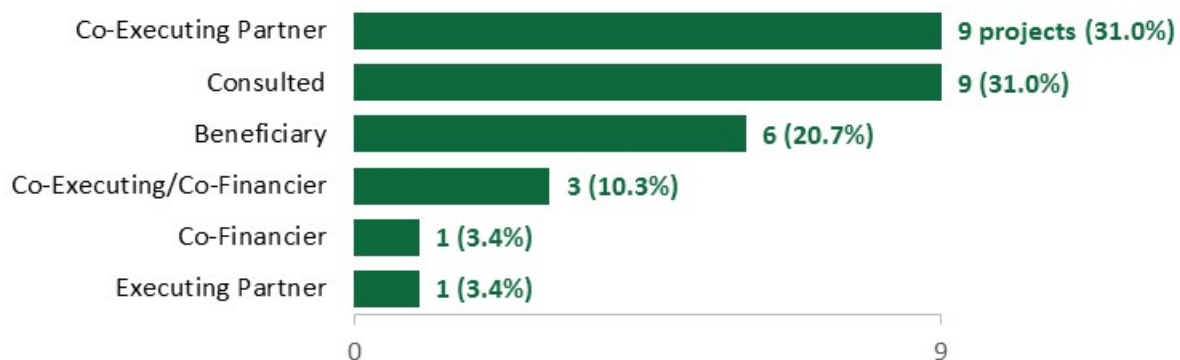
37. A good practice is where a clear role for CSOs is described at the early stages of project design. Furthermore, as established in the Guidelines, “projects should include a stakeholder engagement plan that summarizes the activities and the possible partnerships to be promoted by the project as well as provide documentation on stakeholder engagement”. Of course, the

¹⁸ Correspondingly, the review sheet includes a question about how stakeholders are involved in the project

level of detail will depend on the nature of the project and the extent and scope of stakeholder participation. Some projects may affect a larger number of stakeholders than others.

38. The chart below shows the role that civil society played in the projects that the GEF CEO endorsed in FY 2016. In several projects, CSOs played more than one role. For the purpose of the analysis and in order to avoid duplication, in those projects where CSOs were reported to be beneficiaries or had been consulted together with another more prominent role (such as co-executing partner), only the latter was recorded. Among the projects in the cohort, the majority reported CSOs were consulted or were co-executing partners (31% each). These were followed by projects where CSOs are beneficiaries (20.7%) and both co-executing and co-financiers (10.3%). CSOs were reported to be executing partners in only one project, and were the sole co-financier in another.

Figure 15: Role of Civil Society in GEF Projects



ANNEX II: GEF PORTFOLIO-LEVEL ANALYSIS

GEF Programing Snapshot

1. The Secretariat has coordinated with the GEF Agencies who submit data from all projects under implementation. The Secretariat relied on the careful effort of the Agencies to gather the required data from the field, synthesize, and compile the data. The Secretariat is appreciative of the high quality and completeness of the submissions by GEF Agencies that have projects under implementation.

GEF AT A GLANCE

**Table 2: GEF at a Glance since Inception
(as of June 30, 2016)**

Statistics of the GEF portfolio

Number of approvals	3,850
Value of approvals	USD 13,934 million
Anticipated co-financing	USD 75,064 million
Ratio of USD GEF : USD Anticipated Co-financing	1 : 5.4

FY 16 – Project Approvals

Number of approvals	177
Value of approvals	USD 879 million

FY 16 – Projects Under Implementation

Number of projects	852
Value of projects	USD 3,599 million

FY 16 – Projects Development Objective Ratings

Percentage of projects that have received a moderately satisfactory or better rating	91.5%
--	-------

PORTFOLIO OVERVIEW

2. The portfolio overview provides a summary of the GEF's cumulative project and program approvals. The information presented in the following section is based on data retrieved from the Secretariat's Project Management Information System (PMIS).

