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**GEF IEO ANNUAL PERFORMANCE REPORT 2023**  
(Prepared by the Independent Evaluation Office of the GEF)

## ABBREVIATIONS

ADB	Asian Development Bank
AfDB	African Development Bank
AFR	Africa
APR	GEF IEO Annual Performance Report
CBIT	Capacity-Building Initiative for Transparency
EBRD	European Bank for Reconstruction and Development
ECA	Europe and Central Asia
FAO	Food and Agricultural Organization of the United Nations
GEF	Global Environment Facility
GEF EO/IEO	Global Environment Facility Independent Evaluation Office
GET	GEF Trust Fund
IDB	Inter-American Development Bank
IFAD	International Fund for Agricultural Development of the United Nations
LAC	Latin America and the Caribbean
LDCF	Least Developed Countries Fund
MAR	Management Action Record
MTR	Midterm review
NPIF	Nagoya Protocol Implementation Fund
PIR	Project implementation report
SCCF	Special Climate Change Fund
SIDS	Small Island developing states
STAP	GEF Scientific and Technical Advisory Panel
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNIDO	United Nations Industrial Development Organization
WB	World Bank
WWF-US	World Wildlife Fund (United States/ International office)

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## EXECUTIVE SUMMARY

1. The Annual Performance Report (APR) of the Global Environment Facility's (GEF) Independent Evaluation Office (IEO) provides an overview of the performance of GEF activities, processes, and factors that affect project performance, quality of monitoring and evaluation systems (M&E), and the Management Action Record (MAR). In addition to these regular features, APR 2023 presents a special study on the use of behavior-change approaches in GEF activities. The IEO's previous evaluations, the GEF-8 Programming Directions, and the guidance from the Scientific and Technical Advisory Panel underscore the importance of behavior change in attaining long-term environmental outcomes. Therefore, the topic is of relevance and importance to the GEF.
2. APR 2023 reports on the results and implementation of a cumulative portfolio of 2,134 completed GEF projects accounting for \$9.36 billion in GEF funding<sup>1</sup> and at least \$59.89 billion in materialized cofinancing. The report on performance is based on this cumulative portfolio of 2,134 projects. This cumulative portfolio includes 328 completed projects that were added after the completion of APR 2021, the last APR. These 328 projects which constitute the APR 2023 cohort—account for \$1.36 billion in GEF funding and \$10.15 billion in materialized cofinancing.
3. The analysis on behavior change assesses the use of behavior-change approaches in 28 completed GEF-6 projects. It also assesses use of these approaches in the design of 25 GEF-7 projects that are self-classified by the Agencies as targeted at behavior change. MAR 2023 reports the progress in implementation of management's action plan for 41 recommendations from 14 evaluations that were presented to the GEF or Least Developed Countries Fund (LDCF)/Special Climate Change Fund (SCCF) Council.

### 1. Findings

#### *Performance of completed projects*

4. Projects in the APR 2023 cohort maintain the strong performance record in achieving intended outcomes. Eighty-one percent of the projects in the cumulative closed portfolio, and 87 percent of the projects in the APR 2023 cohort, were rated in the satisfactory range for their outcomes. Eighty-eight percent of completed projects that were approved in GEF-5 and GEF-6 are rated in the satisfactory range, which is significantly higher than the projects approved in the preceding periods. This suggests an improvement, although this may change for GEF-6 because only about 10 percent of the projects from the period have been completed so far. While the COVID-19 pandemic affected results of 28 percent of projects that were partially implemented during the pandemic, it did not affect their outcome ratings because of adaptive management by the Agencies.
5. Although the majority of GEF projects are likely to sustain their outcomes, more than a third face considerable risks to sustainability. Sixty-three percent of the rated projects in the cumulative portfolio, and 64 percent of the APR 2023 cohort, were rated as likely to be sustainable. In most regions, the percentage of projects that are rated in the likely range for sustainability has remained fairly constant over GEF phases. However, global and interregional projects show substantial

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<sup>1</sup> Inclusive of project preparation grants but excluding project fees of GEF Agencies.

improvement in their sustainability ratings. Of the projects that were implemented in part during the COVID-19 pandemic, 63 percent were rated in the likely range for sustainability, which is not statistically different from projects that were completed from 2017 onwards but before the onset of the pandemic.

6. Project implementation ratings for the APR 2023 cohort show consistency over time. GEF Agency performance was assessed to be in the satisfactory range for 81 percent of the projects in the cumulative portfolio, and 85 percent of the APR 2023 cohort projects. Quality of execution by the partner organizations on the ground is rated in the satisfactory range for 81 percent of the projects of the cumulative portfolio, similar to the 80 percent for the APR2023 cohort.

7. Although, on average materialization of cofinancing for the APR 2023 cohort was higher than promised, the percentage of projects that fully achieved the expected cofinancing was somewhat lower. Cumulatively, materialized cofinancing in 62 percent of the projects fully meets or exceeds the amount promised at project approval/endorsement. In comparison, cofinancing commitments were fully met or exceeded in 48 percent of the APR 2023 cohort projects, representing a drop of 14 percentage points.

#### *Behavior change*

8. Behavior change was necessary for generating environmental benefits in a majority of GEF projects that explicitly aim to promote it. In some projects that included interventions such as digital tools to improve environmental reporting, behavior change was not necessary for generating the intended environmental benefits.

9. Most projects targeted at least two types of behavior change within the same project. Mainstreaming an approach, such as through the adoption of management plans and frameworks, was the most common type of behavior change targeted. Use of practices or technologies that directly resulted in environmental benefits was the next most common. Climate change adaptation was the most common area of intervention for behavior change in GEF-6 projects; sustainable land management was most common in GEF-7 projects.

10. Most projects targeted at least two stakeholder groups simultaneously. National government officials and staff were the most frequently targeted group of stakeholders for behavior change in GEF-6 projects. In GEF-7 projects, both local governments and individual community members and households were the most frequently targeted.

11. Sixteen of 28 completed projects had explicit behavior-change indicators; all except one reported achieving some level of behavior change. Despite high levels of achievement reported, it was not always clear what adoption meant in concrete terms or how it was measured.

12. Of the 20 projects that had sustainability ratings, 60 percent were rated likely to be sustainable. Availability of funding, as well as the combination of appropriate laws and logistical support, were most associated with an intervention's likelihood to be sustained. Projects rated to be sustainable had more enabling conditions in place at project end compared to those rated unsustainable.

13. Providing information through awareness raising and training was by far the most common approach to promote behavior change. Behavior-change approaches were effective when they addressed the needs, motivations, and barriers of multiple key stakeholder groups across the system. Conversely, not addressing these was cited by terminal evaluations as reasons for lack of success.

14. Projects with successful behavior-change outcomes used a highly participatory, systems-based approach to stakeholder engagement, which allowed them to identify and directly respond to stakeholder needs. Projects that targeted but did not achieve behavior-change outcomes lacked country counterparts, which led to challenges in engaging stakeholders, assessing needs, and gaining trust. Stakeholders were more motivated to change their behavior when they saw the benefits of adopting interventions and/or felt the costs of not doing so. Behavior change was not sustained when projects did not address barriers to adoption in different parts of the system. By first assessing stakeholder needs, successful projects were able to design interventions that removed barriers to adoption.

15. Almost 45 percent of projects that intended to promote behavior change did not have indicators to track it. Because of this, the extent of behavior change could not be assessed. Some projects indirectly tracked behavior change by reporting on a combination of linked outcome and output indicators. However, these indicators did not allow projects to assess how well they addressed the needs, motivations, and barriers of target stakeholders, which is crucial for the sustainability and scaling-up of outcomes. In addition, capacity-development projects that only tracked output indicators missed the opportunity to track their effectiveness in achieving broader project objectives.

#### *Project monitoring and evaluation*

16. Sixty-nine percent of the projects are rated in the satisfactory range for M&E design, and 66 percent for implementation of M&E plans. The corresponding figures for the APR 2023 cohort are 84 percent rated in the satisfactory range for M&E design and 74 percent for M&E implementation, suggesting an improvement in project M&E.

17. The review of results indicators shows that all projects use indicators to measure achievement of each of the project objectives and expected outcomes. The listed indicators are adequate to measure the corresponding objectives and expected outcomes in 88 percent of instances. Projects measure and report on the results indicators in 86 percent of instances and appear to give more attention to reporting data on core indicators. Although a vast majority of results indicators are reported on at completion, only a third of the projects report measurement on all the results indicators. When actual achievement is reported, in almost all instances, projects use units that are consistent with those used in the M&E plan submitted at project appraisal.

#### *Management Action Record (MAR)*

18. As a follow-up to the Professional Peer Review of the Independent Evaluation Function of the Global Environment Facility (GEF IEO 2019b), the GEF IEO, in consultation with the GEF Secretariat and the Council, revised the MAR process. MAR 2023 is the first MAR to be prepared



after incorporating the changes that resulted from the decisions taken in June 2021 and November 2022. MAR 2023 covers 41 recommendations from 14 evaluations prepared by the GEF IEO.

19. The IEO and the management provided identical ratings on progress in implementation of management's action plan in majority cases. In cases where the ratings differed, the IEO assessed that, based on the available evidence, actual progress in implementation of management's action plan was somewhat lower than indicated by management's self-rating.

Of the 41 recommendations covered in MAR 2023, progress in implementation of management's action plan was rated for 33. Of those where progress in implementation was rated, for 55 percent it was rated high or substantial (18 out of 33). For the remainder, the progress in implementation of management's action plan was rated medium or low/negligible. Ten recommendations will graduate from the MAR because of high progress in the implementation of management's action plan. Three will retire because by 2024 these recommendations will have been in the MAR for more than five years, the time threshold after which recommendations are automatically retired from the MAR. The remainder have been retained in the MAR for the next year.

## 2. Conclusions

20. Based on the analysis, the conclusions of APR 2023 are:

- (a). The APR 2023 cohort shows strong performance with satisfactory outcome ratings for a vast majority of projects.
- (b). Over a third of projects face substantial risks to sustainability. About two-thirds are likely to sustain outcomes, but sustainability ratings vary across regions and project periods.
- (c). GEF Agency performance in implementation, and partner organization performance in execution, is rated satisfactory for a majority of the projects in the APR 2023 cohort.
- (d). The majority of projects meet or exceed cofinancing commitments. There has been some drop in the percentage of projects of the APR 2023 cohort for which the cofinancing commitments are fully met relative to the set of cumulative projects.
- (e). Ratings for the quality of M&E design and implementation for the APR 2023 cohort is in the satisfactory range for majority projects. While most projects use indicators, a majority do not fully report on all the indicators.
- (f). Behavior change is crucial for generating environmental benefits. Successful projects employ participatory and systems-based approaches for stakeholder engagement, but the lack of indicators monitoring behavior-change often hinders the assessment of behavior change
- (g). Progress in implementation of management's action plan is rated high or substantial for the majority of recommendations covered in the MAR.

## I. INTRODUCTION

1. The Annual Performance Report (APR) of the Global Environment Facility's (GEF) Independent Evaluation Offices (IEO) provides an overview of the performance of GEF activities, processes, and factors that affect performance, quality of monitoring and evaluations systems (M&E), and the management action record (MAR). In addition to these regular features, APR 2023 presents a special study on the use of behavior-change approaches in GEF activities. Several evaluations conducted by the IEO have highlighted the importance of behavior change in achieving long-term environmental results and improving sustainability. Further, the GEF-8 Programming Directions recognizes the need to target behavior change, especially within the framework of the integrated and impact programs. Therefore, understanding how behavior change is being pursued and promoted through GEF activities is relevant and important.
2. APR 2023 reports on the results and implementation of a cumulative portfolio of 2,134 completed GEF projects that account for \$9.36 billion in GEF funding<sup>2</sup> and at least \$59.89 billion in materialized cofinancing. Agencies submitted terminal evaluations of these projects through September 2022. The GEF has financed these projects through the GEF Trust Fund, the Least Developed Countries Fund (LDCF), the Special Climate Change Fund (SCCF), the Capacity-Building Initiative for Transparency (CBIT), and the Nagoya Protocol Implementation Fund (NPIF).
3. The cumulative portfolio includes 328 completed projects that were added after the completion of APR 2021, the last APR. From here on, these 328 projects are collectively referred to as the APR 2023 cohort. The APR 2023 cohort accounts for \$1.36 billion in GEF funding and \$10.15 billion in materialized cofinancing. Compared to \$7.6 of cofinancing promised per dollar of GEF grant at CEO approval/endorsement, the projects generated \$12.8 per dollar of GEF grant.
4. Chapter 2 presents an assessment of the performance of the 2,134 completed GEF projects. It discusses trends in outcome, sustainability, and the quality of implementation and execution ratings. It also assesses performance in the materialization of cofinancing. Special attention is given to the 328 projects in the APR 2023 cohort.
5. Chapter 3 presents a special study on the use of behavior-change approaches in GEF projects. The study assesses the extent to which GEF projects approved from GEF-6 onwards explicitly pursue and promote behavior change. It discusses how GEF interventions have used and can better use behavior-change approaches to achieve environmental objectives.
6. Chapter 4 presents an analysis of the trends in ratings of the quality of project M&E design and implementation. It also presents an assessment of the extent to which M&E plans specify results indicators for project objectives and outcomes, and report on the measured changes in the indicators at the end of implementation. It also assesses whether the specified indicators were adequate, and whether results were measured and reported.

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<sup>2</sup> Inclusive of project preparation grants, but excluding project fees of GEF Agencies.

7. Chapter 5 provides a summary account of the MAR, which is the main accountability mechanism in the GEF to monitor and report on the progress in implementation of the GEF IEO's recommendations to the GEF Council or to the LDCF/SCCF Council. MAR 2023 reports on the progress in implementation of management's action plan for 41 recommendations from 14 evaluations that were presented to the GEF or LDCF Council.

## II. PERFORMANCE OF THE GEF PORTFOLIO

8. This chapter presents an analysis of the portfolio and the performance of completed GEF projects in terms of outcomes, sustainability, implementation, execution, and cofinancing. The analysis is primarily based on the information presented in terminal evaluations and validated by the IEO.

### 1. Methodology

#### *Questions*

9. The assessment of project performance answers the following questions:

- (a). Have projects achieved their expected outcomes?
- (b). Are project outcomes likely to be sustained?
- (c). How well were the projects implemented and executed?
- (d). To what extent did the expected cofinancing materialize?

#### *Portfolio description of the completed projects*

10. The cumulative portfolio covered in APR 2023 includes 2,134 completed GEF projects for which terminal evaluations were submitted to the GEF IEO through September 2022. Together these projects account for \$9.36 billion in GEF funding and at least \$59.89 billion in materialized cofinancing. Of the 2,134 projects in the cumulative portfolio, terminal evaluations for 328 were submitted after the closing of APR 2021.<sup>3</sup> These 328 projects, collectively referred to as the APR 2023 cohort in this report, account for \$1.36 billion in GEF funding and at least \$16.02 billion in reported materialized cofinancing. Annex A provides a list of projects in the APR 2023 cohort.

11. The APR 2023 cohort is like the cumulative portfolio in terms of projects size: Full-size projects account for 69 percent of the APR 2023 cohort and 65 percent of the remainder of the portfolio.<sup>4</sup> Projects in the APR 2023 cohort include a higher representation of projects that were approved during the more recent replenishment periods than the cumulative portfolio

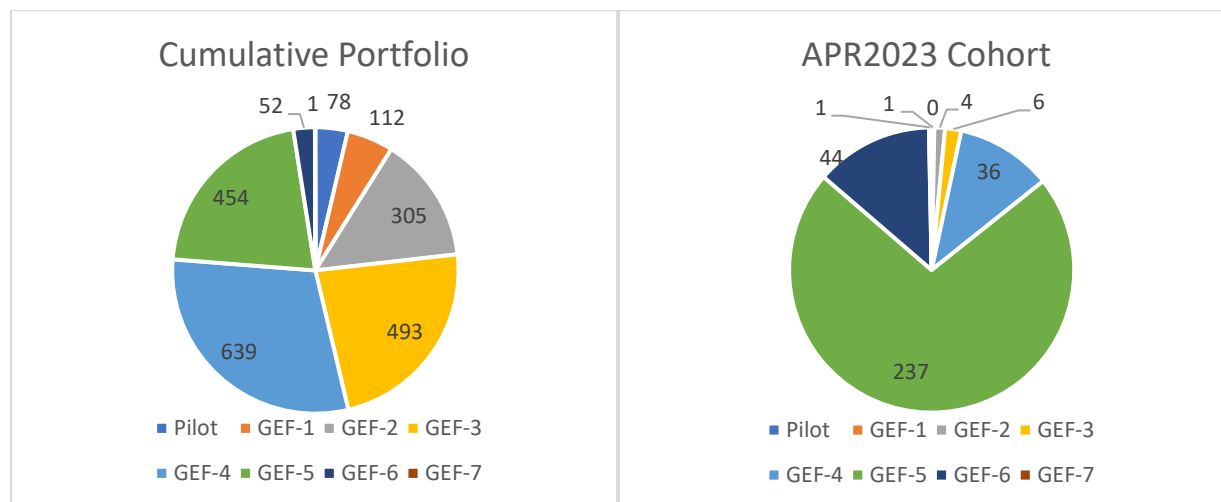
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<sup>3</sup> APR was not prepared in 2022.

<sup>4</sup> Enabling activities with \$2.0 million or less in GEF funding are included as medium-size projects (two projects) and those with more than \$2.0 million as full-size projects (nine projects).

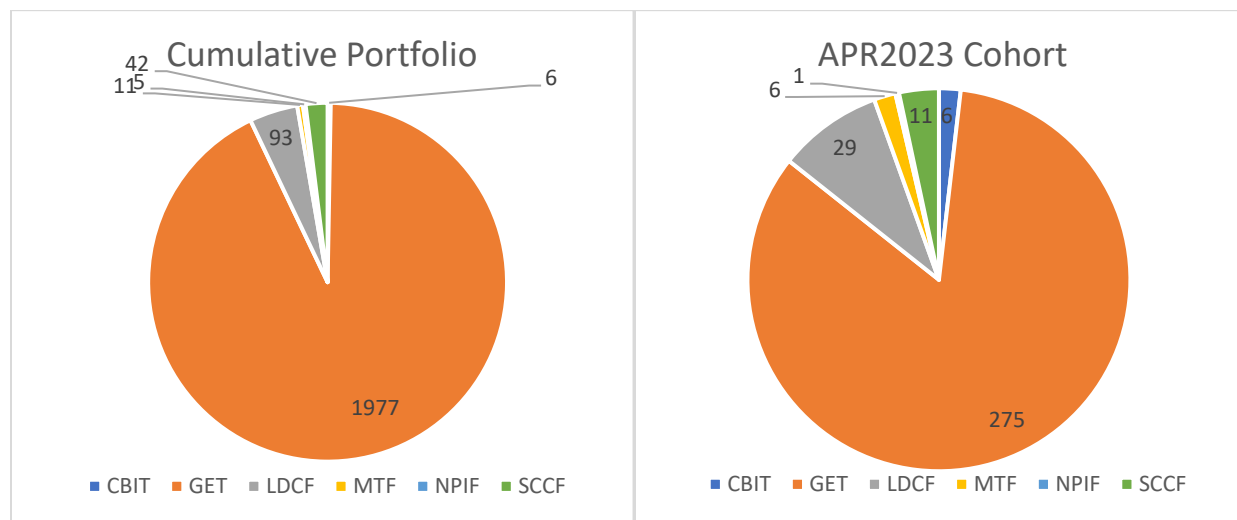
(Figure 1). However, the APR 2023 cohort is different from the cumulative portfolio in several important ways.