Cumulative GEF Project Approvals

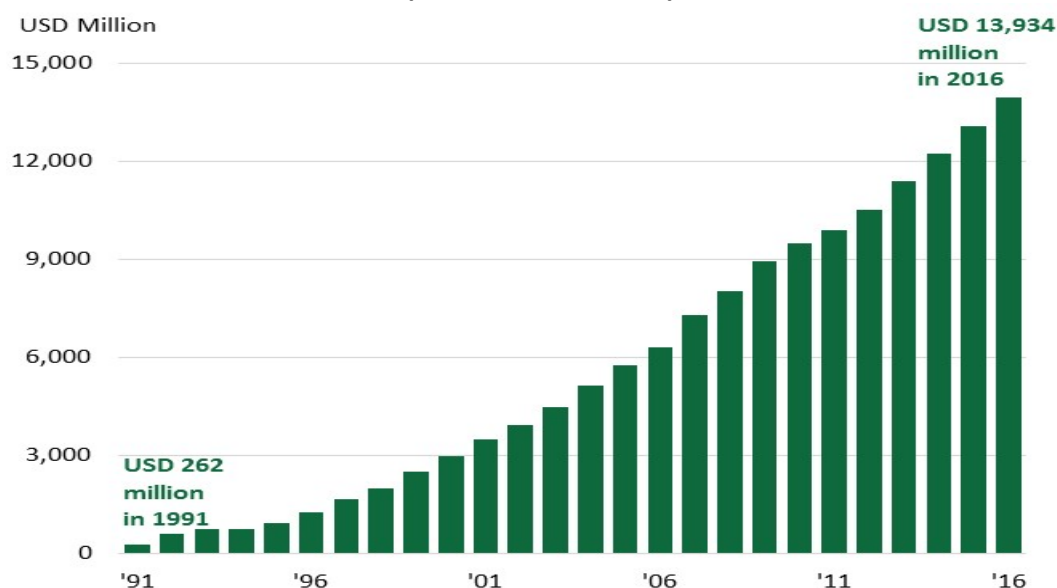
3. Project amounts for GEF approvals from inception to June 30, 2016 totaled USD 13,934 million in grants, including programs, enabling activities (EAs), project preparation grants (PPGs), and the Small Grants Programme (SGP). In FY16, project approvals amounted to USD 879 million in grants for 177 projects: 90 full-sized projects (FSPs), 31 medium-sized projects (MSPs), and 56 EAs. The GEF cumulative funding by modality from 1991-2016 is presented in the table and figure below.¹⁹

Table 3: GEF Cumulative Funding by Modality²⁰
(as of June 30, 2016)

Modality	Amount (USD million)
FSPs and MSPs	10,242
Programs	2,224
Small Grants Programme	727
Enabling Activities	430
Project Preparation Grants	311
Total	13,934

4. The cumulative project approvals (excluding Agency fees) are presented in USD million from 1991 to 2016 in the Figure below.

Figure 16: Cumulative Project Approvals
(as of June 30, 2016)



¹⁹ Agency fees excluded.

²⁰ The amounts include GEF Trust Fund projects and GEF portions of Multi Trust Fund projects.

ANNEX III. GEF CORPORATE SCORECARD

GEF CORPORATE SCORECARD



JUNE 30, 2016

Contributions to the Generation of Global Environment Benefits

During the GEF-6 replenishment, the GEF-6 focal area strategies were designed to meet specific targets measured by key indicators. The table below shows the extent to which the GEF is meeting those targets in terms of the expected results of approved projects and programs in GEF-6 as of June 30, 2016. The table is based on 204 projects at the stage of Project Identification (PIF approval) in GEF-6, 67 projects of which were CEO endorsed/approved by June 30, 2016.

Results and Indicators	Target	Expected Results	
Maintain globally significant biodiversity and the ecosystem goods and services that it provides to society			
Landscapes and seascapes under improved management for biodiversity conservation (million hectares)	300	256	85%
Sustainable land management in production systems (agriculture, rangelands and forest landscapes)			
Production landscapes under improved management (million hectares)	120	64	53%
Promotion of collective management of transboundary water systems and implementation of the full range of policy, legal, and institutional reforms and investments contributing to sustainable use and maintenance of ecosystem services			
Number of freshwater basins in which water-food-energy-ecosystem security and conjunctive management of surface and groundwater is taking place	10	7	70%
Globally over-exploited fisheries moved to more sustainable levels ¹ (percent of fisheries, by volume)	20	14	69%
Support to transformational shifts towards a low-emission and resilient development path			
CO _{2e} mitigated (million metric tons) ²	750	1,227	164%
Increase in phase-out, disposal and reduction of releases of POPs, ODS, mercury and other chemicals of global concern			
POPs (PCBs, obsolete pesticides) disposed (metric tons) ³	80,000	117,480	147%
Mercury reduced (metric tons)	1,000	374	37%
ODP (HCFC) reduced/phased out (metric tons)	303	0	0
Enhance capacity of countries to implement Multilateral Environmental Agreements (MEAs) and mainstream into national and sub-national policy, planning financial and legal frameworks ⁴			
Number of countries in which development and sectoral planning frameworks that integrate measurable targets drawn from the MEAs have been developed	10	8	80%
Number of countries in which functional environmental information systems are established to support decision-making	10	10	100%

¹ The actual expected result is 13.8%. ² The reported expected results for tons of CO_{2e}, 1,227 million tCO_{2e}, include expected results from all the focal areas and initiatives as follows: Climate Change Mitigation (451 million); Integrated Approach Pilot (122 million); Sustainable Forest Management (235 million); Non-Grant Instruments (33 million); and other focal areas (387 million). The GEF-6 target of 750 million tCO_{2e} was set only for the Climate Change Mitigation focal area, which achieved 60% of the target by June 30, 2016. ³ The reported expected results for POPs, 117,480 tons, include Obsolete Chemicals (6,130 tons), PCB (10,200 tons), PFOS or PFOS containing material (100,000 tons) and others (1,150 tons). UPOPs reduction is reported at 1,103 gTEQ. As UPOPs do not have a target in GEF-6, their reduction is not included. ⁴ These numbers are derived from Cross-Cutting Capacity Development projects only. Therefore, they are likely to underestimate the number of countries that other GEF projects have supported.