Figure 1: Distribution of the projects – by GEF replenishment period



12. Although projects funded through the GEF Trust Fund (GET) account for the majority of projects in both the cumulative portfolio and the APR 2023 cohort, the APR 2023 includes more projects from other trust funds (Figure 2).

Figure 2: Distribution of projects – by source of GEF funding



13. Compared to the cumulative portfolio, the APR 2023 cohort has a lower share of biodiversity projects and a higher share of climate change and multifocal projects (Figure 3). Projects in Europe and Central Asia (ECA) account for a lower share of the APR 2023 cohort than their historical share (Figure 4). One of the reasons for this drop is that several countries from the region graduated from GEF funding during GEF-4 and onwards. The United Nations Development Programme (UNDP; 66 percent, compared to 44 percent) and the Food and

Agriculture Organization of the United Nations (FAO; 8 percent, compared to 2 percent) account for a higher share of the APR 2023 cohort than their relative share in the historical portfolio. The share of the World Bank (13 percent, compared to 27 percent) and the United Nations Environment Programme (UNEP; 4 percent, compared to 11 percent) in the APR 2023 cohort is relatively lower than their respective historical shares (Figure 5). Another point of distinction between the APR 2023 cohort and the other projects in the cumulative portfolio is that at least 55 percent of the projects of the APR 2023 cohort were implemented in part during COVID-19, whereas the latter comprises almost entirely projects that were completed before the pandemic.

Figure 3: Distribution of projects – by focal area

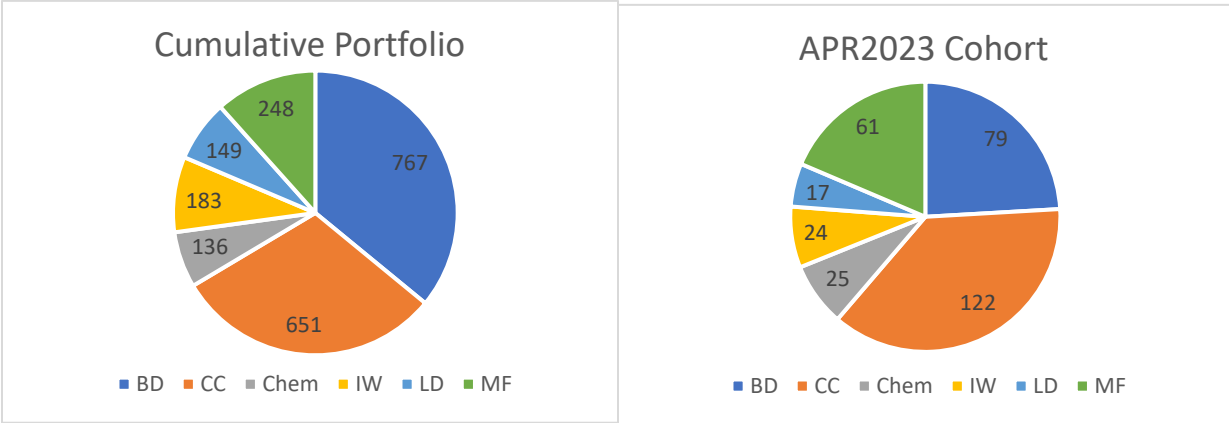


Figure 4: Distribution of projects – by region

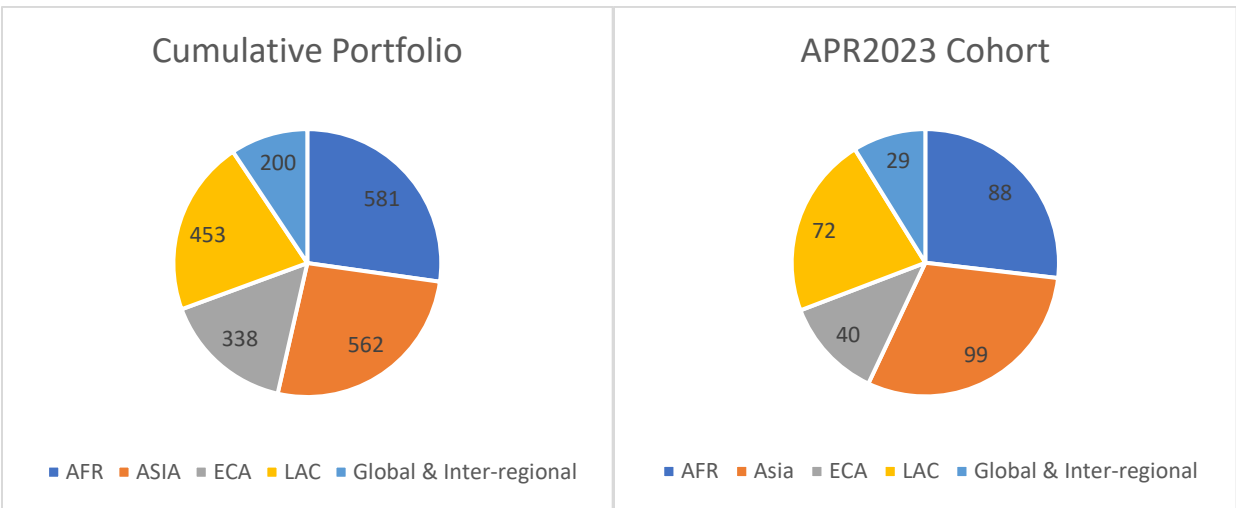
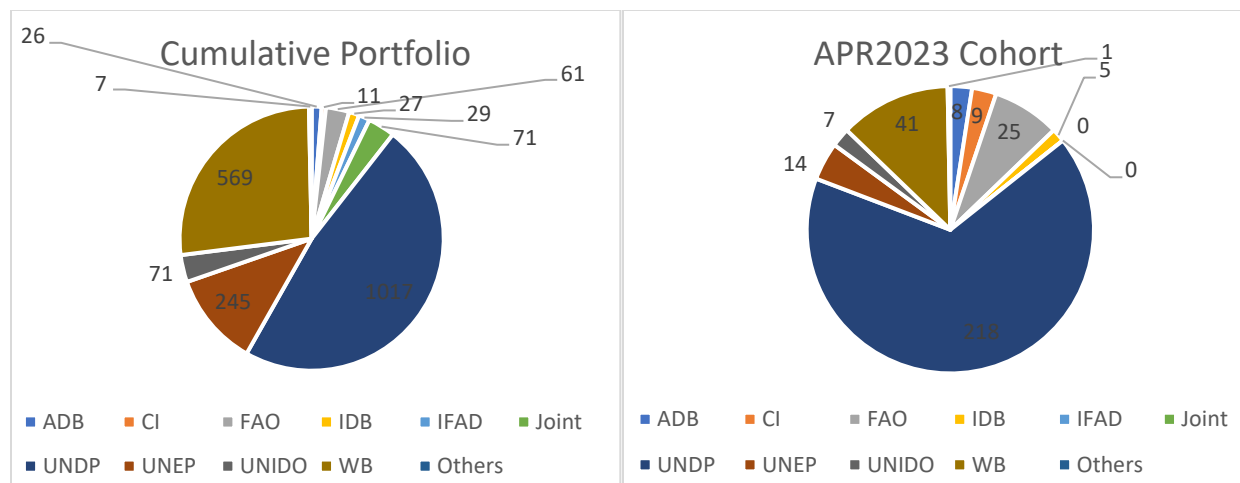


Figure 5: Distribution of projects – by GEF Agency



*Methodological approach*

14. Project performance ratings used for analysis are either provided by the GEF IEO or by the respective evaluation offices of the GEF Agencies. In the case of the latter, the IEO validates the terminal evaluation and provides ratings on performance criteria such as outcome, sustainability, quality of implementation, quality of execution, quality of M&E design, and quality of M&E implementation. The criteria and validation process used by the IEO are described in annexes B and C.

15. The GEF IEO provides performance ratings based on the evidence provided in the terminal evaluation reports, complemented with information presented in project proposal documents, project implementation reports (PIRs), and midterm reviews (MTRs). The IEO reviewers ensure that the ratings are well substantiated and consistent.

16. The GEF IEO accepts the project performance ratings provided by the World Bank’s Independent Evaluation Group (IEG), UNDP Independent Evaluation Office, UNEP Evaluation Office, and International Fund for Agricultural Development of the United Nations (IFAD) Independent Office of Evaluation because there is sufficient performance history to show that the ratings provided by these evaluation units are consistent with those provided by the IEO, and the IEO has assessed their validation process to be adequate.<sup>5</sup> These Agencies use rating approaches that are broadly compatible with the approach used by the GEF IEO, although

<sup>5</sup> The Report on the Review of the GEF Terminal Evaluation Validation Process (GEF IEO 2020c) concluded that the United Nations Industrial Development Organization (UNIDO), FAO, and IFAD were well positioned to graduate from the GEF IEO validations. The GEF IEO agreed with the conclusion in principle. It has graduated the terminal evaluations submitted by IFAD from the validation process and will accept the validation reports prepared by IFAD’s Independent Office of Evaluation. The GEF IEO had planned to extend the graduation from validation of terminal evaluations submitted by FAO but had to defer because its Office of Evaluation shifted the responsibility of conducting the terminal evaluations to the operations unit. The GEF IEO is in contact with the Office of Evaluation and Internal Oversight at UNIDO to explore how it may take on validations of the terminal evaluations for the UNIDO projects.

minor differences are also present (GEF IEO 2021d). Project performance ratings from the evaluation offices of these Agencies are accepted only if these are available within two years of completion of a project's terminal evaluation. In cases where these ratings are not available within the two-year timeframe, the GEF IEO validates the terminal evaluation and uses its ratings to report on a project's performance. To track whether the ratings provided by these Agency evaluation units continue to be consistent with the GEF IEO ratings, the Office validates a random sample of 10 percent of these terminal evaluations and compares its outcome ratings with those provided by the Agency evaluation units. Overall, there has been little difference in ratings provided by the GEF IEO and the evaluation offices of these Agencies. The GEF IEO validates all terminal evaluations submitted by other Agencies<sup>6</sup> and provides performance ratings for the corresponding projects. Of the projects covered in APR 2023, performance ratings for 1,200 projects (56 percent) have been provided by the Agency evaluation units and for 934 (44 percent) by the GEF IEO. For the APR 2023 cohort, ratings for 263 projects (80 percent) have been provided by the Agency evaluation units and for 65 projects (20 percent) by the GEF IEO.

17. The data on materialization of cofinancing is based on the information provided in the terminal evaluation reports. Cofinancing figures reported in a terminal evaluation are crosschecked with corroborating information provided in the MTR and the PIRs. Where inconsistent and incomplete information is provided, the GEF IEO uses data from PIRs to fill the information gaps. For projects where the terminal evaluation report and PIRs of a project do not provide sufficient information on cofinancing, the GEF IEO reports it as unable to assess.

## 2. Findings

### *Outcomes*

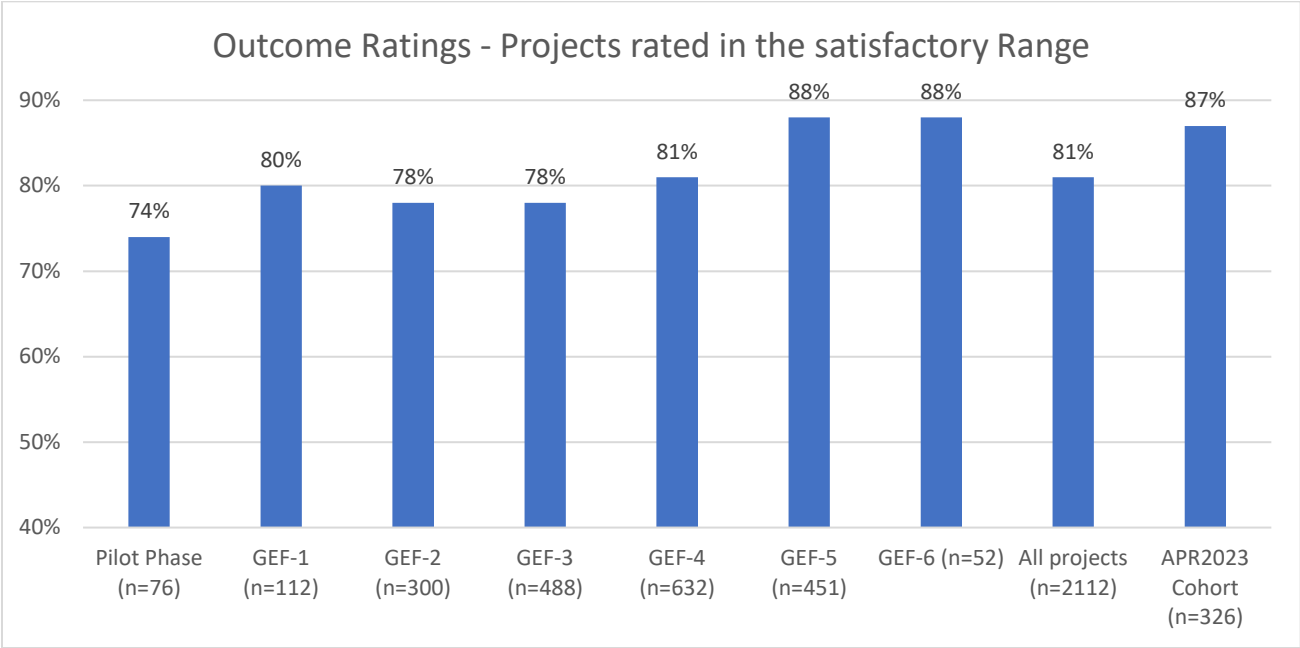
18. **Projects in the APR 2023 cohort maintain the strong performance record in achieving intended outcomes.** Eighty-one percent of the projects in the cumulative closed portfolio, and 87 percent of the projects in the APR 2023 cohort, were rated in the satisfactory range for their outcomes (Figure 6). Of the projects that were approved in GEF-5 and GEF-6, a higher percentage were rated in the satisfactory range compared with those approved in the preceding periods with the difference being statistically significant. Data for projects approved from GEF-2 to GEF-5 show that a project that is completed within four years of the end of its GEF-period of approval, is 6 percent more likely to be rated in the satisfactory range than a project that is completed after the threshold (85 percent compared to 79 percent). The difference is statistically significant. The reason for this pattern is that the projects that face

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<sup>6</sup> The Agencies for which the GEF IEO has validated all the terminal evaluations are the Asian Development Bank (ADB), the African Development Bank (AfDB), Conservation International (CI), the European Bank for Reconstruction and Development (EBRD), FAO, the Inter-American Development Bank (IDB), the International Union for Conservation of Nature (IUCN), UNIDO, and the World Wildlife Fund (United States/International Office; WWF-US). Through September 2022, the West African Development Bank (BOAD), the Development Bank of Latin America (CAF), the Brazilian Biodiversity Fund (FUNBIO), the Development Bank of Southern Africa (DBSA), and the Foreign Economic Cooperation Office, Ministry of Environmental Protection of China (FECO) had not submitted a terminal evaluation.

implementation challenges are more likely to experience delayed completion and achieve lower outcome ratings. Of the GEF-6 projects that involve at least \$0.5 million in GEF funding and have started implementation, so far only 10 percent have been completed. As more projects are completed, the percentage of GEF-6 projects rated in the satisfactory range for outcome may change. Nonetheless, the performance so far suggests that the GEF-6 projects will at least match the performance of the preceding periods.

Figure 6: Trends in outcome rating



19. **Differences in outcome ratings are observed across regions, country groups, focal areas, and Agencies (Figure 7).** In the cumulative portfolio, a statistically higher percentage of global and interregional<sup>7</sup> projects is rated in the satisfactory range for outcomes than regional and national projects. A statistically lower percentage of projects in the cumulative portfolios of Africa (76 percent), least developed countries (LDCs; 74 percent), and small island developing states (SIDS; 68 percent) is rated in the satisfactory range than projects in other regions and country groups.

20. **Percentage of projects rated in the satisfactory range for outcomes differs across Agencies, although differences in their portfolios makes comparisons difficult.** In the cumulative portfolio, a statistically higher percentage of projects implemented by UNEP (86 percent) is rated in the satisfactory range than projects from other Agencies (at 95 percent confidence level). In contrast a lower percentage of projects by the World Bank is rated in the satisfactory range. Within the APR 2023 cohort, such differences are not apparent. There are considerable differences in project portfolios of Agencies that need to be accounted for when considering the ratings divergence. For example, 37 percent of the projects implemented by

<sup>7</sup> Interregional projects are those that cover a few neighboring and/or proximate countries, but these countries are spread across two or more regions.



UNEP are global projects, whereas these projects account for only 5 percent of the remainder of the portfolio. The difference in outcome ratings of UNEP-implemented projects is not statistically significant when the difference due to global projects is accounted for. Similarly, project portfolios of the Agencies differ in terms of project size, countries, and focal areas, each of which may affect the risk profile and performance of projects.

Figure 7: Projects rated in the satisfactory range – by region, country group, focal area, and Agency



**21. Implementation during the COVID-19 pandemic did not have a significant effect on the outcome ratings of completed projects.** The Evaluation of the Effects of the COVID-19 Pandemic on GEF Activities (GEF IEO 2022a) found that limitations imposed by the pandemic adversely affected the achievement of results in at least 28 percent of the projects, and that projects in the biodiversity focal area were more likely to be affected than in other focal areas. The evaluation also found that pandemic-related delays contributed to projects' not meeting

environmental targets by project end. Results of the projects in the biodiversity focal area—especially those focused on protected areas—were more likely to be affected. However, the evaluation noted that the pandemic mostly affected projects that were already facing challenges during implementation, i.e., it made a bad situation worse for these projects. In most instances, projects were able to mitigate the effects through adaptive management and strong collaboration among partners. The outcome ratings of the projects covered in APR 2023 corroborate the assessment of the evaluation. Of the projects that were implemented in part during the COVID-19 pandemic, 86 percent were rated in the satisfactory range for outcomes.

**22. Projects in the APR 2023 cohort provide examples of effective and ineffective projects.**

At the launch of the Technology Transfer for Grid-Connected Rooftop Photovoltaic Systems project (GEF ID 4052, UNDP), the Seychelles had only three small photovoltaic on-grid installations. Before the project closed, they had 181 new on-grid photovoltaic installations, which was substantially higher than the target of 30 installations. It achieved 2,448 tons of CO<sub>2eq</sub> emissions abatement, surpassing its target of 1,512 tons CO<sub>2eq</sub>. The project served as a catalyst for photovoltaic development in Seychelles and worked with relevant government, private sector, and nongovernment stakeholders interested in photovoltaic development, as well as with other international donors. The terminal evaluation identified strong and effective country ownership, and appropriate timing as key to the project's success. The project came when the country had adopted a renewable energy policy and targets but had not yet installed photovoltaic infrastructure. The new technology was adopted faster than expected because of strong incentives provided by a net metering<sup>8</sup> scheme that, while not yet formalized in legislation, had been approved by the government and effectively implemented by the country's public utilities corporation. All relevant stakeholders were found to work effectively toward meeting the country's policy goal of running on 15 percent renewable energy by 2030.

23. Another example of a project that achieved its outcomes is the PCB Management in the Power Sector Project (GEF ID 4108, World Bank). The project objective was to safely dispose of high-risk polychlorinated biphenyls (PCBs) and improve the inventory management of transformers in the power sector in Lebanon. At completion of implementation, the project had achieved 389 tons of PCB disposal against the target of 300 tons and had inventoried 22,983 transformers against a target of 21,000. It had strengthened the institutional capacity of the country to manage PCBs in the power sector in an environmentally sound manner.

24. The Kathmandu Sustainable Urban Transport Project (GEF ID 4130, ADB) in Nepal is an example of an ineffective project. The project sought to improve the public transport system in the capital city but failed to achieve most of its expected outcomes. For example, one of two pilot bus-route services was established, and only 17 of 155 low-emission buses materialized. The project had planned to form cooperatives and franchise the low-emission buses, but did not anticipate the unwillingness of transport operators to participate in the cooperatives. The procurement and contract management capacity of the agencies did not match the complexity of the project. The terminal evaluation observed inadequate ownership in all government

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<sup>8</sup> Net metering is a mechanism to credit the solar energy system owners for the electricity that they add to the grid.

agencies involved, which resulted in a lack of budget and human resources allocated to carry out key project activities. The poor conditions of the existing bus-operation infrastructure affected achievement of the targets for greenhouse gas emissions abatement.

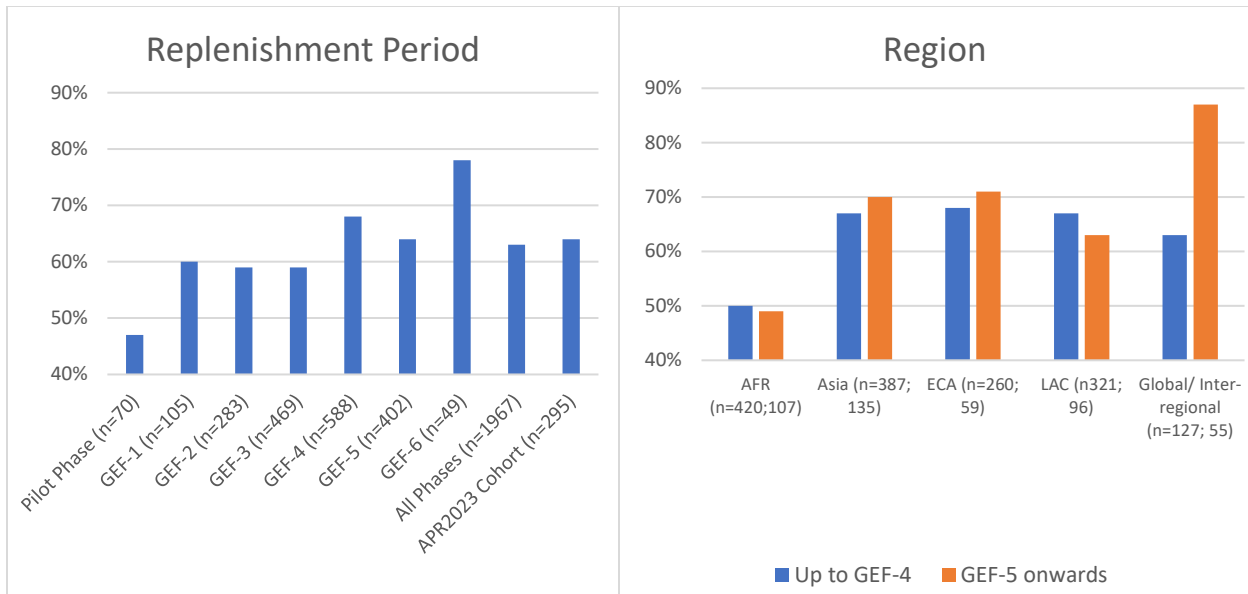
Several of the factors that determine the achievement of environmental outcomes were linked to behavior-change outcomes, which are discussed in depth in [chapter 3](#).

### *Sustainability*

25. **Although the majority of GEF projects are likely to sustain their outcomes, about a third face considerable risks to sustainability.** Sixty-three percent of the rated projects in the cumulative portfolio, and 64 percent of the APR 2023 cohort, were rated as likely to be sustainable (Figure 8). Although 78 percent of completed GEF-6 projects are rated as likely to be sustainable, it is too early to conclude that this high level will be maintained when more projects from this period are completed. For most regions, the percentage of projects approved in GEF-4 or earlier that are rated in the likely range for sustainability is in the same ballpark as those approved in GEF-5 or later. However, global and interregional projects show substantial improvement in their sustainability ratings.

26. **Although the risks to sustainability increased because of the pandemic, overall, it did not make a significant or substantial difference in the sustainability ratings.** The Evaluation of the Effects of the COVID-19 Pandemic on GEF Activities (GEF IEO 2022a) noted that the outcomes of several projects faced increased risks because of the pandemic. The evaluation found that risks increased because governments, private sector organizations, and local communities prioritized health and economic concerns over environmental objectives. As the intensity of the pandemic has reduced, these risks have also reduced. Of the projects covered in APRs that were completed from 2017 onwards, 63 percent of those that were implemented in part during the COVID-19 pandemic, and 65 percent of those that were not, were rated in the likely range for sustainability. The difference in ratings for these two groups is not statistically significant.

Figure 8: Projects rated at completion as likely to sustain their outcomes – by GEF replenishment period and region



27. **Sustainability was rated as likely where a project had already made substantial progress in achieving its long-term objectives and was managing the risks effectively.** For example, a climate-resilient agriculture project (GEF ID 5014, FAO) in Burkina Faso was reported to have contributed to the sustainable management of 20,433 hectares of cultivated land and pasture by supporting farmer field schools and village savings and loan associations. The terminal evaluation noted that the project’s support of both-- the farmer field schools and Village Savings Loan Associations-- was a concrete response to the needs of beneficiaries. The main risk to sustainability was land tenure insecurity in some communities, which was likely to make owners withdraw use of the land for climate-resilient agro-silvopastoral practices. The project conducted land negotiation processes to mitigate this risk. The security crisis in the country also posed risks to project implementation and sustainability, to which the project adapted by mobilizing security plans and specific implementation strategies. By establishing an interministerial mechanism, it also successfully mainstreamed the farmer field schools and adoption of the new practices in several government agencies.

28. **There were other instances where risks to sustainability were aggravated because of project design weaknesses, weak implementation, or a challenging operational context.** For example, a sustainable land and forest management (SLM/SFM) project in Namibia (GEF ID 4832, UNDP) was designed based on previous GEF and non-GEF projects, which were said to have influenced the mainstreaming of SLM into national development policies. At project completion, the project failed to achieve most of its expected outcomes. Risks to achievement of the project objective of maintaining dry forests and their ecosystem goods and services in 13 community forest areas remain high. These include high financial risks because of low levels of government support for forestry sector, limited capacities of the Department of Forestry to access donor support, and low potential for income through timber permits. These also include institutional risks such as weak capacities of the community forest management committees, which are not able to manage the commons effectively leading to overgrazing and land

degradation. Another example is the Kathmandu Sustainable Urban Transport Project (GEF ID 4130, ADB) in Nepal, which faced high risks to sustainability at project completion. The revenue stream of the pilot routes was inadequate because of leakages and low bus fares. Similarly, the nonrevenue-generating interventions such as sidewalks, emission testing equipment, and air-quality testing equipment, need sustained budget support from the government. Factors linked to sustaining project outcomes are also linked to sustained behavior change, as discussed in [chapter 3](#).

*Implementation and execution*

29. **Majority of GEF projects were well implemented by the GEF Agencies.** GEF Agency performance was assessed to be in the satisfactory range for 81 percent of the projects in the cumulative portfolio, and 85 percent of the APR 2023 cohort projects (Figure 9). Ratings on quality of implementation assess the performance of GEF Agencies in designing and implementing projects, including their supervision and support of executing partners. There is a steadily improving trend: compared to 79 percent of the completed projects that were approved in GEF-4 or earlier, 88 percent of the completed projects that were approved in GEF-5 or later are rated in the satisfactory range for implementation. The 9 percentage-point difference is statistically significant (Figure 10).

*Figure 9: Percentage of projects rated in the satisfactory range for quality of implementation and execution – by GEF replenishment period*

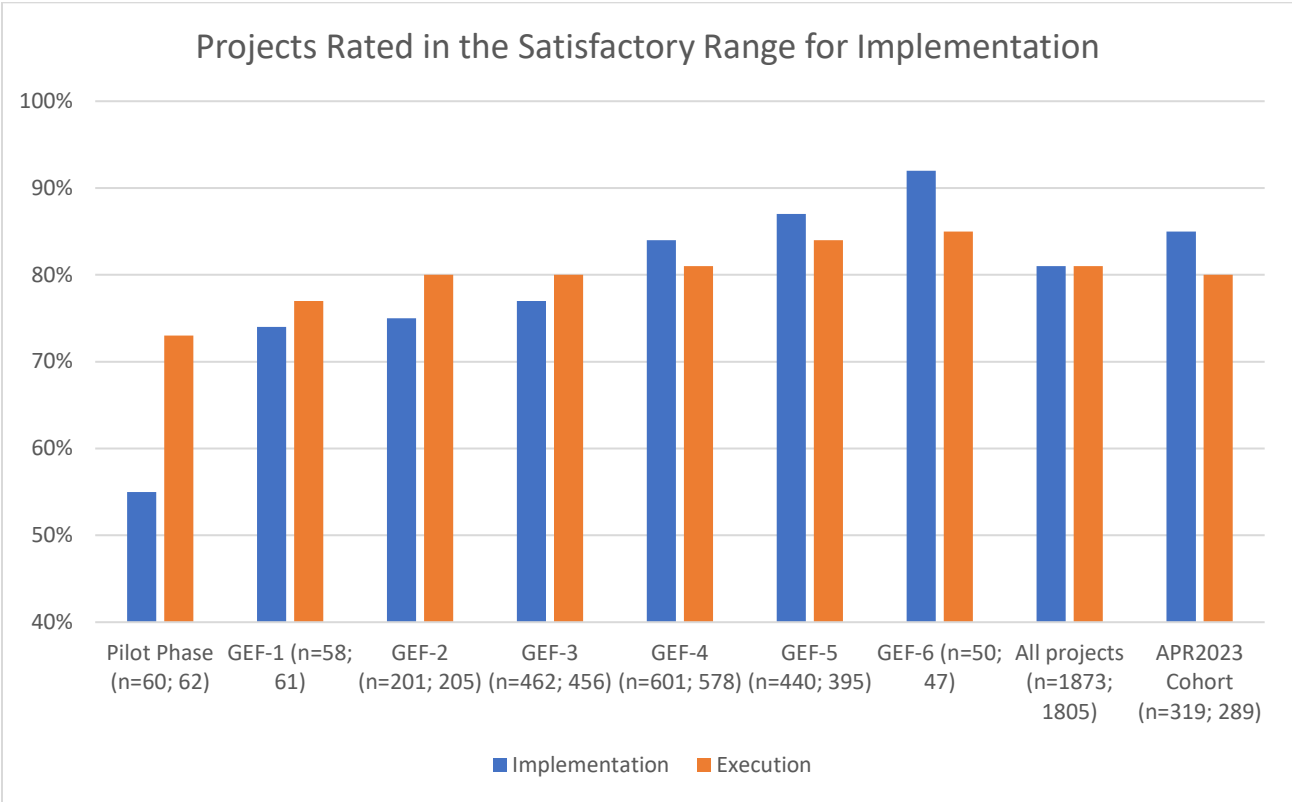
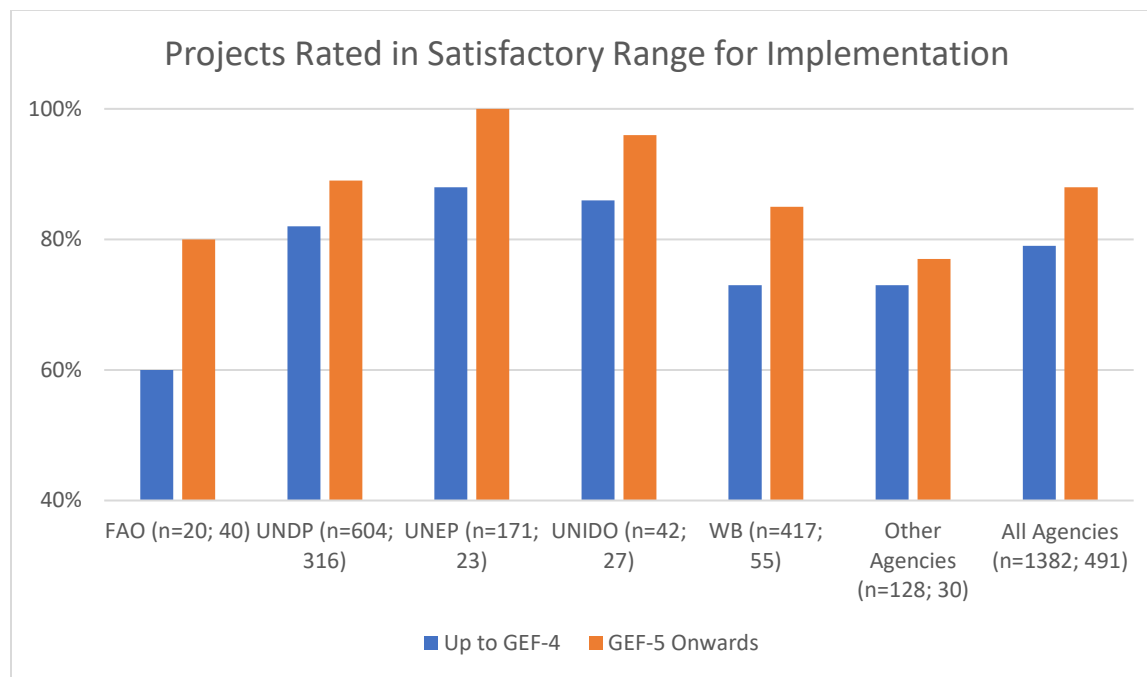


Figure 10: Performance of GEF Agencies in project implementation



30. **The APR 2023 cohort includes several projects that demonstrate strong implementation.** APR 2015 and APR 2021 identified factors such as Agency capacity, oversight and sustained support to the executing partners, adaptive management, staff continuity, and timely disbursement to be important in ensuring effective implementation. The regional project Scaling Up the Implementation of the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA; GEF ID 87725, UNDP) provides an example of strong performance in implementation. The project covered eight GEF-eligible countries, and involved three others that provided cofinancing. It was the fourth phase of a series of projects that supported the establishment of a regional coordinating mechanism linking sustainable development in river basins, coastal and marine areas, and local, national, and regional investment processes. Stakeholders reported that UNDP had been an effective partner in implementation and provided day-to-day program support to the project. The recipient countries found UNDP to be well placed to provide implementation support at country level, noting that UNDP has built trust relationships, and is able to access global and regional programmatic links and partners to bring in funding and resources for country and transboundary cooperation work.

31. **Within the APR 2023 cohort, a few projects were rated unsatisfactory for implementation.** A capacity-building project in Vanuatu (GEF ID 5655, UNDP) was rated unsatisfactory because it was poorly designed and was not managed adaptively. The Implementing Agency's lack of engagement with country partners led to a weak project design. Similar projects in the region had already demonstrated many difficulties in implementation, yet UNDP had not critically assessed the feasibility of the project design. The UNDP country office did not provide adequate support during project implementation, with communications restricted to emails. M&E and quality assurance activities were not implemented.

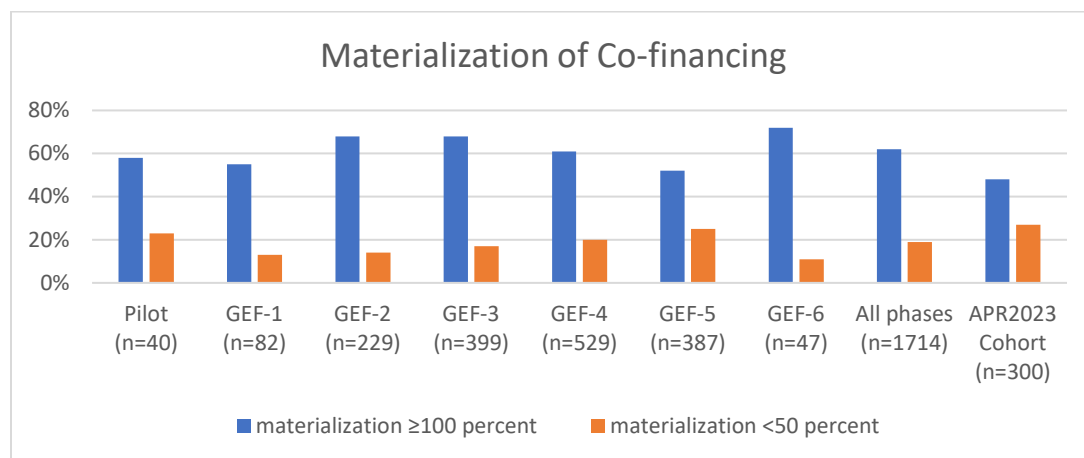
32. **Quality of execution is rated in the satisfactory range for 01 percent of the projects in the APR2023 cohort, similar to the 81 percent cumulative portfolio.** The quality of execution rating measures the performance of the executing partners in accomplishing the planned project activities on ground. Of the completed projects that were approved from GEF-5 onwards, 84 percent are rated in the satisfactory range for execution, compared to 80 percent for the projects that were approved in GEF-4 or earlier. The difference between the two groups, though small, is statistically significant. The data do not show any effect of COVID-19 on quality of execution ratings.

*Cofinancing*

33. Cofinancing in GEF projects helps ensure that GEF support is incremental and focused on generating global environmental benefits. It may also be useful to increase the scale of supported activities, and to ensure that other partners have “skin in the game.” Past work in APRs shows that the level of cofinancing may differ based on project characteristics (GEF EO 2010). Because activities funded through cofinancing are integrated in project design, it is important that it materializes on time.