Programming Report as of June 30, 2016

This section summarizes the progress made in programming GEF-6 resources as of June 30, 2016. It provides a cumulative summary of GEF-6 utilization of funds against the programming targets that were established by the Council during the GEF-6 replenishment.

	Target (USD millions)	Programmed (USD millions)	Utilization Rate
Focal Areas			
Biodiversity	1,101	453.9	41%
Climate Change	1,130	482.6	43%
Land Degradation	371	155.7	42%
International Waters	456	121.6	27%
Chemicals and Waste			
Persistent Organic Pollutants (POPs)	375	142.8	38%
Mercury	141	59.9	42%
Strategic Approach to International Chemicals Management (SAICM)	13	1.7	13%
Ozone Depleting Substances (ODS)	25	0.0	0%
Integrated Approach Pilot (IAP)			
Commodities	45	44.0	98%
Sustainable Cities	55	55.0	100%
Food Security	60	60.0	100%
Sustainable Forest Management (SFM) Program	230	189.0	82%
Non-Grant Pilot	110	92.4	84%
Corporate Programs			
Cross-Cutting Capacity Development (CCCCD)	34	16.9	50%
Small Grants Program (SGP)	140	70.0	50%
Country Support Program (CSP)	23	12.0	52%

STAR Utilization Percentages as of June 30, 2016

The System for Transparent Allocation of Resources (STAR) is the GEF's resource allocation system for the biodiversity, climate change and land degradation focal areas. The table provides the GEF-6 utilization rates of funds by region and focal area.

GEF Region	Biodiversity	Climate Change	Land Degradation
Africa	48%	50%	45%
Asia	33%	45%	33%
Europe and Central Asia	35%	41%	48%
Latin America and the Caribbean	46%	41%	45%

Utilization and Allocation by Constituency as of June 30, 2016

This table displays the utilization of funds by GEF Constituency⁵. Both STAR and non-STAR allocations are included. The constituency classifications are described on the GEF website.

Constituency List	STAR Allocation (USD millions)	STAR Utilization (USD millions)	STAR Utilization Rate	Non-STAR Utilization (USD millions)
Afghanistan, Jordan, Iraq, Lebanon, Pakistan, Syria, Yemen	69	24	<div><div></div></div> 35%	14
Albania, <i>Bulgaria</i> ⁵ , Bosnia-Herzegovina, <i>Croatia</i> ⁵ , Georgia, Macedonia, Moldova, Montenegro, <i>Poland</i> ⁵ , <i>Romania</i> ⁵ , Serbia, Ukraine	72	23	<div><div></div></div> 32%	12
Algeria, Egypt, Libya, Morocco, Tunisia	67	10	<div><div></div></div> 15%	2
Angola, Botswana, Lesotho, Malawi, Mozambique, Namibia, South Africa, Swaziland, Zambia, Zimbabwe	142	91	<div><div></div></div> 64%	49
Antigua And Barbuda, Bahamas, Barbados, Belize, Cuba, Dominica, Dominican Republic, Grenada, Guyana, Haiti, Jamaica, St. Kitts And Nevis, St. Lucia, St. Vincent and Grenadines, Suriname, Trinidad and Tobago	104	31	<div><div></div></div> 30%	15
Argentina, Bolivia, Chile, Paraguay, Peru, Uruguay	142	61	<div><div></div></div> 43%	31
Armenia, Belarus	139	10	<div><div></div></div> 7%	12
<i>Austria</i> ⁵ , <i>Belgium</i> ⁵ , <i>Czech Republic</i> ⁵ , <i>Hungary</i> ⁵ , <i>Luxembourg</i> ⁵ , <i>Slovak Republic</i> ⁵ , <i>Slovenia</i> ⁵ , Turkey	27	13	<div><div></div></div> 48%	1
Azerbaijan, Kazakhstan, Kyrgyz Republic, <i>Switzerland</i> ⁵ , Tajikistan, Turkmenistan, Uzbekistan	79	66	<div><div></div></div> 84%	11
Bangladesh, Bhutan, India, Maldives, Nepal, Sri Lanka	173	103	<div><div></div></div> 60%	15
Benin, Cote d'Ivoire, Ghana, Guinea, Liberia, Nigeria, Sierra Leone, Togo	69	25	<div><div></div></div> 36%	33
Brazil, Colombia, Ecuador	215	128	<div><div></div></div> 60%	59
Burkina Faso, Cabo Verde, Chad, Guinea-Bissau, Mali, Mauritania, Niger, Senegal, Gambia	69	31	<div><div></div></div> 45%	27
Burundi, Cameroon, Central African Republic, Congo, Democratic Republic of Congo, Equatorial Guinea, Gabon, Sao Tome and Principe	72	42	<div><div></div></div> 58%	29
Cambodia, Lao People's Democratic Republic, Malaysia, Mongolia, Myanmar, Thailand, Vietnam	143	53	<div><div></div></div> 37%	29
China	212	61	<div><div></div></div> 29%	80
Comoros, Djibouti, Eritrea, Ethiopia, Kenya, Madagascar, Mauritius, Rwanda, Seychelles, Somalia, South Sudan, Sudan, Tanzania, Uganda	162	100	<div><div></div></div> 62%	39
Cook Islands, Fiji, Indonesia, Kiribati, Marshall Islands, Micronesia, Nauru, Niue, Palau, Papua New Guinea, Philippines, Samoa, Solomon Islands, Timor Leste, Tonga, Tuvalu, Vanuatu	210	78	<div><div></div></div> 37%	23
Costa Rica, El Salvador, Guatemala, Honduras, Mexico, Nicaragua, Panama, Venezuela	187	57	<div><div></div></div> 30%	44

⁵ Countries that have zero allocation and/or zero utilization have not been included in this list. However, non-recipient countries, which are part of constituencies, remain included in the list in italics.