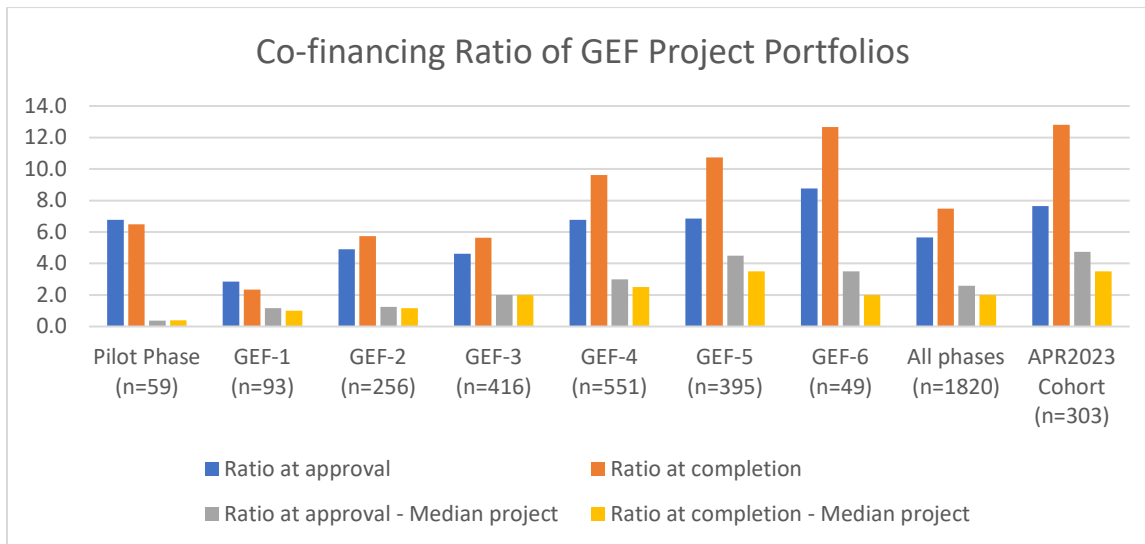
34. **Cumulatively, materialized cofinancing in 62 percent of the projects fully met or exceeded the amount promised at project approval/endorsement. In comparison, cofinancing commitments were fully met or exceeded in 48 percent of the APR 2023 cohort projects (Figure 11), representing a drop of 14 percentage points.** The factors driving this drop are not obvious. The relationship between materialization of cofinancing and outcome achievements is clear: The outcome of projects for which cofinancing materialized fully was rated in the satisfactory range for 87 percent of projects, compared to 74 percent of projects where materialization was lower. Where less than half of the promised cofinancing materialized sixty six percent of the projects are rated in the satisfactory range for outcome, compared to 86 percent of projects where at least 50 percent of promised cofinancing materialized.

Figure 11: Materialization of cofinancing – percentage of projects by GEF replenishment period



35. **In aggregate terms, materialized cofinancing for the cumulative portfolio and the APR 2023 cohort substantially exceeded the amount promised at project approval/endorsement (Figure 12).** Against a promised cofinancing of \$7.6 per dollar of GEF grant for the APR 2023 cohort, the materialized cofinancing was \$12.8; similarly, for the cumulative portfolio, the aggregate materialized cofinancing ratio is \$7.5 compared to \$5.6 per dollar of GEF grant. This is primarily driven by a few outliers that received cofinancing much greater than the promised amounts, which at the aggregate level more than compensated for the lower cofinancing materialization in other projects. For example, if the top three cofinancing achievers<sup>9</sup> (top one percent) of the APR 2023 cohort are excluded, the ratio of materialized cofinancing drops from \$12.8 to \$6.9 per dollar of GEF grant. The data for the completed projects show that the cofinancing ratios—promised at approval and materialized at completion—for the median projects has steadily increased across GEF replenishment periods. Although the GEF-6 figures show a drop, this is expected because most of the projects of this period that have been completed so far are smaller and shorter-duration projects, which have traditionally generated lower levels of cofinancing. For example, the GEF grants for completed GEF-6 projects have a mean of \$2.9 million and a median of \$2.0 million, compared to a mean of \$4.3 million and a median of \$3.0 million for the cumulative portfolio of completed projects.

Figure 12: Cofinancing ratio of the portfolio – promised versus materialized, in aggregate



<sup>9</sup> Here understood as the ratio of cofinancing materialized divided by cofinancing promised.



### III. BEHAVIOR CHANGE IN GEF-SUPPORTED INTERVENTIONS

#### 1. Background

36. Much of the environmental degradation that the GEF seeks to reverse stems from human behaviors that can be changed (Steg and Vlek 2009; Amel et al. 2017; Nielsen et al. 2021). The Intergovernmental Panel on Climate Change’s latest Synthesis Report, for example, highlights how behavior change is a key pathway for reducing greenhouse gas emissions in multiple sectors (IPCC 2023). The Secretariat of the Convention on Biological Diversity (2020) likewise has identified the understanding of behavior change to be part of an effective approach to sustainability and ultimately transformative change.

37. Since its inception, the GEF has implicitly addressed the behavioral drivers of environmental degradation by supporting the conditions that enable individual and institutional change. Its more recent programming directions explicitly recognize the need for behavior change to achieve global environmental benefits in its various areas of work, such as ecosystem restoration, wildlife conservation, sustainable cities, plastic pollution, and hazardous chemicals reduction (GEF 2022). This recognition comes with the view that behavior changes among both suppliers (i.e., the private sector) and consumers would make environmental interventions more sustainable as well as drive systems change (GEF 2021).

38. The GEF IEO has also found behavior change to be a key intermediate outcome for the achievement of global environmental benefits (e.g., GEF IEO 2016, 2018c, 2019a, 2020b, 2022c). The broader adoption of interventions by stakeholders at multiple scales has been used as a measure of progress toward long-term impact ([GEF EO 2013](#); [GEF IEO 2022e](#)). That is, when stakeholders change their behavior to pro-environment ones and not only sustain but also replicate, mainstream, and scale up these changes, global environmental benefits are also likely to be scaled up over the long term, contributing to transformational change in ecosystems and markets (GEF 2018a).

39. Behavior-change mechanisms have long been a research focus in reducing poverty and improving public health, and are now increasingly being used to design environmental interventions (World Bank 2014; Reddy 2016). Behavior-change approaches have been applied in a wide range of environmental interventions, such as reducing wildlife poaching for biodiversity conservation, conserving water, improving waste management, adopting ecologically sustainable and climate-adaptive farming practices, and especially for changing consumer habits to mitigate climate change (Bujold et al. 2020).

40. Apart from the traditional approaches to changing behavior through information and education, rules and regulations, and material incentives, several others have emerged from the fields of economics, psychology and sociology, among others (Davis et al. 2015). Examples of more recent approaches are choice architecture, which redesigns the decision-making environment to make it easier to make pro-environment choices, emotional appeals that for example elicit pride to encourage pro-environment behavior, and social influences that for

example may employ peer pressure to discourage undesirable behavior (Williamson et al. 2020).

41. Despite behavior change being a critical step toward achieving environmental outcomes, the GEF's Scientific and Technical Advisory Panel (STAP) has observed that project proposals often do not explicitly identify the mechanisms to achieve behavior outcomes--a gap that has been found in other large environmental programs ([Metternicht et al. 2020](#); Krüger and Puri 2020). In response, STAP issued an [advisory document](#) that discusses how behavior-change approaches can be integrated into GEF interventions systematically. It proposes a checklist of six elements to consider when developing a project's theory of change. A fundamental feature of the checklist is a systems-based approach, i.e., it asks intervention designers to identify not only the direct actors whose behavior needs to change in order to achieve environmental outcomes, but also indirect actors in the larger social-ecological system that can enable or restrict their ability to adopt a target behavior ([Metternicht et al. 2020](#)).

42. The evaluation of GEF Support to Scaling up Impact ([GEF IEO 2021c](#)), using a behavior-change lens, presented a framework on how the broader adoption of pro-environment interventions occurs. Consistent with STAP advice, it found that three main behavior changes have to occur among multiple stakeholder groups within a system for impact to be scaled up beyond project completion: adoption of pro-environment tools, practices, and approaches by stakeholders that directly interact with the environment; sustained support from stakeholders that provide the enabling conditions for the continued adoption of these pro-environment interventions; and learning among intervention designers and implementers, to ensure that the scaling-up process is adaptive and cost-effective. Behavior-change frameworks in the wider literature similarly emphasize the need for behavior change across diverse sets of actors across multiple scales of governance, supported by multiple behavior-change approaches ([Future Earth Australia 2021](#); Williamson et al. 2020; Barr and Prillwitz 2014; Michie et al. 2011).

43. One of the challenges in targeting and measuring behavior change as an intervention outcome is that it is typically achieved over the long term, beyond the life span of a typical GEF project. For example, the evaluation on scaling-up, which looked at cases that spanned up to more than two decades, found that the successful scaling-up of pro-environment interventions takes about 10 to 15 years of sustained effort ([GEF IEO 2021c](#)). The behavior-change process is also known to be nonlinear, where individuals may switch back and forth between new and old behaviors before the new, desired behavior is adopted more consistently over a longer time period (Kwasnicka et al. 2016; Prochaska and Velicer 1997). Thus, behaviors may continue to evolve beyond a project's completion. While this is a limitation in determining project success, behavior change can nevertheless be measured at specific points in time through the observed adoption of pro-environment interventions, as well as psychosocial indicators, such as changes in attitudes, beliefs, and social networks (Williamson et al. 2020).

44. Despite its increasing prominence in GEF programming directions, behavior change is currently not required to be targeted and measured as a core indicator. A more systematic approach to integrating behavior-change outcomes in GEF interventions could potentially help increase, sustain, and scale up environmental outcomes and drive systems change, as aspired

to in its programming directions. This chapter presents findings of a study on how GEF projects approved under the last two replenishment periods explicitly pursue and promote behavior change. It is an initial look into how the GEF is approaching behavior change, based on evidence in project documents. The study provides insights on how current and future interventions may better achieve their environmental objectives by more systematically promoting behavior change.

## 2. Methodological approach

45. In consideration of the challenges associated with measuring behavior change, this study narrowly defines “behavior change” as the adoption of a new tool, technology, practice, approach, or other pro-environment intervention by at least one stakeholder group. The portfolio review covered two sets of projects: 28 completed projects (ex-post set) and a sample of 25 current projects (ex-ante set), both approved under the GEF-6 and -7 replenishment periods. From a review of project documents, the two sets of projects were determined to have an explicit intention to promote behavior change. Examples of intentions to promote behavior change found in project documents are: “value addition technologies are trialed and adopted by organized groups,” “beneficiaries would benefit from capacity changes in knowledge, attitudes, aspirations, skills and opportunities, leading to behavioral changes and therefore improved land use selection and natural resource management,” and “development and adoption, at the national and city levels, of a number of tools related to urban sustainability and resilience, including climate change.”

46. In line with the [STAP checklist](#), the review of documents identified the targeted behavior changes and corresponding stakeholder groups whose behavior was expected to change, as mentioned in the project objectives, components, and results indicators. Strategies and factors that influenced behavior change were identified based on the GEF IEO’s [framework for scaling up impact in the GEF](#) and Rare’s [levers of behavior change](#), adopted by STAP. The instruments used for the document reviews are found in annex E.

### *Ex-post set*

47. The ex-post set consisted of 28 projects that were screened from the 61 completed GEF-6 and GEF-7 projects whose terminal evaluations were submitted by September 30, 2023<sup>10</sup> (see annex D1). All projects except one were approved under the GEF-6 replenishment period; for expediency, the ex-post set is referred to as the set of GEF-6 completed projects.

48. The 33 projects (54 percent) that did not explicitly aim to promote behavior change were focused on strengthening existing institutions, putting in place enabling conditions, and developing capacities of specific stakeholder groups. In 8 of the 33 projects (24 percent), it was unclear whether some activities aimed to promote adoption of any tools or practices, because reporting was done only for regional and global-level indicators. Thirteen projects (39 percent) explicitly aimed to create the conditions that would enable behavior change *after* project

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<sup>10</sup> Excludes terminal evaluations of the Small Grant Programme (SGP) country portfolios and of grants to organize international conferences.

completion. The rest of the projects were focused on capacity development and are discussed further in the section on [Measuring capacity development outcomes](#).

49. Because project terminal evaluations were the primary source of information, only short-term behavior change could be assessed in all the projects, i.e., adoption of pro-environment interventions that took place by the end of the project. To supplement this gap, the terminal evaluations were used to identify the existing conditions that would make behavior change likely or unlikely to be sustained beyond the project.

#### *Ex-ante set*

50. The ex-ante set consisted of 25 projects that included the term “behavior change” in their project taxonomy.<sup>11</sup> This second set of projects was used to assess the extent to which current GEF-7 projects that self-identified as involving behavior change are indeed designed to promote behavior change.

51. These 25 projects were screened from a 10 percent random sample of all GEF-7 projects CEO-endorsed/ approved as of September 30, 2023<sup>12</sup> (see annex D2). The original 10 percent sample of 28 projects was stratified to reflect the focal-area percentage distribution in the overall GEF-7 portfolio, to ensure that different types of interventions would be proportionally represented. Three projects were excluded from the sample after it was determined through the document review that they did not have an explicit intention to promote behavior change. The high percentage of projects that both included the term “behavior change” in their project taxonomy AND had an explicit intention to promote behavior change suggests that use of the project taxonomy at the project proposal submission stage can aid in identifying projects that intend to promote behavior change. Especially if used more consistently, the taxonomy could help identify which projects would benefit from applying the STAP checklist.

52. Although the two sets of projects were approved under different replenishment periods, they represent similar focal-area distributions as well as continuity in programming objectives from GEF-6 to GEF-7.<sup>13</sup>

### 3. Findings

**53. Behavior change is necessary for generating environmental benefits in 57 percent of completed projects and 92 percent of current GEF-7 projects, based on project activities and intended outcomes.** Examples of projects that require behavior change to achieve

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<sup>11</sup> The project taxonomy field was introduced starting in GEF-7 to allow Agencies to tag projects, and allow any user to filter projects by thematic area in addition to just standard project information. The field is not mandatory for project submission and is not verified for accuracy.

<sup>12</sup> Of 706 projects CEO-endorsed/approved under GEF-7 as of September 30, 2023 (excluding enabling activities, SGP country portfolios, and global program coordination projects), 279 (40 percent) included “behavior change” in their project taxonomy. A 10 percent sample of 28 projects was drawn from this subset to allow an ex-ante review within the study’s time constraints.

<sup>13</sup> The GEF-6 projects with terminal evaluations were completed and evaluated sooner than other GEF-6 projects, suggesting that project objectives and activities required shorter implementation periods. These projects may also have been among the first to be approved in the GEF-6 portfolio, which allowed them to start sooner. On the other hand, the GEF-7 projects self-identified as promoting behavior change, and were intentionally sampled to reflect the focal-area distribution of the larger portfolio of ongoing GEF-7 projects. These were also some of the first projects in its cohort to be approved for implementation, which may indicate several things, such as shorter project preparation times or higher government priority for implementation.

environmental outcomes are those that aim to reduce land degradation by introducing participatory sustainable forestry practices, or reduce greenhouse gas emissions through government and private sector investments in renewable energy technologies. In the rest of the projects, behavior change is promoted in relation to interventions that are not expected to directly result in environmental benefits, such as digital tools to improve environmental reporting. The much higher percentage of GEF-7 projects suggests that projects that self-identify as promoting behavior change typically associate behavior change with interventions that directly generate environmental benefits, rather than interventions that only create the enabling conditions for environmental benefits, such as knowledge, information systems, and other capacity development–related activities.

*Types of behavior change and areas of intervention targeted*

54. **Most GEF-6 and GEF-7 projects targeted at least two types of behavior change within the same project.** Mainstreaming an approach within a government or private sector organization, such as through the adoption of management plans and frameworks, was the most common type of behavior change targeted in both sets of projects (Table 1). Use of practices or technologies that directly resulted in environmental benefits were the next most common type of behavior change targeted. Examples of these practices or technologies include planting more biodiversity-friendly crops, using biological controls instead of chemical pesticides, and reporting wildlife crimes.

*Table 1: Most common types of behavior change targeted*

Types of behavior change targeted	GEF-6 completed		GEF-7 sample	
	No. of projects	% of projects (n=28)	No. of projects	% of projects (n=25)
Mainstreaming of approach	18	64%	18	72%
Use of practices or technology	16	57%	16	64%
Use of digital product or other soft infrastructure	15	54%	4	16%
Financial investment in technology or approach	9	32%	7	28%
Adoption of policies and regulations	8	29%	9	36%

Source: Review of terminal evaluations and CEO endorsement/ approval documents.

55. Climate change adaptation was the most common area of intervention for behavior change in GEF-6 projects (Table 2). In GEF-7 projects, sustainable land management (SLM) was most common. In both sets of projects, SLM practices were often implemented in conjunction with sustainable farming and sustainable forest management, as well as with climate change adaptation and biodiversity conservation measures. Working with multiple areas of intervention in one project reflects the GEF’s increasingly integrated and systems-based approach, which targets multiple environmental drivers and outcomes simultaneously. For example, SLM and sustainable farming practices often generate benefits in the form of climate

change mitigation, climate change adaptation, soil and water conservation, biodiversity conservation, and chemical and organic pollution reduction.

Table 2: Most common areas of intervention where behavior change was expected<sup>14</sup>

Areas of intervention	GEF-6 completed		GEF-7 sample	
	No. of projects	% of projects (n=28)	No. of projects	% of projects (n=25)
Climate change adaptation	6	21%	7	28%
Biodiversity conservation	5	18%	6	24%
Sustainable land management	4	14%	9	36%
Sustainable production	4	14%	3	12%
Chemical use reduction	4	14%	3	12%
Sustainable farming	3	11%	7	28%
Waste management	2	7%	3	12%
Sustainable forest management	1	4%	3	12%
Sustainable transport	0	0%	3	12%

Source: Review of terminal evaluations and CEO endorsement/ approval documents.

56. Almost half of the GEF-7 projects worked in two or more areas of intervention within the same project, compared to fewer than 30 percent of GEF-6 projects. This is explained by the higher number of GEF-6 projects that supported environmental reporting and information systems rather than interventions that directly generate environmental benefits. Projects that worked in multiple areas of intervention typically promoted the adoption of multiple practices and approaches that directly generate environmental benefits, rather than just one tool or technology. For example, a project working in SLM and sustainable farming may simultaneously promote the use of zero tillage, nitrogen fixation, crop rotation, intercropping, biological pest management, silviculture, and reforestation techniques.

#### *Targeted stakeholder groups*

57. **Most GEF-6 and GEF-7 projects targeted at least two stakeholder groups simultaneously.** National government officials and staff were the most frequently targeted group of stakeholders for behavior change in GEF-6 projects. In GEF-7 projects, both local governments and individual community members and households, which include farmers and fishers, were the most frequently targeted group.

<sup>14</sup> Examples of areas of intervention supported by two or fewer projects were renewable energy, sustainable tourism, sustainable fishing, and sustainable consumption.

Table 3: Types of stakeholder groups targeted by projects that intended to promote behavior change

Stakeholder groups targeted for behavior change	GEF-6 completed		GEF-7 sample	
	No. of projects	% of projects (n=28)	No. of projects	% of projects (n=25)
National government	19	68%	12	48%
Community members/households	17	61%	13	52%
Private sector	16	57%	12	48%
Local government	9	32%	13	52%
Civil society organizations	5	18%	5	20%
Other	4	14%	7	28%

Source: Review of terminal evaluations and CEO endorsement/approval documents.

### *Outcomes and likelihood of sustainability*

58. **Sixteen of 28 completed projects had explicit behavior-change indicators; all except one reported achieving some level of behavior change.** Twelve of these (75 percent, n=16) reported achieving 70 percent or more of their target on at least one behavior-change indicator. These indicators covered a wide range of intervention types and stakeholder groups, such as “number of farmers adopting sustainable land and water management practices,” “number of users using website database for information data needs,” and “number of companies making new commitments to source reduced deforestation palm oil, soy, and/or beef.” Six projects (38 percent, n=16) achieved at least 70 percent of both their behavior change and environmental targets. In addition to the 16, 5 completed projects were found to indirectly track behavior change, achieving at least 50 percent of their targets on these indicators. Indirect indicators are further discussed in the section on [Tracking Behavior Change](#).