Corporate Efficiency and Effectiveness

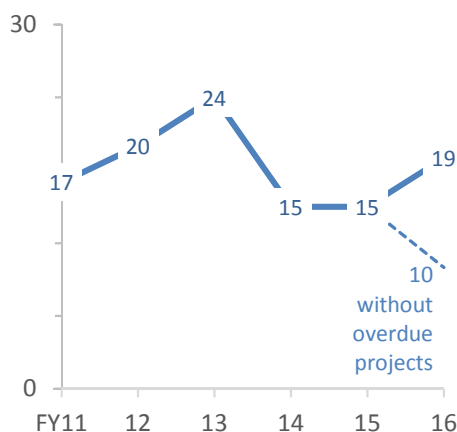
As part of the GEF-6 replenishment process, a number of indicators were established to track the effectiveness of the GEF.⁶ These indicators now apply to all projects at CEO endorsement/approval, regardless of their replenishment cycles.

● Project Cycle Effectiveness

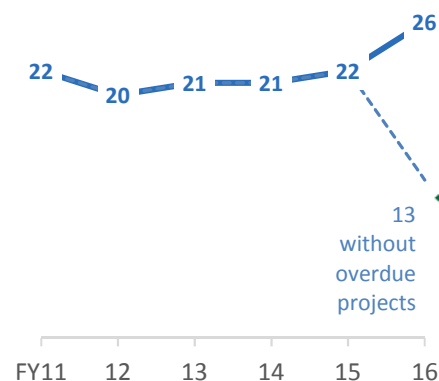
Average time (months) between PIF approval and CEO endorsement/approval

A large number of GEF-5 overdue projects (90% of FY16 endorsed/approved projects) were submitted in FY16 to meet the **one-time cancellation** deadline of June 30, 2016. Therefore, the average time between PIF approval and CEO endorsement/approval has significantly increased in FY16. In the graphs, the dashed lines show the trends without GEF-5 overdue projects.

Medium-Sized Projects



Full-Sized Projects

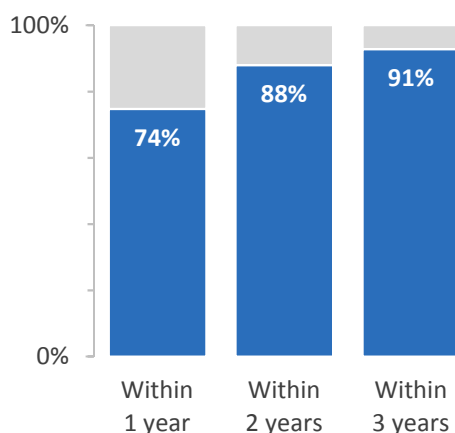


● First Disbursement

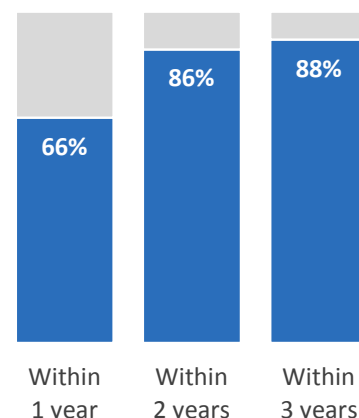
The percentage of projects that have had their first disbursement within 1, 2 and 3 years after Council endorsement

The analysis is based on cohorts of GEF projects that were endorsed/approved from FY11 to FY15. The analysis is based on 801 projects (559 full-sized projects and 242 mid-sized projects).

Medium-Sized Projects



Full-Sized Projects



⁶ As suggested by the Council in June 2016, the Corporate Scorecard now applies a traffic light system to corporate efficiency and effectiveness indicators:

Traffic light

- Green light
- Yellow light
- Red light

Definition

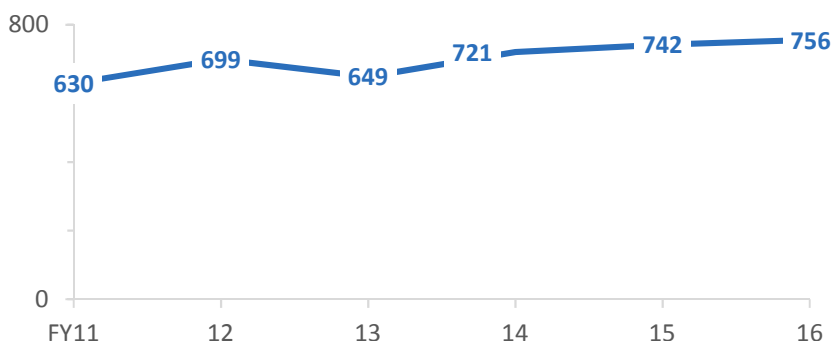
- Indicator on track
- Indicator to watch
- Indicator off track