59. **Despite high levels of achievement reported, it was not always clear what adoption meant in concrete terms or how it was measured.** For example, in a regional fisheries project in the Caribbean (GEF ID 9720, FAO), one indicator with 75 percent achievement was “number of fisherfolk organizations that adopt information & communication technologies (ICT) proficiency standards and best practices in support of good governance practices.” Yet in the results matrix, the evidence provided for this achievement was the number of trainers trained in ICT modules, and how they felt the training was a valuable use of their time. In the same project, an indicator reported to have 100 percent achievement was “number of Ecosystem Approach to Fisheries (EAF) interventions undertaken by fisherfolk organization leaders,” to measure the target outcome of “fisherfolk successfully applying EAF.” While the stated target was “20 fisherfolk organization leaders” from a baseline of zero, the accompanying evidence included only the number EAF training workshops conducted, and that reports were produced. No explanation was given on why 100 percent achievement was reported. As this example illustrates, having explicit behavior-change indicators that specify the targeted intervention for adoption and corresponding stakeholder groups is insufficient; reporting on what constitutes achievement is also a crucial component that not all projects give attention to.



60. Of the 20 projects that had APR sustainability ratings, 60 percent were rated likely to be sustainable. Projects rated to be sustainable had more enabling conditions in place at project end compared to those rated unsustainable (75 percent versus 13 percent with at least two conditions present). While comprehensive information on enabling conditions was not always available in terminal evaluations, this analysis aimed to identify the broad categories typically cited in portfolio reviews. No specific combination of conditions was found to be more common than others.

61. **Availability of funding, as well as the combination of appropriate laws and logistical support, were most associated with an intervention’s likelihood of being sustained.** At project end, most projects were found to have the appropriate policy framework, laws, or operating guidelines to support the new behavior; or continued individual and institutional logistical support, such as infrastructure, ongoing training programs, and technical assistance; or both (Table 4). The combined presence of these two conditions at project end was consistently associated with sustainability. This suggests that legal mandates and logistical resources are both important but individually insufficient for sustaining behavior change. The two conditions were coexistent in six projects.

62. The individual conditions that were most consistently associated with sustainability—regardless of which other conditions were present or absent—involved availability of funding, either from key stakeholders themselves or from a sustainable financing mechanism, such as a regular government budget or loan facility.

Table 4: Most common enabling conditions of sustainability present at project end<sup>15</sup>

Enabling conditions for sustainability	No. of completed projects	% of completed projects (n=28)
Appropriate policy framework and operating guidelines*	12	43%
Individual and institutional logistical support*	11	39%
Knowledge and information dissemination	7	25%
Key stakeholders investing their own resources to implement changes**	6	21%
Multistakeholder interactions and partnerships	6	21%
Sustainable financing mechanisms**	5	18%

Source: Review of terminal evaluations.

\*Conditions that, when combined, were most consistently associated with sustainability.

\*\*Conditions that individually were most consistently associated with sustainability (analysis conducted with the [EvalC3](#) tool).

<sup>15</sup> Existing conditions for sustainability that were identified in two projects or fewer were systematic feedback and adaptive learning mechanisms, participatory mechanisms for decision making, and incentives and disincentives.



63. Successful behavior change outcomes are therefore not guaranteed to be sustained if these essential conditions do not exist to support the continued adoption of interventions. For example, a project in Mali (GEF ID 6971, UNDP) was highly successful in developing a widely adopted environmental information management tool, yet was still rated unlikely to be sustained. The tool unified 20 geographic information systems, and for the first time allowed communication on the progress of environmental indicators in the country. Within a year, the number of users increased from 118 to 785. The project achieved its goal to develop a tool that was functional, fit for purpose, and user friendly. However, it did not put as much effort into securing higher political support and a regular operational budget for the tool’s maintenance. Factors and conditions affecting the sustainability of behavior changes are further discussed in the next section.

*Approaches and factors influencing behavior change*

64. **Providing information through awareness raising and training was by far the most common approach to promote behavior change.** This came in various forms, such as farmer field schools, dissemination of educational material through social media, information centers, training manuals, documentary films, and skills-building workshops. Seventy-nine percent of completed projects used this approach (Table 5). Another common approach to changing behavior (57 percent) was through rules and regulations, which included not only laws mandating behavior change, but also softer approaches such as voluntary guidelines and standards for new behaviors. Material incentives, which ranged from cash subsidies and rewards to provision of equipment, were used in at least 39 percent of projects. While terminal evaluations frequently did not provide the level of detail necessary to precisely identify all the levers and enabling conditions that a project may have supported, this analysis provides insight into the main approaches used to promote the desired behavior change. No specific combination of approaches was more frequently used than others.

Table 5: Common levers and enabling conditions used in completed projects to promote behavior change<sup>16</sup>

Levers and enabling conditions in completed GEF-6 projects	No. of projects	% of projects (n=28)
Information	22	79%
Rules and regulations	16	57%
Material incentives	11	39%
Multistakeholder interactions and partnerships	8	29%
Participatory mechanisms for decision making	6	21%
Sustainable financing	4	14%

Source: Review of terminal evaluations. Based on the GEF IEO’s [framework for scaling up impact in the GEF](#) and Rare’s [levers of behavior change](#), adopted by STAP.

<sup>16</sup> Levers and enabling conditions that were identified in three projects or fewer were choice architecture, systematic feedback and adaptive learning mechanisms, emotional appeals, and social influences.

65. **Behavior-change approaches were effective when they addressed the needs, motivations, and barriers of multiple key stakeholder groups across the system.** The types and number of levers and enabling conditions supported by the project did not appear to be correlated with success in behavior-change outcomes. This was because projects did not always address the underlying needs, motivations and barriers of key stakeholders. For example, a seal of certification introduced by a project to evoke pride in adopting climate adaptation measures was not well received at the community level, though there were no obstacles at the government level (GEF ID 6955, FAO). Beneficiaries reported that they did not perceive any incentives or benefits from adopting the seal, and feared that it would just subject them to government inspections. Instead, the prospect of earning income from new livelihood sources made them interested in adopting the measures.

66. Table 6 provides a summary of the types of needs, motivations, and barriers that were found in completed projects, and the design features and approaches they used to successfully facilitate behavior change. Conversely, not addressing these were cited by terminal evaluations as reasons for lack of success.

*Table 6: Examples of underlying needs, motivations, and barriers of key stakeholder groups, and the project-design features and behavior-change approaches used to address them*

Examples found in completed projects		Project design features & behavior-change approaches used
<b>Needs</b>	<ul style="list-style-type: none"> <li>▪ Context-specific gaps, e.g., information, income</li> <li>▪ Self-direction</li> <li>▪ Trust and safety</li> </ul>	<ul style="list-style-type: none"> <li>▪ Needs assessment</li> <li>▪ Participatory multistakeholder engagement</li> <li>▪ Relationship building through local entities</li> </ul>
<b>Motivations</b>	<ul style="list-style-type: none"> <li>▪ Benefits from adopting interventions</li> <li>▪ Costs of not adopting interventions</li> </ul>	<ul style="list-style-type: none"> <li>▪ Pilot demonstrations</li> <li>▪ Information, emotional appeals, social influences</li> </ul>
<b>Barriers</b>	<ul style="list-style-type: none"> <li>▪ Financial costs</li> <li>▪ Administrative costs</li> <li>▪ Logistical costs</li> </ul>	<ul style="list-style-type: none"> <li>▪ Material incentives</li> <li>▪ Choice architecture</li> </ul>

Source: Review of terminal evaluations

### *Needs*

67. **Projects with successful behavior-change outcomes used a highly participatory, systems-based approach to stakeholder engagement, which allowed them to identify and directly respond to stakeholder needs.** For example, the project Reducing Deforestation from Commodity Production (GEF ID 9180, UNDP) undertook a needs assessment covering the range of agricultural situations facing producers in each of the production systems it sought to change, such as genetic material, cultural practices, and harvest and post-harvest management. Government and private sector stakeholders were engaged in preparing the assessment. This resulted in demonstration pilots that were well aligned with meeting the needs that emerged. The demonstrations were complemented with trainings also developed from a needs

assessment, as well as a requirement for farmers to take the training before they could receive a sustainable palm-oil certification. The project had targeted 25 percent of 6,000 beneficiary farmers to adopt the sustainable agriculture practices; at project end, it reported an 84 percent average adoption rate among almost 8,000 beneficiaries in two countries.

68. A project that aimed to reduce flood risks in Senegal (GEF ID 9123, UNIDO and World Bank) dedicated a full component to community engagement that targeted both national and local actors. Social facilitators ensured continuous communication with communities, which led to continuous engagement and consequently a sense of ownership of the flood management infrastructure, participation at different stages of infrastructure development, and reduced conflict risks. However, illegal wastewater discharges in some instances negatively affected the project's environmental outcomes. An investigation noted that these illegal discharges were likely from populations living by the river, which from a systems perspective was a stakeholder group within the flood risk area but beyond the project's targeted scope for behavior change.

69. **Projects that targeted but did not achieve behavior-change outcomes lacked country counterparts, which led to challenges in engaging stakeholders, assessing needs, and gaining trust.** The project Taking Deforestation out of the Soy Supply Chain (GEF ID 9617, UNDP) initially failed to engage stakeholders through an international NGO as its executing agency. In this sensitive Brazilian context, the international NGO found it difficult to gain the trust of soy value-chain representatives to participate in activities. It was not until the project engaged EMBRAPA, a government-owned research corporation, to take the lead in stakeholder engagement did it make progress in implementation. The terminal evaluation noted that changing the mindset and practices of such a large and powerful sector would require continuous effort and relationship building over the long term.

70. A regional climate change project in the Caribbean (GEF ID 9112, UNDP) executed by an international NGO faced similar challenges. The terminal evaluation found that the NGO lacked understanding of the political dynamics among countries, their willingness to adopt renewable energy technologies, and the relationships between national governments and utility companies. As a result, only half of the targeted number of countries applied the tools and measures introduced by the project, and only 6.2 megawatts (MW) of the project's target of 85 MW of renewable-energy installation was met. In countries where national project coordinators had clear roles, project performance and ownership were found to be stronger.

### *Motivations*

71. **Stakeholders at different levels were more motivated to change their behavior when they saw the benefits of adopting interventions and/or felt the costs of not doing so.** A sustainable land and water management (SLWM) project in Ghana (GEF ID 9340, World Bank) exceeded its target of bringing 15,000 hectares of land under SLWM technologies. The two key factors for success cited by the terminal evaluation were the participatory approach used in designing and implementing activities to meet expressed community needs, and the demonstrated increase in crop yields and income, both of which led to high stakeholder engagement. Implemented in three tranches over a 10-year period, the demonstrations had

ample time to show evidence of benefits. Thus, even though the new practices replaced ancient traditions, more than 90 percent of farmers said they were satisfied by the benefits.

72. At the national level, the government of Ghana was highly motivated to prioritize SLWM initiatives, as it suffered high economic losses from soil erosion and forest degradation. Other successful projects similarly showed strong national government support for the adoption and scaling-up of interventions when the country had experienced large-scale damage resulting from environmental degradation. This was seen in the presence of policies and complementary projects within the country addressing the same issue, which aided the GEF-supported interventions. Information-related activities helped increase awareness among both government staff and communities of the costs of nonadoption. Emotional appeals—such as making the information more personally relevant to target stakeholders—further helped increase motivation to adopt.

### *Barriers*

73. **Despite high stakeholder engagement, behavior change was not sustained when projects did not address barriers to adoption in different parts of the system.** Many barriers are financial in nature, but may also be administrative, logistical, and cultural, among others. As previously mentioned, funding availability and the combination of appropriate laws and logistical support are highly associated with sustainability, as these address critical barriers to continued adoption of interventions.

74. Beneficiaries of a climate change adaptation project in Chile (GEF ID 6955, FAO) cited the key role of project technicians in building the required trust that made them eager to participate in the project. However, at project end, communities were unable to fully adopt the new livelihood activities, as they could not obtain permits to continue. Even during implementation, access to permits was slow and complex, which delayed activities; furthermore, the project failed to provide support for the training, infrastructure, and access to capital and markets that would allow the pilot demonstrations to become viable businesses. On the other hand, the previously mentioned project in Ghana (GEF ID 9340, World Bank) supported existing village savings and loans associations that provided easy access to financing beyond project completion. This especially encouraged women to adopt more SLWM practices.

75. **By first assessing stakeholder needs, successful projects were able to design interventions that removed barriers to adoption.** Successful projects employed choice architecture and material incentives to make it as easy as possible for target users to adopt the digital tools they developed. The Southeast Europe and Central Asia Catastrophe Risk Insurance Facility in Kazakhstan (GEF ID 6915, World Bank) aimed to develop an online platform for the public to purchase catastrophic insurance. Beyond just creating a user-friendly interface, it first made sure that the insurance product was both affordable to the public and financially viable for local insurers. Price and high financial risks were key barriers that had led previous insurance initiatives in the country to fail. The project also developed relationships not just with local insurers but also international reinsurers, and trained insurance agents and government staff to support the ecosystem it had built.

76. The online platform not only made the insurance market logistically more accessible, it reduced insurance processing costs that made the product more financially affordable. At the same time, the platform had a built-in function for government staff and public users to assess the specific climate risks to their properties, which made the information more personally relevant to them and helped increase motivation to adopt the product. As with the Ghana project, the project was supported by a strongly motivated national government that had suffered from climate-driven catastrophes. It also built on lessons from similar projects in the region.

#### 4. Tracking behavior change

77. **Almost 45 percent of both GEF-6 and GEF-7 projects that intended to promote behavior change did not have indicators to track it.** Because of this, the extent of behavior change could not be assessed. Of the 28 GEF-6 projects, 12 (43 percent) lacked indicators that tracked adoption of an intervention by a specific stakeholder group; the same was found for 11 (44 percent) of the 25 GEF-7 projects. This finding—that behavior change was not explicitly tracked in almost half of projects that intended to promote it—may indicate the existence of logistical, financial and other barriers to tracking and measuring among intervention designers and implementers, as well as lack of incentives. In the GEF, projects are only required to report on environmental targets as part of the corporate core indicators, and even in this area, not all projects that aim to directly generate environmental benefits comply (see chapter 4).

78. In five of the completed projects, indicators only tracked the outputs or enabling conditions that would make behavior change possible. One example is the number of land certificates issued, which would then enable communities to participate in SFM, but not the actual adoption of SFM practices. Other examples of output indicators are number of people trained, and number of financial products issued. Another five of the GEF-6 projects and all of the GEF-7 projects that did not have behavior-change indicators instead tracked indirect indicators, i.e., for their corresponding targets to be met, there was an implicit assumption that behavior change must have already occurred.

##### *Indirect indicators*

79. **Some projects indirectly tracked behavior change by reporting on a combination of linked outcome and output indicators.** Outcome indicators included the environmental and economic benefits achieved, and the extent of application of a technology, tool, or practice. However, none of these directly measures behavior-change outcomes, or the intervention's actual adoption by target stakeholder groups. When multiple linked outcome and output indicators were assessed in combination, these could in some cases logically point to behavior change having occurred, particularly where all the targets had been met. However, this remains an assumption that may not always be valid (see Box 1).

*Combining indirect indicators to imply successful behavior change still requires valid assumptions*

The project Phaseout of Endosulfan in China (GEF ID 9724, UNDP) provides an example of some potential pitfalls of using only indirect indicators of behavior change. In this project, indicators include the number of hectares where alternatives to endosulfan were demonstrated; the number of cotton farmers, policy makers, and extension agents trained in integrated technical models of biological control and alternative technologies; and the use of an online pesticide-selling platform by all pesticide dealers in the province. On these indicators, the terminal evaluation reports that the project had exceeded all the targets, and had successfully scaled up. It reports on the positive reception of the alternative technologies by stakeholders, as well as the complete phaseout of endosulfan production in the country.

However, none of these indicators allows an assessment of how many cotton farmers have in fact adopted the alternative technologies after they were trained; the project only provides information on the number of hectares covered by the demonstration, which does not necessarily require adoption of technologies by any stakeholders. In some GEF projects, demonstrations are implemented directly by the executing agency, requiring no significant cooperation from intended beneficiaries.

In this project, the complete phaseout of endosulfan in the country may be a sufficient basis to assume that the widespread adoption of the new technologies has indeed taken place. For the GEF, this indicator may be adequate to measure success, as this achievement meets the GEF's mandate. Yet the terminal evaluation reports that China has banned the production of endosulfan by national law, which likely explains the chemical's successful phaseout in this country context. Despite the training they have received, farmers may still opt to use alternatives or farming practices that the project did not introduce and are not necessarily better for the environment. In this scenario, the project would still fully meet its output and outcome targets as reported, but the net environmental benefits may not be the same over the long term due to trade-offs from this unexpected behavior change.

By not tracking the number of farmers that adopted the technologies, it is unclear how the trainings and demonstrations directly resulted in behavior-change outcomes, such as reduction of endosulfan use and increase in use of alternative practices, and ultimately how these capacity-development activities led to the desired environmental outcomes. In addition, the project missed the opportunity to track how well its demonstrated solutions address the needs, motivations, and barriers of cotton farmers across the different counties. Such context-specific approaches can improve the likelihood of stakeholders continuing to use the new technologies and practices in the long term, as well as farmers in other areas adopting them as the project scales up further.

*Measuring capacity-development outcomes*

**80. Thirteen projects required behavior change, based on their capacity-development objectives, but did not measure nor explicitly intend to promote behavior change, as evidenced in their project components and results indicators.** Of the 33 GEF-6 projects that did not explicitly intend to promote behavior change (see [Methodological approach](#) in this chapter), 13 (39 percent) focused on capacity development. In this study, “capacity-development interventions” refers to training, tools, and technologies, and pilot

demonstrations of these tools and technologies. These are specifically expected to introduce new skills and technologies for environmental and knowledge management, but not directly result in environmental benefits. Examples are projects that aimed to strengthen national measurement, reporting, and validation (MRV) systems, information systems that consolidated national environmental data for reporting to multiple multilateral environmental agreements (MEAs), as well as other interventions related to the United Nations Framework Convention on Climate Change (UNFCCC's) Capacity-Building Initiative for Transparency (CBIT).

81. To meet the projects' broader objectives, the skills and technologies introduced by these capacity-development interventions ultimately had to be adopted by specific stakeholder groups. However, these projects often only reported on achievements in terms of outputs, such as number of trainings given or tools developed, but not how these outputs contributed to the project's capacity-development objective. Examples of indicators that measure increase in stakeholder capacities are increase in knowledge and skills post-training, frequency of use of new tools when generating reports compared to the pre-project period, and changes in frequency and patterns of collaborative interaction with other stakeholder groups as a result of using knowledge-exchange platforms.

82. In the ex-post set of GEF-6 completed projects, nine projects sought to develop similar systems for improved knowledge management, monitoring, and reporting, but in contrast had explicit intentions to influence behavior. Of these, three had explicit indicators, and two had indirect indicators that tracked use of the tools by target groups. These projects demonstrate that achieving capacity-development outcomes also requires behavior change, which can be tracked to ensure that project objectives are being met.