Corporate Efficiency and Effectiveness (continued)

Results Driven Implementation

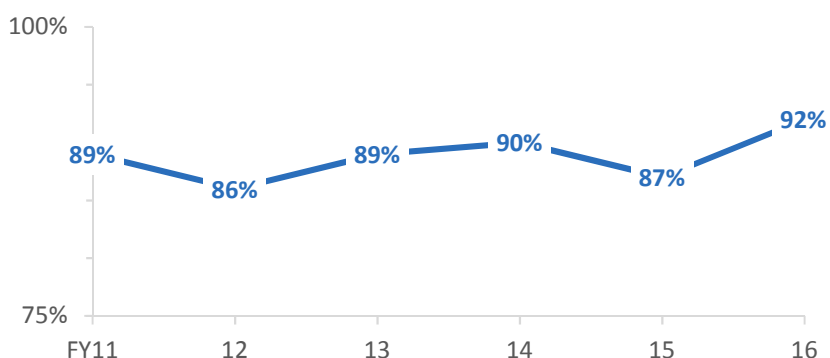
The GEF portfolio under implementation was self-rated by Agencies through annual Project Implementation Reports (PIRs).

The graph shows the number of projects that were under implementation in the respective fiscal years. These projects were self-rated by agencies on their progress towards achieving their development objectives and progress towards implementation.



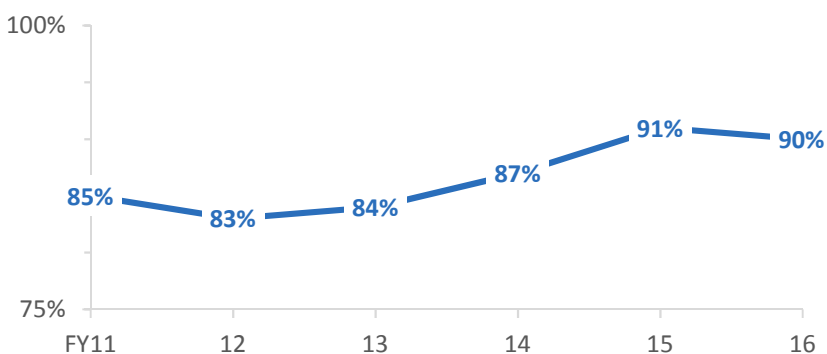
Percentage of projects that received 'moderately satisfactory' or higher ratings on progress towards achieving their development objectives

In FY16, 91.5% of 756 projects under implementation were rated 'moderately satisfactory' or higher.



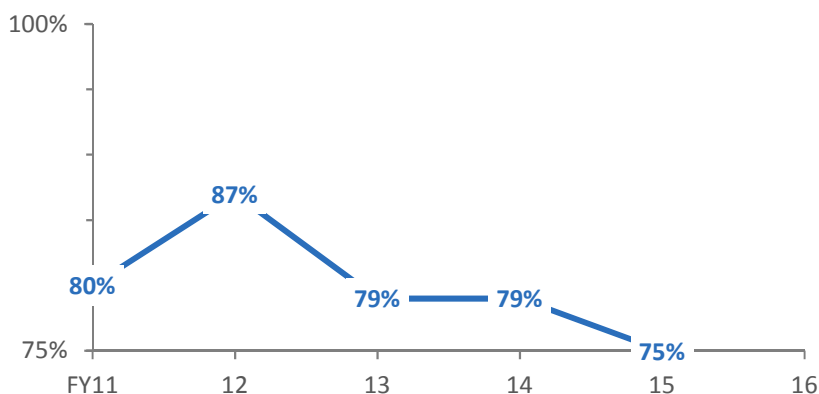
Percentage of projects that received 'moderately satisfactory' or higher ratings on progress towards implementation

In FY16, 89.6% of 756 projects under implementation were rated 'moderately satisfactory' or higher.



Percentage of completed projects with IEO outcome ratings of 'moderately satisfactory' or higher ⁷

The GEF Independent Evaluation Office (IEO) provides these ratings after their review of the self-ratings by agencies in Annual Performance Reports (APRs). The cohort of projects is different from the above three graphs. The FY16 outcome ratings will be presented in the May 2017 Corporate Scorecard.



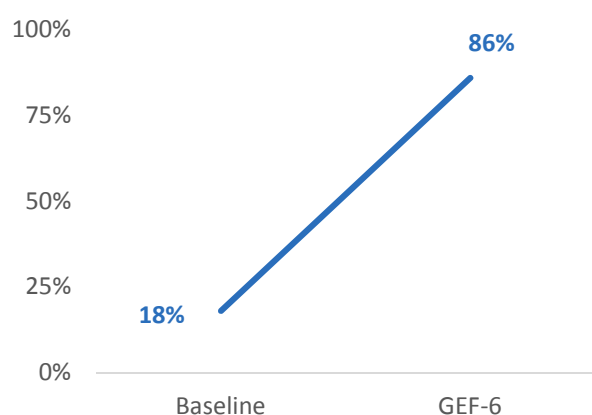
⁷ Although it is difficult to account for the reasons for annual fluctuations in outcome ratings, the slightly lower rating for the FY15 cohort appears to be driven by a greater proportion of projects in the Africa region, which tend to have lower outcome ratings. In addition, the number of projects in a single year cohort of the APR is too small to indicate trends.

Gender

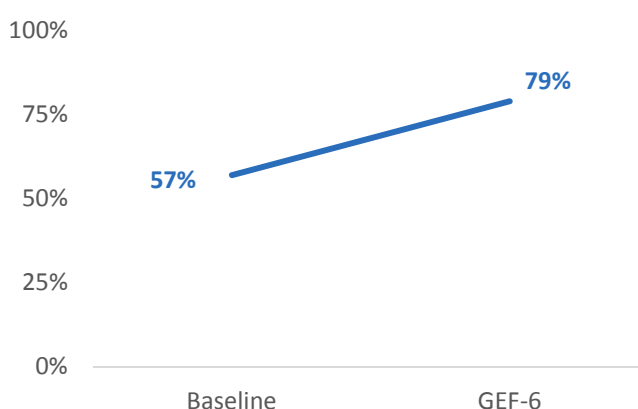
This section covers to the GEF-6 Core Gender Indicators that were agreed upon in the GEF-6 Results Framework for Gender Mainstreaming.⁸

Gender in GEF-6 Full-Sized Projects (CEO endorsed) through FY16^{9, 10}

● Percentage of projects that have conducted a gender analysis



● Percentage of projects that have incorporated elements of a gender responsive results framework

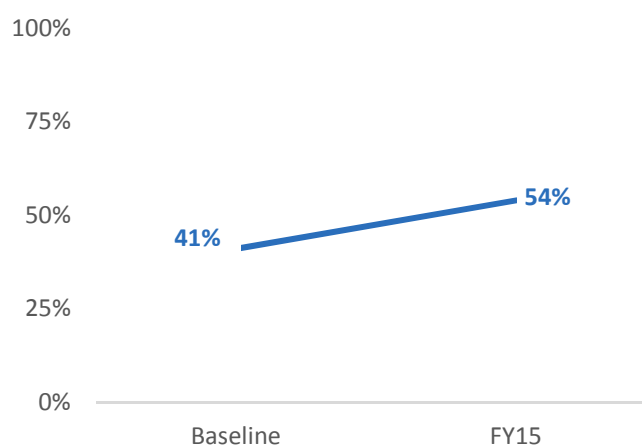


Review of FY15 Monitoring and Evaluation Reports¹¹

The cohort of projects reviewed consisted mainly of GEF-4 and GEF-5 projects.

● Percentage of monitoring and evaluation reports that incorporate gender

54% in FY15 represents an aggregation of scores 1-3 as presented in the June 2016 scorecard. It is important to note that this analysis is limited to a cohort of projects for which mid-term reviews and terminal evaluations were received during the respective fiscal year.



⁸ Baseline information is presented in the GEF Gender Equality Action Plan (GEF/C.40/10/Rev.1 / GEF/SD/PL/02) page 18. The baseline percentages are based on data from the following two documents: 1) OPS5 Technical Document #16: Sub-Study on GEF Policy on Gender Mainstreaming (2013); and 2) Mainstreaming Gender at the GEF (2008)

⁹ The quality of entry analysis is based on a review of 29 projects that were CEO endorsed in GEF-6 (approved July 1, 2014 - June 30, 2016).

¹⁰ The gender analysis conducted by different projects varies in terms of type, scope and depth.

¹¹ The implementation and monitoring analysis is based on a review of 151 mid-term reviews and terminal evaluations that were submitted by GEF Agencies in FY15. FY16 mid-term reviews and terminal evaluations are due by December 2016.

Stakeholder Involvement

Stakeholder Involvement in GEF-6 Full-Sized Projects (CEO endorsed) through FY16 ^{12, 13}

The GEF-6 Corporate Results Framework includes the following two indicators: 1) Number of projects that involve indigenous peoples as key partners; 2) Percentage of projects that involve civil society organizations as key partners.

Amongst the 29 full-sized projects that have been GEF CEO endorsed since the start of GEF-6, **8 projects** have involved indigenous peoples. The total GEF grant towards these 8 projects is USD **107.7 million**. Depending on relevance, the degree of indigenous peoples' involvement in GEF projects differs from one project to another because of the thematic and geographical focus, e.g. some project sites do not have a population of indigenous peoples.

All 29 full-sized projects involved civil society organizations.