83. None of the sampled GEF-7 projects primarily focused on capacity development. Most GEF-7 projects (92 percent) promoted behavior change as a prerequisite for achieving environmental benefits, compared to 57 percent in GEF-6 projects. This suggests that projects focusing on capacity-development interventions may tend not to view these activities as requiring behavior change from their target users, and thus may be less likely to include behavior change in their project taxonomy.

## 5. Conclusions and insights

84. GEF projects typically support multiple approaches that promote behavior change in multiple stakeholder groups. However, this study found that such approaches are only effective—and behavior change likely to be sustained—when they address the context-specific needs, motivations and barriers of key stakeholder groups. Most important, the effectiveness of these approaches cannot be systematically assessed—and project approaches may be difficult to adapt in time to improve their effectiveness—unless behavior-change outcomes are explicitly tracked.

85. In both GEF-6 and GEF-7 projects that aimed to promote behavior change, fewer than 60 percent had indicators to track adoption of an intervention by a specific stakeholder group. Many projects that did track adoption reported successful behavior-change and environmental

outcomes. Yet it was not always clear what concrete behavior change was being measured and how. This highlights an opportunity for GEF projects moving forward to include explicit behavior-change indicators in their results framework. These indicators should clearly describe what behavior change is expected, from which stakeholder group(s), and how concrete change will be measured and reported on, in line with STAP advice.

86. In some projects that did not have explicit behavior-change indicators, successful behavior change might be assumed from the achievement of combined output and outcome targets. Still, these indicators do not allow projects to assess how well they are addressing the needs, motivations, and barriers of target stakeholders, which is crucial for the sustainability and scaling-up of outcomes.

87. The project taxonomy in the GEF Portal is helpful for identifying which projects support behavior change, and therefore which ones would benefit from applying the STAP checklist. But projects focused on capacity-development outcomes typically do not signal explicit intentions to promote behavior change, whether in their project documents or through their project taxonomy. If most capacity-development projects continue to track only output indicators, they miss the opportunity to track their effectiveness in achieving the broader project objectives.

#### IV. MONITORING AND EVALUATION

88. Project M&E data help determine whether project implementation is on course and achieving its intended results, and the extent to which the observed results are consistent with the project's theory of change. The GEF Evaluation Policy's (2019) Minimum Requirements 1 and 2 lay down the minimum expectations for project M&E design and implementation. This chapter presents an analysis of the validated ratings for the quality of M&E design and implementation in completed projects, along with factors that affect these ratings. It also presents the findings of a detailed examination of how results indicators are reported on in completed projects approved from GEF-6 onwards.

##### 1. Methodology

###### *Questions*

89. The assessment of project M&E seeks to answer the following questions:
- (a). What are the trends in quality of project M&E design and implementation?
  - (b). Do project M&E plans list indicators to measure each of the project objectives and outcomes?
  - (c). Do projects measure and report on the listed indicators at project completion?



## Methodological approach

### Trends in M&E design and implementation

90. The quality of M&E design and implementation covers the cumulative portfolio of completed GEF projects described in detail in chapter 2. Of the 2,134 projects in the cumulative portfolio, 1,980 have been rated for quality of M&E design and 1,895 have been rated for quality of M&E implementation. Of the APR 2023 cohort of 328 projects, 289 projects have been rated for quality of M&E design and 320 projects for M&E implementation. The analysis is based on the rated projects. The rating approach is described in detail in annex B.

### Review of project results indicators

91. The GEF IEO carried out a detailed review of M&E indicators of completed projects that were approved in GEF-6 or later, and for which GEF Agencies had submitted a terminal evaluation on the GEF Portal through September 2022. A total of 66 projects—65 approved in GEF-6 and one in GEF-7—were screened to identify projects that were expected to produce environmental outcomes by project completion. Project documents at the point of CEO endorsement/approval and terminal evaluation were reviewed. Of the 66 projects, 45 were screened out. Six projects were screened out because these focused on creating an enabling environment, although only one of these was approved as an enabling activity. These projects are not expected to have a detailed M&E plan, and reporting through terminal evaluation is usually focused on outputs. Thirty-nine projects were screened out because they were not expected to achieve an environmental outcome within the project implementation time frame. A panel of two reviewers screened the projects. Decisions related to inclusion and exclusion reflect the consensus of the panel.

92. Majority of the projects examined in detail are full size, multifocal, and implemented by UNDP (Table 7). Full-size projects were more likely to be retained after screening because these generally include investments that contribute to achievement of environmental outcomes by project completion.

Table 7: Distribution of screened projects

Category	Total screened	Reviewed for reporting on results indicators
<b>Project type</b>		
Enabling activity	1	0
Medium size	44	9
Full size	21	12
<b>Focal area</b>		
Biodiversity	9	2
Chemicals and waste	4	3
Climate change	20	5
International waters	8	0
Land degradation	2	0
Multifocal	23	11
<b>Agency</b>		
CI	8	1

FAO	4	1
IDB	1	0
IUCN	1	0
UNDP	40	16
UNIDO	1	1
World Bank	6	1
Joint projects	5	1
Total	66	21

93. Documents examined included those submitted at CEO endorsement/approval, and completion (including terminal evaluation report, tracking tools, and core-indicators worksheet). Data on project objectives, outcomes, and indicators were gathered by two reviewers that jointly reviewed the documents using an instrument (annex F).

94. The 21 projects that were examined in detail altogether had 110 objectives/expected outcomes. The number of objectives and outcomes per project ranged from 3 to 11. The review assessed whether indicators were specified for an individual objective or outcome, and if specified, whether the indicator(s) specified for an objective or outcome was/were adequate, i.e., whether an indicator by itself or in combination with other indicators provides a solid sense of achievement of the corresponding objective or outcome.

95. Project M&E documents specified 320 indicators to track the 110 objectives and outcomes listed in the 21 projects. However, a closer examination showed that some of the indicators were composed of several indicators that needed to be tracked individually. For example, one of the indicators listed for the UNDP-implemented multifocal project Sustainable Forest and Land Management in the Dry Dipterocarp Forest Ecosystems of Southern Lao PDR (GEF ID 6940) tracks improvements in biodiversity and ecosystem services due to mainstreaming. The description of the indicator clarifies that it will track changes through measurement of changes in the Biodiversity Intactness Index for Dry Forests; populations of Eld’s Deer, Silvered Leaf Monkey, Asian Elephant, Francois’ Langur, and Siamese Crocodile; and base flows in downstream area. This review treated each of these indicators as separate indicators. This review used indicators as a unit of analysis. Where specified, an indicator was the most disaggregated unit for which measurement was tracked. In all, reporting on 470 indicators is tracked in the review.

2. Findings

*Trends in project M&E ratings*

96. **Majority of projects in the APR 2023 cohort are rated in the satisfactory range for M&E design (84 percent) and M&E implementation (74 percent; Figure 13) – overall, there is an improving trend in M&E ratings.** Findings also show that cumulatively 69 percent of the projects are rated in the satisfactory range for M&E design, and 66 percent for implementation of M&E plan. At this point, 88 percent of the completed GEF-6 projects are rated in the satisfactory range for M&E. Of the completed projects, a statistically higher percentage of those

approved from GEF-5 onwards is rated in the satisfactory range for M&E design and implementation (Figure 14).

Figure 13: Quality of M&E – projects rated in satisfactory range by GEF replenishment period

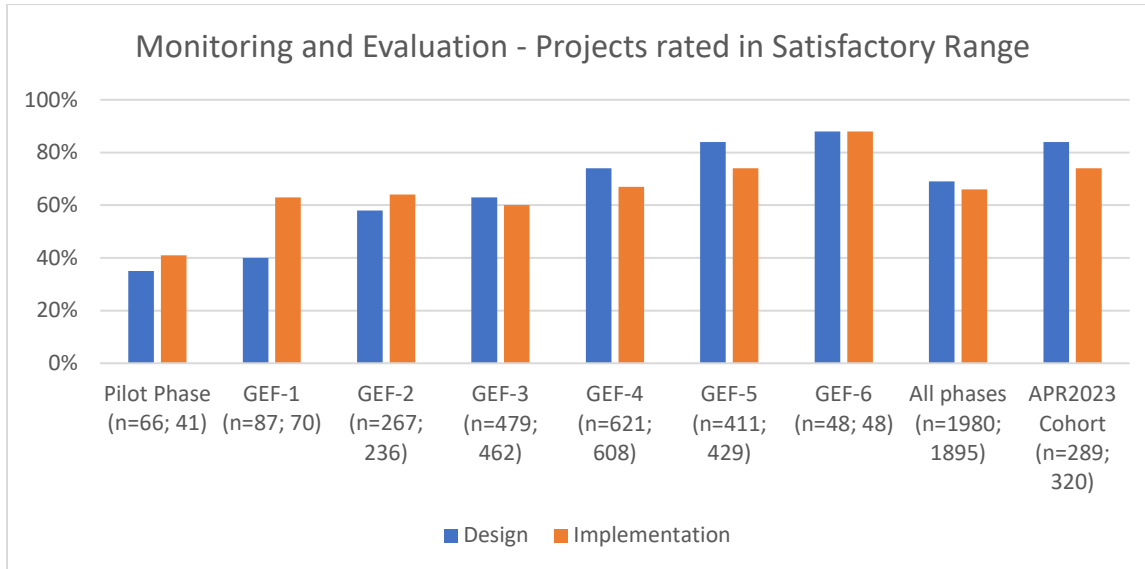
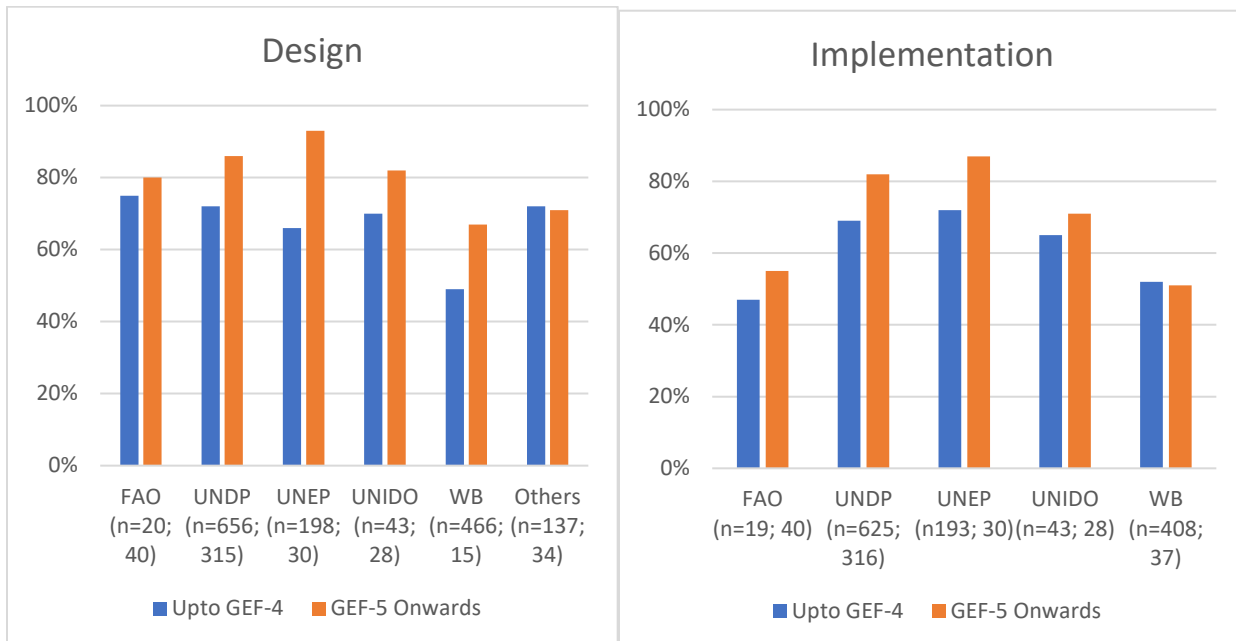


Figure 14: Quality of M&E design and implementation – projects rated in satisfactory range by Agency



*Project monitoring indicators*

97. **Project M&E plans listed indicators to measure achievement for each of the project objectives and outcomes described in the project documents. All 110 objectives and outcomes**

of the 21 projects examined had one or more indicators that measured achievement. For 88 objectives and outcomes (80 percent), the corresponding results indicators were assessed to be adequate. Although indicators were found to be inadequate in the case of 22 objectives and outcomes (20 percent), these were spread over 15 projects (71 percent). In other words, majority of projects had at least one objective or outcome for which the listed indicators were not sufficient to measure achievement of the corresponding objective or outcome (Table 8).

Table 8: Adequacy of results indicators in measuring achievement of corresponding objective/outcomes

Category	Observations		Percentage of instances where indicators were adequate
	Projects	Listed objectives/outcomes	
		Project type	
MSP	9	40	80
FSP	12	70	80
		Focal area	
Biodiversity	2	8	75
Chemicals and waste	3	20	90
Climate change	5	18	78
Multifocal	11	64	78
		Agency	
UNDP	16	89	81
Other GEF Agencies	5	21	76
		Geographical scope	
National	18	92	84
Global and regional	3	18	61
Total	21	110	80

Note: MSP=medium-size project; FSP=full-size project.

98. **Several examples illustrate how the listed indicators were inadequate to measure achievement of the corresponding objective or outcome.** One of the expected outcomes of the Reducing Deforestation from Commodity Production Project (GEF ID 9180, UNDP) was that the responsible governmental authorities, along with private sector and civil society organizations, build consensus and reduce conflict related to the production and growth of target commodities at national and subnational levels. The achievement of this outcome was measured through the number of national and subnational commodity platforms, and the number of district or landscape forums that were established and operational. Although such forums may build consensus and reduce conflict, their establishment and operation alone do not indicate that the outcome was achieved. Similarly, one of the sub-outcomes of the Sixth Operational Phase of the GEF SGP in Pakistan (GEF ID 9331, UNDP) is increased use of renewable energy or energy efficiency technologies at community level. However, the only indicator specified to measure its achievement is “tons of CO<sub>2</sub>e avoided over three years.” Although relevant, the indicator does not capture progress on the objective that the communities use more renewable energy or energy efficiency technologies.

99. **Of the 470 results indicators listed in the reviewed project M&E plans, the level of achievement was measured and reported in 86 percent.** In 84 percent of instances, achievement is measured and reported using the units specified in the M&E plan consistently

(Table 9). Inconsistency in reporting on tracking tools was a concern in past evaluations conducted by the GEF IEO (GEF IEO 2017). Therefore, this finding denotes improved consistency in reporting. Indicators in FSPs (92 percent) had a higher rate of reporting at project completion compared to those in MSPs (75 percent). Lower rates of reporting were observed in climate change and in regional and global projects.

Table 9: Reporting on results indicators at project completion – by project category

Category	Observations		Percentage of indicators for which measurements are reported at completion	Percentage of indicators for which same units are used for reporting achievement as were used to specify the target	
	Projects	Objectives and outcomes			Indicators
<b>Project type</b>					
MSP	9	40	179	75	73
FSP	12	70	291	92	91
<b>Focal area</b>					
Biodiversity	2	8	40	93	90
Chemicals and waste	3	20	78	94	92
Climate change	5	18	90	59	59
Multifocal	11	64	262	92	90
<b>Agency</b>					
UNDP	16	89	372	90	89
Other GEF Agencies	5	21	98	69	68
<b>Geographical scope</b>					
National	18	92	407	91	90
Global and regional	3	18	63	52	52
<b>Total</b>	<b>21</b>	<b>110</b>	<b>470</b>	<b>86</b>	<b>84</b>

100. **Thirty-three percent of the projects reported on all M&E indicators at completion; the remainder had at least one indicator they did not report on.** For example, the Growing Green Business in Montenegro Project (GEF ID 9950, UNDP) reported on 12 of 16 results indicators in its project M&E plan. The Sixth Operational Phase of the GEF Small Grants Programme in Costa Rica (GEF ID 9088, UNDP) reported on 40 of its 44 indicators at completion.

101. **The level of reporting does not differ significantly whether an indicator measures project impact or outcome, or measures project output, or whether an indicator pertains to an environmental benefit or another type of benefit (Table 10).** Of 23 instances of core indicator use in the reviewed projects, in 96 percent of cases (22 instances) observed change in indicators was reported on at completion. While the level of reporting at completion for core indicators is nominally higher than that for sub-indicators<sup>17</sup> (sub-core indicators) and other results indicators, the difference is not statistically significant. Nonetheless, the direction of the observed difference is consistent with the expectation that GEF Agencies will give greater

<sup>17</sup> Sub-indicators (sub-core indicators) are supporting indicators that facilitate reporting on core-indicators.

attention to reporting on core indicators. As more projects from GEF-6 are completed, it will be possible to report whether a high rate of reporting on core indicators is maintained.

Table 10: Reporting on results indicators at project completion – by indicator category

Category	Indicators	Indicators reported on at completion	Consistent usage of units used for reporting achievement
<b>Status as corporate results indicator</b>			
Core indicators	23	22 (96%)	22 (96%)
Sub-indicators	55	49 (89%)	49 (89%)
Other indicators	392	333 (85%)	326 (83%)
<b>Theory of change – results tracked</b>			
Measures impact and outcome	205	180 (88%)	177 (86%)
Measures project output	265	224 (85%)	220 (83%)
<b>Benefits measured</b>			
Environmental benefits*	74	64 (86%)	64 (86%)
Other benefits**	396	340 (86%)	333 (84%)
<b>Total</b>	<b>470</b>	<b>404 (86%)</b>	<b>397 (84%)</b>

\*Indicators that measure environmental stress reduction and/or status change.

\*\*These include indicators measuring results that may contribute to environmental benefits in due course but do not provide direct evidence of environmental benefits.

102. The measurement and reporting on indicators will be studied further as terminal evaluations for more GEF-6 and GEF-7 projects become available. It will allow the GEF IEO to draw more robust inferences on current practice in specification, measurement, and reporting of indicators.

## V. MANAGEMENT ACTION RECORD (MAR)

103. The GEF IEO has presented the management action record (MAR) to the GEF Council on an annual basis since 2006. The MAR is the main accountability mechanism to monitor and report on the progress in implementation of the GEF IEO's recommendations contained in the evaluations presented to the GEF Council. Prior to 2021, the Council endorsed the recommendations, and the GEF IEO tracked their implementation. GEF management provided a response to the IEO evaluations and recommendations, but the specific actions included in its response were not endorsed by the Council.

104. As a follow-up to the Professional Peer Review of the Independent Evaluation Function of the Global Environment Facility (GEF IEO 2019b), the GEF IEO, in consultation with the GEF Secretariat and the Council, revised the MAR process. As part of this revision, GEF management responds to each GEF IEO evaluation recommendation with an action plan, and the Council comments on and endorses this action plan. The GEF IEO then tracks progress in the implementation of management's action plan. The GEF Council began endorsing management's action plans in June 2021.

105. In November 2022, the GEF IEO presented its Review of the GEF Management Action Record to the GEF Council (GEF IEO 2022d). The review aimed at understanding the principal

themes for recommendations in the evaluations, and the factors that affect the level of adoption and follow-up. The review also provided early feedback on management responses, including its action plans that were prepared after the changes in the MAR process were adopted in June 2021. The review had two recommendations. First, the “GEF management should ensure that the action plan included in its management response to GEF IEO recommendations lists specific actions with timelines where appropriate.” Second, the “GEF should improve the MAR process and reporting through a more participatory approach involving GEF Agencies, where relevant, and develop a suitable platform for tracking the implementation of action plans.” In its response, the GEF management expressed its agreement with both the recommendations and implemented the first with immediate effect. MAR2023 is the first MAR to be prepared after incorporating the changes that resulted from the decisions taken in June 2021 and November 2022.