Review of FY15 Monitoring and Evaluation Reports ¹⁴

The cohort of projects reviewed consisted mainly of GEF-4 and GEF-5 projects

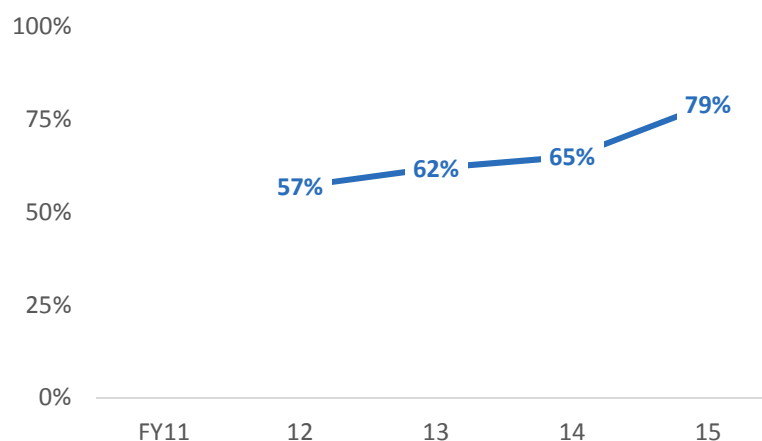
● Number of projects that involve indigenous peoples as key partners

The analysis is based on a review of 151 project reports that were submitted by GEF Agencies in FY15. Of those, 36 projects involved indigenous peoples. The total GEF grant towards these **36 projects** is USD **228 million**.¹⁵

● Percentage of projects that involve civil society organizations (CSOs) as key partners

CSO data have only been available since FY12.

The FY15 analysis is also based on a review of 151 project reports that were submitted by GEF Agencies in FY15 and compared with data from previous Annual Monitoring Reviews.



¹² The quality of entry analysis is based on a review of 29 projects that were CEO endorsed in GEF-6 (approved July 1, 2014 - June 30, 2016).

¹³ The stakeholder engagement analysis conducted by different projects varies in terms of type, scope and depth.

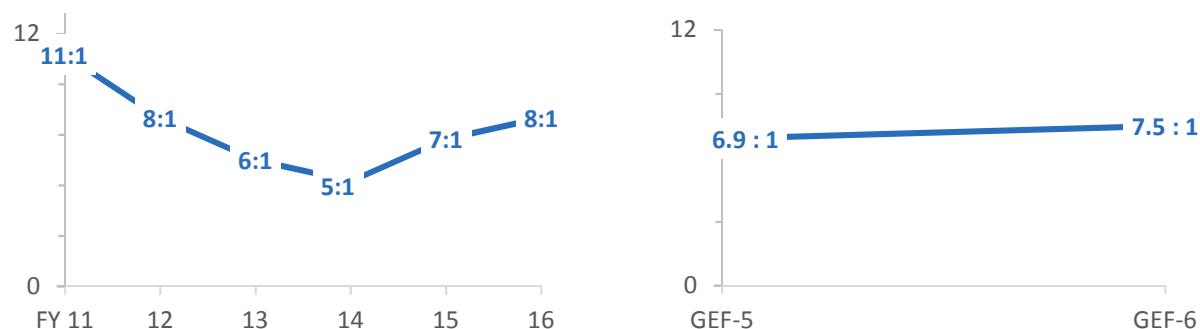
¹⁴ The implementation and monitoring analysis is based on a review of 151 mid-term reviews and terminal evaluations that were submitted by GEF Agencies in FY15. FY16 mid-term reviews and terminal evaluations are due by December 2016.

¹⁵ Only select components of these projects involve indigenous peoples.

Corporate Efficiency and Effectiveness (continued)

Co-Financing Ratio

This section displays the ratio of the cumulative project co-financing for GEF grants in GEF-5 and GEF-6 through FY16. The overall GEF-6 portfolio encourages a co-financing ratio of 6:1.

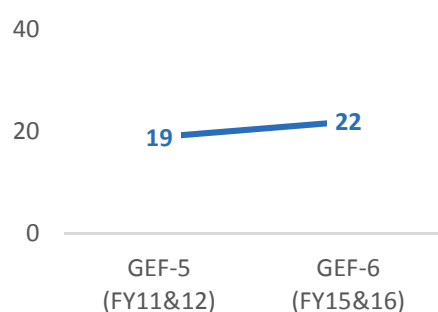


Corporate Efficiency and Effectiveness - GEF Secretariat

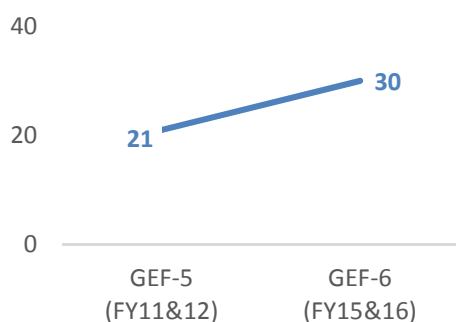
GEF Outreach

This analysis is based on data from the Country Support Program. Data from the first two years of GEF-6 are compared with the data from the corresponding financial years in GEF-5. The Country Support Program is the main tool for carrying out the Country Relations Strategy, which includes the following components.