## 1. Methodology

### *Coverage*

106. MAR 2023 covers 14 evaluations prepared by the GEF IEO (table 11). These evaluations were presented to the GEF or LDCF Council from November 2017 through June 2022. Collectively, these evaluations provide 52 recommendations, of which progress in implementation of management’s action plans is assessed for 41. These 41 recommendations are those where management agreed or partially agreed with the recommendation and had listed actions to address it, and the recommendation has not yet been graduated from the MAR process. Progress in implementation of the action plan was not assessed for 11 recommendations that did not meet the conditions for inclusion.

*Table 11: Distribution of evaluation recommendations covered in MAR 2023 – by evaluation*

Shortened name of the evaluation	Presented to the GEF/LDCF Council in	Number of evaluation recommendations	Assessed for progress in implementation of action plan
Integrated Approach Pilots	Nov 2017	3	3
Multiple Benefits of the MFA Portfolio	Nov 2017	3	1
Least Developed Countries Fund	Dec 2020	2	1
Fragile and Conflict-Affected Situations	Dec 2020	5	2
Artisanal and Small-Scale Gold Mining	Dec 2020	4	1
Small Grants Program	June 2021	9	9
Country Support Programme	June 2021	6	6
GEF Integrated Approach	June 2021	3	3
Support to Innovation	June 2021	3	3
Institutional Policies and Engagement	June 2021	3	3
Micro, Small, and Medium Enterprises	June 2021	2	2
Self-Evaluation Systems & the Portal	June 2021	4	4
Climate Risk, Adaptation, and Resilience	June 2021	2	2
Sustainable Forest Management	June 2022	3	1
<b>All evaluations</b>		<b>52</b>	<b>41</b>

*Rating approach*

107. For each GEF IEO recommendation for which implementation of management's action plan is assessed, GEF management has provided a self-rating and commentary describing the progress. The GEF IEO has validated management's ratings and has provided its assessment on the progress.

108. The scale for assessment of the level of implementation of the management action plan is analogous to that used in past MARs. However, the description of the ratings has been updated to reflect the revised MAR process. The implementation progress ratings are as follows:

- (a) **High.** Management's action plan for the relevant recommendation has been fully implemented.
- (b) **Substantial.** Management's action plan for the relevant recommendation has largely been implemented or most actions have been implemented, but some aspects/actions have not been fully implemented.
- (c) **Medium.** Some of the actions listed in management's action plan have been implemented but not to a significant degree. Alternatively, while some of the specified actions have been implemented, there is only a limited progress in implementation of the key specified actions.
- (d) **Negligible.** Specified actions have not yet been implemented or the progress made so far is negligible.
- (e) **Not rated.** Sufficient information on implementation is not available to allow an assessment of progress.
- (f) **N/A.** Not applicable.

109. Of the six rating categories, "high," "substantial," "medium," and "negligible," indicate level of progress. "Not rated" indicates lack of sufficient information to assess progress, whereas a "not applicable" rating may be used when subsequent decisions taken by the GEF Council supersede management's action plan.

110. The evaluation recommendations and the related action plans are tracked in the MAR for up to five years. These may be graduated or retired from the MAR for one or more of the following reasons:

- (a) **Graduated** due to high or, where appropriate, substantial level of progress in implementation of management's action plan; and/or
- (b) **Retired** because the evaluation recommendation and related action plan is not relevant anymore, or further progress on implementation of the action plan is unlikely. An automatic reason for retirement would be if a recommendation and the related action plan have been covered in the MAR for five years.



## 2. Findings

### *Agreement in the assessment of implementation progress*

111. **The IEO and management provided identical ratings on progress in implementation of management’s action plan in the majority of instances; where the ratings differed, the ratings provided by the IEO were lower by one grade level** (Table 12). GEF management and the IEO provided identical ratings on implementation progress in 59 percent of the recommendations (24 out of 41). Where both the GEF IEO and the GEF management have rated progress, the share of identical ratings is 67 percent (22 out of 33). In all 11 instances where the rating differed, the ratings provided by the GEF IEO are lower by a grade. In these cases, the IEO assessed that, based on the available evidence, actual progress in implementation of management’s action plan was somewhat lower than indicated by management’s self-rating.

*Table 12: Distribution of management and GEF IEO ratings on progress of implementation of management’s action plan for a GEF IEO recommendation*

GEF IEO’s ratings	Management’s ratings					Total
	High	Substantial	Medium	Negligible	Not rated	
High	10	0	0	0	0	10
Substantial	6	2	0	0	0	8
Medium	0	3	9	0	0	12
Negligible	0	0	2	1	0	3
Not rated	2	3	1	0	2	8
Total	18	8	12	1	2	41

112. GEF management did not rate the progress in implementation of its action plan in two instances, and the GEF IEO did not rate it in eight instances due to limited availability of information.

113. In the two instances where management did not rate progress in implementation, one pertains to the first recommendation of the evaluation of [GEF Support to Innovation – Findings and Lessons](#) (GEF IEO 2021b). The evaluation recommended that since innovations may involve risks, the GEF Secretariat should monitor the risks across the GEF portfolio regularly, and that the GEF Council, together with the GEF Secretariat and STAP, should assess and determine an acceptable level of risk tolerance for the GEF portfolio. In its response, GEF management committed that it would seek guidance from both STAP and the GEF Council to examine the risk versus innovation trade-off to establish a clear baseline for risk acceptance in GEF-8 programming and to assess risks in the GEF portfolio of ongoing projects and programs. In its assessment of the progress, management noted that this “analysis of risk has been pushed to the December Council meeting due to many other competing demands....” It, therefore, did not rate the implementation of the action plan.

114. The second instance where management did not rate progress in implementation of recommendation pertains to the third recommendation of the [Review of the Integrated Approach Pilot \(IAP\) Programs](#) (GEF IEO 2018b). The recommendation called for clarification of

the role of global environmental-benefit targets of the IAPs and how these will be measured at the program level. In its assessment, the Secretariat noted that the OPS-7 evaluation of impact programs conducted by the GEF IEO reported some progress toward results, and that as the IAPs approach completion it is likely that more data on delivery of global environmental benefits will become available. Management's response, however, did not clarify how it will contribute to this end.

*Progress in implementation of action plans*

*High or substantial progress*

**115. The IEO rated high or substantial progress in implementation in 55 percent of recommendations.** Of the 33 recommendations for which the GEF IEO rated progress in implementation, it rated the progress to be high for 10 recommendations, covering several evaluations. In these cases, management's action plan had been fully implemented. Implementation of management's action plan was rated high for four of the six recommendations of the Evaluation of the Country Support Programme (GEF IEO 2021a; Table 13). To illustrate, the second recommendation of the evaluation had called for development of a clear strategy and a financially robust implementation plan for the program. In its response, management indicated its agreement with the recommendation, and noted that an updated strategy with attention to articulation of intervention logic will be developed. When taking stock of the progress in implementation of the action plan, both GEF management and the IEO reported that a strategy and an implementation plan for the Country Support Programme has been developed, and it provides clear description of, and budget lines for, the supported activities. These developments fully implement the actions listed in the action plan and satisfactorily address the intent of recommendation. The Formative Evaluation of the GEF Integrated Approach to Address the Drivers of Environmental Degradation (GEF IEO 2022b) and Third Joint GEF-UNDP Evaluation of the Small Grants Programme (GEF IEO 2021e) were other evaluations with at least two recommendations for which progress in implementation of management's action plan was rated high.

**116. The IEO rated substantial progress in implementation of management's action plan in 8 recommendations.** In these instances, almost all or most of the planned actions have been implemented. For example, the report Results Based Management: Evaluations of the Agency Self-Evaluation Systems and the GEF Portal (GEF IEO 2021d) had two recommendations pertaining to strengthening the self-evaluation systems: strengthen use of project midterm reviews for learning and adaptive management; and strengthen learning, support for cross-Agency exchanges, and incentives for candor. The GEF IEO noted the substantial progress in implementation of management's action plan to address these recommendations but found that there was scope for further improvement. For example, even though guidance for preparation of midterm reviews has been strengthened and it is easier to track submission of midterm reviews on the GEF Portal, there are gaps in the preparation and submission of these reviews.

Table 13: Distribution of GEF IEO ratings on progress of implementation of management's action plan for a GEF IEO recommendation – by evaluation

Shortened name of the evaluation	High	Substantial	Medium	Negligible	Not rated	Total
Integrated Approach Pilots (2017)	1	0	0	0	2	3
Multiple Benefits of the MFA Portfolio (2017)	0	1	0	0	0	1
Least Developed Countries Fund (2020)	0	0	1	0	0	1
Fragile and Conflict-Affected Situations (2020)	0	0	2	0	0	2
Artisanal and Small-Scale Gold Mining (2020)	1	0	0	0	0	1
Small Grants Program (2021)	2	2	3	2	0	9
Country Support Programme (2021)	4	0	2	0	0	6
GEF Integrated Approach (2021)	2	1	0	0	0	3
Support to Innovation (2021)	0	0	1	1	1	3
Institutional Policies and Engagement (2021)	0	1	1	0	1	3
Micro, Small, and Medium Enterprises (2021)	0	1	0	0	1	2
Self-Evaluation Systems & the Portal (2021)	0	2	0	0	2	4
Climate Risk, Adaptation, and Resilience (2022)	0	0	1	0	1	2
Sustainable Forest Management (2022)	0	0	1	0	0	1
All evaluations	10	8	12	3	8	41

### *Medium or negligible progress*

117. **Progress in implementation of management's action plan in 15 recommendations is rated medium or negligible.** In 12 instances where progress is rated as medium, only a few of the planned actions have been implemented, or major actions are yet to be implemented. For example, progress in implementation of the action plans for two recommendations from the Evaluation of GEF Support in Fragile and Conflict-Affected Situation (GEF IEO 2020a) are rated medium. In response to one of the recommendations (Recommendation 2), management planned to develop GEF guidance on conflict-sensitive programming. In its self-assessment, management reported that it had produced an internal set of good practices as a first step and is undertaking a more in-depth study of GEF Agency good practices to develop a more formal guidance document. Management rated the implementation progress to be medium and the GEF IEO agreed with this assessment.

118. **For three recommendations, progress in implementation of management's action plan is rated as negligible.** Two of these pertain to the Third Joint GEF-UNDP Evaluation of the Small Grants Programme (2021), and one recommendation pertains to GEF Support to Innovation: Findings and Lessons (GEF IEO 2021b). Of the two Small Grants Programme (SGP) evaluation recommendations for which progress is negligible, one called for testing of new ways to track and aggregate the intangible results of capacity-building activities, monitoring and evaluation, communications, and knowledge management. The action plan for this recommendation included the Secretariat, ensuring that the SGP strategy for GEF-8 is aligned with GEF policies and guidelines, and its results framework is aligned with the GEF-8 results architecture and the GEF strategy on knowledge management and learning. The other recommendation called for improvement in the approach to measurement of sustainability. The action plan for this recommendation included a commitment for the Secretariat working with UNDP and the

Central Programme Management Team (CPMT) to “understand more deeply the factors that influence sustainability in the SGP, and the ways in which these factors can be influenced within the parameters of the program.”

119. On both these recommendations, the GEF IEO assessed that management had made little progress. One of the recommendations of the evaluation of the Support to Innovation (GEF IEO 2021b) called for the GEF to require monitoring, midterm reviews, evaluation, and knowledge sharing in all innovative projects regardless of the scale of GEF funding. Management’s response noted that it will use the GEF partnership-wide knowledge management strategy to facilitate harnessing and dissemination of lessons on multiple dimensions of GEF projects, including innovation. It also indicated that it would consider several enhancements in the GEF Portal to facilitate learning related to innovative projects. Both the self-assessment by the GEF Secretariat and validation by the GEF IEO indicate that limited progress had been made in implementing the planned actions.

*Ratings at exit*

120. **Of the 41 recommendations that were covered in MAR 2023, 10 will graduate because of high progress in the implementation of management’s action plan (Table 14).** Three will retire because by 2024 these recommendations would have been in the MAR for more than five years and will be considered in future IEO evaluations. Twenty-eight recommendations will be retained for MAR 2024, when progress in implementation of management’s action plan will be reassessed. Of those retained, a quarter have achieved a substantial level of progress in implementation of management’s action plan. These have not been retired because the GEF IEO assesses that there is scope for further progress.

*Table 14: Distribution of recommendations – by progress in implementation rating and exit status*

Action taken	High	Substantial	Medium	Low	Not rated	Total
Graduate	10	0	0	0	0	10
Retire	0	1	0	0	2	3
Retain	0	7	12	3	6	28
Total	10	8	12	3	8	41

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## ANNEX A. LIST OF PROJECTS IN APR 2023 COHORT

Table A1. Projects in APR 2023 Cohort

GEF ID	Title	GEF Agency	Focal Area	Country	GEF Replenishment Phase
612	World Water Vision - Water and Nature	WB	IW	Global	GEF - 2
666	Coastal Zone Management along the Gulf of Aden	WB	BD	Yemen	GEF - 2
1302	Conservation of Key Forests in the Sangihe-Talaud Islands	WB	BD	Indonesia	GEF - 2
1316	Energy Efficiency Co-Financing Program 2 (HEECP2)	WB	CC	Hungary	GEF - 2
1335	Bioenergy for Sustainable Rural Development	UNDP	CC	Egypt	GEF - 3
2100	Support to the Congolese Institute for Nature Conservation (ICCN)'s Program for the Rehabilitation of the DRC's National Parks Network	WB	BD	Congo DR	GEF - 3
2692	Market Transformation through Energy Efficiency Standards and Labeling of Appliances in South Africa	UNDP	CC	South Africa	GEF - 4
2718	Development Marketplace	WB	BD	Global	GEF - 3
2778	Sugarcane Renewable Electricity (SUCRE)	UNDP	CC	Brazil	GEF - 4
2787	CBPF: Shaanxi Qinling Mountains Integrated Ecosystem Development	ADB	BD	China	GEF - 4
3209	Strengthening Protected Area Financing and Management Systems	UNDP	BD	Egypt	GEF - 4
3337	BS Biosafety Project	UNEP	BD	Romania	GEF - 4
3348	POPs Monitoring Reporting and Information Dissemination Using Pollutant Release and Transfer Registers (PRTRs)	UNEP	Chem	Global	GEF - 4
3369	SIP: Sustainable Land Management in Ghana	WB	LD	Ghana	GEF - 4
3435	SFM Sustainable Forest and Biodiversity Management in Borneo	ADB	MF	Indonesia	GEF - 4
3483	PRC-GEF Partnership: Forestry and Ecological Restoration in Three Northwest Provinces (formerly Silk Road Ecosystem Restoration Project)	ADB	MF	China	GEF - 4
3574	Mainstreaming Biodiversity in Sustainable Cattle Ranching	WB	MF	Colombia	GEF - 4
3587	CPP Cuba: Coordination, Monitoring and Evaluation of Cuba Country Pilot Partnership on Sustainable Land Management	UNDP	LD	Cuba	GEF - 3
3646	BS Support the Implementation of the National Biosafety Framework of Lesotho	UNEP	BD	Lesotho	GEF - 4
3670	CBPF: Jiangsu Yancheng Wetlands System Protection	ADB	BD	China	GEF - 4
3722	Improving Brazilian Capacity to Conserve and Use Biodiversity through Information Management and Use	UNEP	BD	Brazil	GEF - 4
3744	Integrated Renewable Biomass Energy Development Project	ADB	CC	China	GEF - 4
3809	Red Sea and Gulf of Aden Strategic Ecosystem Management	WB	IW	Regional	GEF - 4
3837	SPWA-BD: Biodiversity Conservation through Expanding the Protected Area Network in Liberia (EXPAN)	WB	BD	Liberia	GEF - 4

GEF ID	Title	GEF Agency	Focal Area	Country	GEF Replenishment Phase
3906	Enhancing the Effectiveness and Financial Sustainability of Protected Areas	UNDP	BD	Malaysia	GEF - 4
3936	IND-BD Mainstreaming Coastal and Marine Biodiversity Conservation into Production Sectors in the Godavari River Estuary in Andhra Pradesh State	UNDP	BD	India	GEF - 4
3954	PAS: Community-Based Forest and Coastal Conservation and Resource Management in PNG	UNDP	BD	Papua New Guinea	GEF - 4
3989	MENARID: A Circular Economy Approach to Agrobiodiversity Conservation in the Souss-Massa Dr?a Region of Morocco	UNDP	BD	Morocco	GEF - 4
4022	BS Implementation of the National Biosafety Framework	UNEP	BD	Bangladesh	GEF - 4
4052	TT-Pilot (GEF-4): Technology Transfer for Grid-Connected Rooftop Photovoltaic Systems	UNDP	CC	Seychelles	GEF - 4
4073	SPWA-CC: Promotion of Jatropha Curcas as a Sustainable Source of Agrofuel in Burkina-Faso	UNDP	CC	Burkina Faso	GEF - 4
4074	Africa Stockpiles Program (ASP) - Project 1- Supplemental Funds for Disposal and Prevention	WB	Chem	Regional	GEF - 4
4090	SPWA-BD: Niger Delta Biodiversity Project	UNDP	BD	Nigeria	GEF - 4
4091	Capacity Building for Access and Benefit Sharing and Conservation and Sustainable Use of Medicinal Plants	UNEP	BD	Ethiopia	GEF - 4
4102	Initial Implementation of Accelerated HCFC Phase-out in the CEIT Region	UNDP	Chem	Regional	GEF - 4
4104	Sustainable Land Management	WB	MF	Chile	GEF - 4
4108	PCB Management Project	WB	Chem	Lebanon	GEF - 4
4130	Kathmandu Sustainable Urban Transport (SUT) Project	ADB	CC	Nepal	GEF - 4
4131	PAS: Fiji Renewable Energy Power Project (FREPP)	UNDP	CC	Fiji	GEF - 4
4136	TT-Pilot (GEF-4): Promotion and Development of Local Solar Technologies in Chile	IDB	CC	Chile	GEF - 4
4139	Market Transformation for Energy Efficient Lighting in Morocco	UNEP	CC	Morocco	GEF - 4
4167	LGGE Promoting Energy Efficiency and Renewable Energy in Buildings in Jamaica	UNEP	CC	Jamaica	GEF - 4
4182	Biodiversity Conservation in Multiple-Use Forest Landscapes in Sabah	UNDP	BD	Malaysia	GEF - 4
4233	CPP: Sub-Program for Sustainable Land Management in Boucle de Mouhoun region.	UNDP	LD	Burkina Faso	GEF - 3
4282	PAS: Grid Connected Solar PV Central Station Project	WB	CC	Kiribati	GEF - 4
4301	CPP: SLM subprogram for the Centre-West Region	UNDP	LD	Burkina Faso	GEF - 3
4343	EAS: Implementation of the Yellow Sea LME Strategic Action Programme for Adaptive Ecosystem-Based Management	UNDP	IW	Regional	GEF - 5
4344	Promoting Sustainable Bio-energy Production from Biomass	UNDP	CC	Timor Leste	GEF - 5