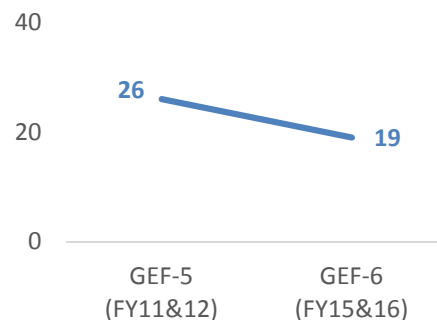
Number of Expanded Constituency Workshops



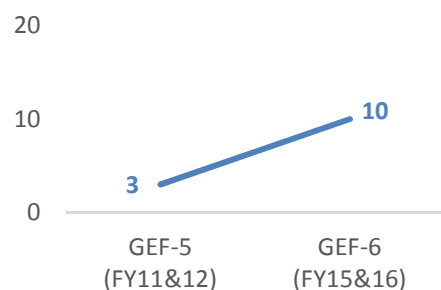
Number of National Portfolio Formulation Exercises



Number of Constituency Meetings¹⁶



Number of National Dialogues

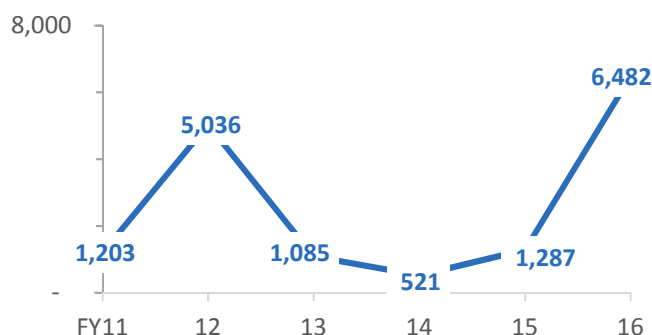


¹⁶ The number of Constituency Meetings depends on the requests from Council members, so their frequency varies in different time periods.

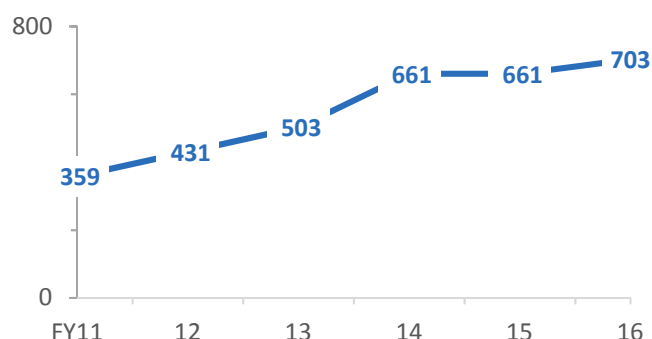
GEF Outreach

The graphs below display the number of GEF stories or mentions in the media and the number of users of GEF electronic media. The media hits or GEF stories are the number of news outlets (print or online) that mentioned the GEF during that time period. The numbers also include posts on the GEF website. The number of electronic visitors is the sum of GEF website visitors, Facebook likes, Twitter followers and YouTube subscribers.

● Number of GEF Stories and Media-mentions

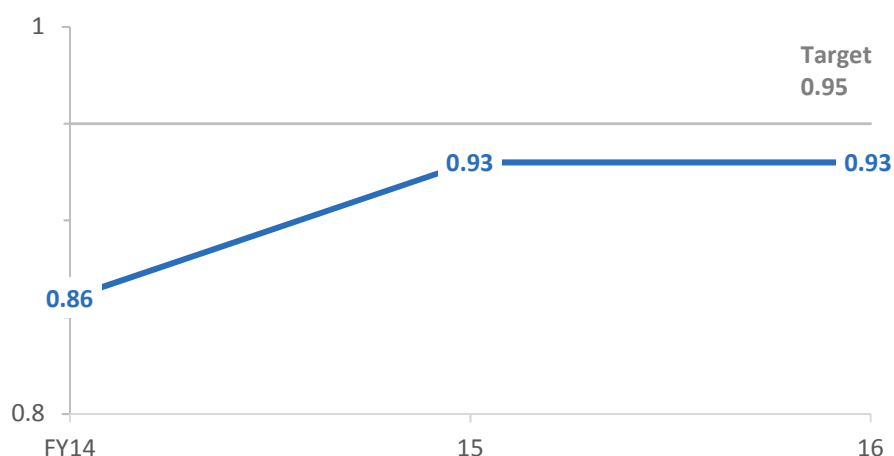


● Number of Users of GEF Electronic Media (thousands)



● Diversity in the GEF Secretariat Staffing ¹⁷

The Diversity Index follows the definition of the World Bank; it is a normalized, weighted average of several indicators. The Diversity Index = (0.4 x the share of staff from Sub-Saharan Africa) + (0.2 x the share of professional female staff) + (0.2 x the share of part II country managers) + (0.2 x the share of female managers). The World Bank target is to reach and maintain a staff diversity index of at least 0.95 by FY17.



¹⁷ The Staff Diversity Index has only been available since FY14. Before then the GEF Secretariat used other indicators to capture diversity in the GEF Secretariat staffing.