GEF ID	Title	GEF Agency	Focal Area	Country	GEF Replenishment Phase
4356	Securing Biodiversity Conservation and Sustainable Use in China's Dongting Lake Protected Areas	FAO	BD	China	GEF - 5
4374	Removing Barriers to Wind Power Development in Belarus	UNDP	CC	Belarus	GEF - 5
4377	Development and Commercialization of Bioenergy Technologies in the Municipal Sector in Ukraine	UNDP	CC	Ukraine	GEF - 5
4392	Protect Human Health and the Environment from Unintentional Releases of POPs Originating from Incineration and Open Burning of Health Care- and Electronic-waste	UNDP	Chem	Egypt	GEF - 5
4434	Strengthening the Adaptive Capacity and Resilience of Rural Communities Using Micro Watershed Approaches to Climate Change and Variability to Attain Sustainable Food Security	FAO	CC	Cambodia	GEF - 5
4454	Integrated Management of the Yallahs River and Hope River Watersheds	IDB	MF	Jamaica	GEF - 5
4456	Conservation and Sustainable Use of the Threatened Savanna Woodland in the Kidepo Critical Landscape in North Eastern Uganda	UNDP	BD	Uganda	GEF - 5
4459	Development of Sustainable Renewable Energy Power Generation (SREPGen)	UNDP	CC	Bangladesh	GEF - 5
4469	Integrated Approach to Management of Forests, with Demonstration in High Conservation Value Forests in the Mediterranean Region	UNDP	MF	T?rkiye	GEF - 5
4477	Comprehensive Reduction and Elimination of Persistent Organic Pollutants in Pakistan	UNDP	Chem	Pakistan	GEF - 5
4483	Enabling Trans-boundary Cooperation and Integrated Water Resources Management in the Extended Drin River Basin	UNDP	IW	Regional	GEF - 5
4485	Integrated PCB Management in Costa Rica	UNDP	Chem	Costa Rica	GEF - 5
4550	Strengthening Multi-sectoral Management of Critical Landscapes	UNDP	LD	Samoa	GEF - 5
4590	Delivering Multiple Global Environment Benefits through Sustainable Management of Production Landscapes	UNDP	MF	Honduras	GEF - 5
4599	Building Adaptive Capacity to Catalyze Active Public and Private Sector Participation to Manage the Exposure and Sensitivity of Water Supply Services to Climate Change in Sierra Leone	UNDP	CC	Sierra Leone	GEF - 5
4601	POPs Legacy Elimination and POPs Release Reduction Project	UNDP	Chem	T?rkiye	GEF - 5
4610	Adaptation to Climate Impacts in Water Regulation and Supply for the Area of Chingaza - Sumapaz - Guerrero	IDB	CC	Colombia	GEF - 5
4611	Reducing UPOPs and Mercury Releases from the Health Sector in Africa	UNDP	Chem	Regional	GEF - 5
4617	Municipal Solid Waste Management	WB	Chem	China	GEF - 5

GEF ID	Title	GEF Agency	Focal Area	Country	GEF Replenishment Phase
4637	Marine and Coastal Protected Areas	WB	BD	Brazil	GEF - 5
4639	Strengthening Management Effectiveness and Generating Multiple Environmental Benefits within and around the Greater Kafue National Park in Zambia	UNDP	MF	Zambia	GEF - 5
4645	Hwange-Sanyati Biological Corridor (HSBC) Project	WB	MF	Zimbabwe	GEF - 5
4651	A Landscape Approach to Wildlife Conservation in Northeastern China	WB	BD	China	GEF - 5
4677	GMS-FBP: Strengthening Capacity and Incentives for Wildlife Conservation in the Western Forest Complex	UNDP	MF	Thailand	GEF - 5
4690	Capturing Coral Reef and Related Ecosystem Services (CCRES)	WB	IW	Regional	GEF - 5
4700	Integrating Community-based Adaptation into Afforestation and Reforestation Programmes in Bangladesh	UNDP	CC	Bangladesh	GEF - 5
4702	Integrating Climate Resilience into Agricultural and Pastoral Production for Food Security in Vulnerable Rural Areas through the Farmers Field School Approach	FAO	CC	Niger	GEF - 5
4708	Strengthening the Sub-system of Coastal and Marine Protected Areas	UNDP	BD	Honduras	GEF - 5
4714	Effective and Responsive Island-level Governance to Secure and Diversify Climate Resilient Marine-based Coastal Livelihoods and Enhance Climate Hazard Response Capacity	UNDP	CC	Tuvalu	GEF - 5
4717	Expansion and Strengthening of the Protected Area Subsystem of the Outer Islands of Seychelles and its Integration into the Broader Land and Seascape	UNDP	MF	Seychelles	GEF - 5
4718	Production of Sustainable, Renewable Biomass-based Charcoal for the Iron and steel Industry in Brazil	UNDP	CC	Brazil	GEF - 5
4730	Increasing Representation of Effectively Managed Marine Ecosystems in the Protected Area System	UNDP	BD	Azerbaijan	GEF - 5
4737	Elimination of Obsolete Pesticide Stockpiles and Addressing POPs Contaminated Sites within a Sound Chemicals Management Framework	UNDP	Chem	Armenia	GEF - 5
4745	Promoting Utility-Scale Power Generation from Wind Energy	UNDP	CC	Sudan	GEF - 5
4746	Implementation of Global and Regional Oceanic Fisheries Conventions and Related Instruments in the Pacific Small Island Developing States (SIDS)	UNDP	IW	Regional	GEF - 5
4754	Sustainable Land Management Programme to Combat Desertification	UNDP	LD	Pakistan	GEF - 5
4756	Disposal of POPs and Obsolete Pesticides and Strengthening Life-cycle Management of Pesticides	FAO	Chem	Benin	GEF - 5
4760	Conservation of Critical Wetland PAs and Linked Landscapes	UNDP	BD	Viet Nam	GEF - 5
4761	Sustainable Management of Mountainous Forest and Land Resources under Climate Change Conditions	FAO	MF	Kyrgyz Republic	GEF - 5

GEF ID	Title	GEF Agency	Focal Area	Country	GEF Replenishment Phase
4763	Strengthening Management Effectiveness and Resilience of Protected Areas to Safeguard Biodiversity Threatened by Climate Change	UNDP	BD	Mexico	GEF - 5
4770	Integrated Management of Marine and Coastal Areas of High Value for Biodiversity in Continental Ecuador	FAO	BD	Ecuador	GEF - 5
4772	Conservation and Sustainable Use of Biodiversity in Dry Ecosystems to Guarantee the Flow of Ecosystem Services and to Mitigate the Processes of Deforestation and Desertification	UNDP	MF	Colombia	GEF - 5
4774	Conservation and Sustainable Use of Biodiversity, Forests, Soil and Water to Achieve the Good Living (Buen Vivir / Sumac Kasay) in the Napo Province	FAO	MF	Ecuador	GEF - 5
4775	Promotion of Climate-smart Livestock Management Integrating Reversion of Land Degradation and Reduction of Desertification Risks in Vulnerable Provinces	FAO	MF	Ecuador	GEF - 5
4778	Environmental Services Project	WB	MF	Albania	GEF - 5
4797	Climate Proofing Local Development Gains in Rural and Urban Areas of Machinga and Mangochi Districts	UNDP	CC	Malawi	GEF - 5
4801	Promotion of Non-fired Brick (NFB) Production and Utilization	UNDP	CC	Viet Nam	GEF - 5
4810	Strengthening the Marine Protected Area System to Conserve Marine Key Biodiversity Areas	UNDP	BD	Philippines	GEF - 5
4823	Developing National Biodiversity Strategy and Action Plan and Mainstreaming Biodiversity Conservation into Provincial Planning	UNDP	BD	Viet Nam	GEF - 5
4827	Enhancing Wildlife Conservation in the Productive Southern Kenya Rangelands through a Landscape Approach	UNDP	BD	Kenya	GEF - 5
4832	Sustainable Management of Namibia's Forested Lands	UNDP	LD	Namibia	GEF - 5
4840	Energy Efficient Production and Utilization of Charcoal through Innovative Technologies and Private Sector Involvement	UNDP	CC	Sierra Leone	GEF - 5
4841	Strengthening the Effectiveness of the National Protected Area System by Including a Landscape Approach to Management	UNDP	BD	Uruguay	GEF - 5
4848	Improving Management Effectiveness of the Protected Area Network	UNDP	BD	South Africa	GEF - 5
4855	Kihansi Catchment Conservation and Management	WB	BD	Tanzania	GEF - 5
4860	Mainstreaming Biodiversity Conservation and Sustainable Land Management into Production Practices in all Bioregions and Biomes	UNDP	MF	Paraguay	GEF - 5
4862	Reduction of POPs and PTS Release by Environmentally Sound Management throughout the Life Cycle of Electrical and Electronic Equipment and Associated Wastes in China	UNDP	Chem	China	GEF - 5

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4867	Enhancing the Protected Area System in Sulawesi (E-PASS) for Biodiversity Conservation	UNDP	BD	Indonesia	GEF - 5
4869	Urban-Scale Building Energy Efficiency and Renewable Energy	WB	CC	China	GEF - 5
4880	Climate Technology Transfer Mechanisms and Networks in Latin America and the Caribbean	IDB	CC	Regional	GEF - 5
4882	Enabling China to Prepare Its Third National Communication (3NC) and Biennial Update Report to the UNFCCC	UNDP	CC	China	GEF - 5
4884	Nationally Appropriate Mitigation Actions in the Energy Generation and End-Use Sectors	UNDP	CC	Peru	GEF - 5
4892	Transforming Effectiveness of Biodiversity Conservation in Priority Sumatran Landscapes	UNDP	BD	Indonesia	GEF - 5
4900	Scale Up of Access to Clean Energy for Rural Productive and Domestic Uses	UNDP	CC	India	GEF - 5
4901	India: Sustainable Livelihoods and Adaptation to Climate Change (SLACC)	WB	CC	India	GEF - 5
4916	Conservation of Biodiversity in Landscapes Impacted by Mining in the Choco Biogeographic Region	UNDP	BD	Colombia	GEF - 5
4921	Efficient and Sustainable City Bus Services	WB	CC	India	GEF - 5
4939	Supporting Civil Society and Community Initiatives to Generate Global Environmental Benefits using Grants and Micro Loans in the Mediterranean Ecoregion of Chile	UNDP	MF	Chile	GEF - 5
4945	Collaborative Management for Watershed and Ecosystem Service Protection and Rehabilitation in the Cardamom Mountains, Upper Prek Thnot River Basin	UNDP	LD	Cambodia	GEF - 5
4957	Small and Medium Enterprise Energy Efficiency Project	WB	CC	Turkiye	GEF - 5
4958	Climate Risk Finance for Sustainable and Climate Resilient Rainfed Farming and Pastoral Systems	UNDP	CC	Sudan	GEF - 5
4966	Sustainable Groundwater Management in SADC Member States	WB	IW	Regional	GEF - 5
4968	Integrated National Monitoring and Assessment System on Forest Ecosystems (SIMEF) in Support of Policies, Regulations and SFM Practices Incorporating REDD+ and Biodiversity Conservation in Forest Ecosystems	FAO	MF	Chile	GEF - 5
4971	Adapting Natural Resource Dependent Livelihoods to Climate induced Risks in Selected Landscapes in Burkina Faso: the Boucle du Mouhoun Forest Corridor and the Mare d'Oursi Wetlands Basin	UNDP	CC	Burkina Faso	GEF - 5
4990	Community Disaster Risk Management in Burundi	UNDP	CC	Burundi	GEF - 5
4998	Environmental Sound Life-Cycle Management of Mercury Containing Products and their Wastes	UNDP	Chem	Uruguay	GEF - 5

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5004	Strengthening Climate Information and Early Warning Systems in Sao Tome and Principe for Climate Resilient Development and Adaptation to Climate Change	UNDP	CC	Sao Tome and Principe	GEF - 5
5014	Integrating Climate Resilience into Agricultural and Pastoral Production for Food Security in Vulnerable Rural Areas Through the Farmers Field School Approach.	FAO	CC	Burkina Faso	GEF - 5
5015	Implementing Urgent Adaptation Priorities Through Strengthened Decentralized and National Development Plans.	UNDP	CC	Malawi	GEF - 5
5034	Enhancing the Forest Nature Reserves Network for Biodiversity Conservation in Tanzania	UNDP	BD	Tanzania	GEF - 5
5049	Adaptation to Climate Change in the Coastal Zone in Vanuatu	UNDP	CC	Vanuatu	GEF - 5
5052	Reducing Releases of PBDEs and UPOPs Originating from Unsound Waste Management and Recycling Practices and the Manufacturing of Plastics in Indonesia	UNDP	Chem	Indonesia	GEF - 5
5058	Mainstreaming Biodiversity into Land Use Regulation and Management at the Municipal Scale	UNDP	BD	South Africa	GEF - 5
5062	Development of a National Network of Terrestrial and Marine Protected Areas Representative of the Comoros Unique Natural Heritage and Co-managed with Local Village Communities	UNDP	BD	Comoros	GEF - 5
5063	Catalysing the Use of Solar Photovoltaic Energy	UNDP	CC	Iraq	GEF - 5
5065	Strengthening the National Protected Areas System of Swaziland	UNDP	BD	Eswatini	GEF - 5
5067	Vietnam POPS and Sound Harmful Chemicals Management Project	UNDP	Chem	Viet Nam	GEF - 5
5069	Approach to Protecting Biodiversity and Ecosystem Functions within and Around Protected Areas	UNDP	MF	Grenada	GEF - 5
5075	Reducing Vulnerability from Climate Change in the Foothills, Lowlands and the Lower Senqu River Basin	UNDP	CC	Lesotho	GEF - 5
5078	Conserving Biodiversity and Reducing Habitat Degradation in Protected Areas and their Buffer Zones	UNDP	BD	St. Kitts and Nevis	GEF - 5
5080	Transforming Management of Protected Area/Landscape Complexes to Strengthen Ecosystem Resilience	UNDP	MF	Peru	GEF - 5
5086	Achieving Low Carbon Growth in Cities through Sustainable Urban Systems Management in Thailand (LCC)	UNDP	CC	Thailand	GEF - 5
5088	Conserving Biodiversity in Coastal Areas Threatened by Rapid Tourism and Physical Infrastructure Development	UNDP	BD	Dominican Republic	GEF - 5
5089	Strengthening Management of the PA System to Better Conserve Endangered Species and their Habitats	UNDP	BD	Mexico	GEF - 5
5091	Mainstreaming Biodiversity Conservation and Sustainable Use into NTFP and AFS Production Practices in Multiple-Use Forest Landscapes of High Conservation Value	UNDP	BD	Brazil	GEF - 5



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5098	Towards Carbon Neutral Tourism	UNDP	CC	Montenegro	GEF - 5
5099	Expanding the PA System to Incorporate Important Aquatic Ecosystems	UNDP	BD	Bangladesh	GEF - 5
5105	Addressing Climate Change Vulnerabilities and Risks in Vulnerable Coastal Areas of Tunisia	UNDP	CC	Tunisia	GEF - 5
5121	Energy Conservation, Greenhouse Gas Mitigation and Soil Carbon Sequestration in Staple Crop Production	WB	CC	China	GEF - 5
5123	Sustainable Cropland and Forest Management in Priority Agro-ecosystems of Myanmar	FAO	MF	Myanmar	GEF - 5
5124	Strengthening Capacity for Climate Change Adaptation through Support to Integrated Watershed Management Programme in Lesotho	FAO	CC	Lesotho	GEF - 5
5130	Integrating Global Environmental Priorities into National Policies and Programmes	UNDP	MF	Kiribati	GEF - 5
5140	Sixth National Communication to the UNFCCC	UNDP	CC	Mexico	GEF - 5
5142	Sustainable and Climate Resilient Land Management in Western PRC	ADB	LD	China	GEF - 5
5150	Delivering the Transition to Energy Efficient Lighting	UNEP	MF	Chile	GEF - 5
5159	Strengthening Sustainability of Protected Area Management	UNDP	BD	Myanmar	GEF - 5
5166	Capacity Building for Mainstreaming MEA Objectives into Inter-ministerial Structures and Mechanisms	UNDP	MF	Fiji	GEF - 5
5177	Promoting Climate-resilient Development and Enhanced Adaptive Capacity to Withstand Disaster Risks in Angola's Cuvelai River Basin	UNDP	CC	Angola	GEF - 5
5184	Enhancing Capacities of Rural Communities to Pursue Climate Resilient Livelihood Options in the Sao Tome and Principe Districts of Cau?, Me-Zochi, Principe, Lemba, Cantagalo, and Lobata (CMPLCL)	UNDP	CC	Sao Tome and Principe	GEF - 5
5192	Strengthening the Resilience of Women Producer Groups and Vulnerable Communities in Mali	UNDP	CC	Mali	GEF - 5
5202	Strengthening the Resilience of Rural Livelihood Options for Afghan Communities in Panjshir, Balkh, Uruzgan and Herat Provinces to Manage Climate Change-induced Disaster Risks	UNDP	CC	Afghanistan	GEF - 5
5225	Mozambique Conservation Areas for Biodiversity and Development Project	WB	MF	Mozambique	GEF - 5
5229	Sustainable Land Management in the Qaroun Catchment	UNDP	LD	Lebanon	GEF - 5
5264	Sustainable Management of Critical Wetlands Ecosystems Project	WB	MF	Gabon	GEF - 5
5270	GGW Natural Resources Management in a Changing Climate in Mali	WB	MF	Mali	GEF - 5
5271	Global Sustainable Supply Chains for Marine Commodities	UNDP	IW	Global	GEF - 5



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5276	Sustainable Land Use Management in the Semi-arid Region of North-east Brazil (Sergipe)	UNDP	LD	Brazil	GEF - 5
5278	Strengthening Global Governance of Large Marine Ecosystems and their Coasts through Enhanced Sharing and Application of LME/ICM/MPA Knowledge and Information Tools	UNDP	IW	Global	GEF - 5
5284	Integrated Water Resources Management in the Puyango-Tumbes, Catamayo-Chira and Zarumilla Transboundary Aquifers and River Basins	UNDP	IW	Regional	GEF - 5
5288	Implementing the Socio-Ecosystem Connectivity Approach to Conserve and Sustainable Use Biodiversity in the Caribbean Region of Colombia	FAO	BD	Colombia	GEF - 5
5289	Developing a Market for Biogas Resource Development and Utilization in Guinea	UNDP	CC	Guinea	GEF - 5
5304	Sustainable Management of Bycatch in Latin America and Caribbean Trawl Fisheries (REBYC-II LAC)	FAO	IW	Regional	GEF - 5
5318	Strengthening Climate Information and Early Warning Systems in Cambodia to Support Climate Resilient Development and Adaptation to Climate Change	UNDP	CC	Cambodia	GEF - 5
5326	Generating Global Environmental Benefits from Improved Decision Making Systems and Local Planning in Pakistan	UNDP	MF	Pakistan	GEF - 5
5329	Green Technology Application for the Development of Low Carbon Cities (GTALCC)	UNDP	CC	Malaysia	GEF - 5
5330	Maximizing Carbon Sink Capacity and Conserving Biodiversity through Sustainable Conservation, Restoration, and Management of Peat-swamp Ecosystems	UNDP	MF	Thailand	GEF - 5
5331	Promoting Investments in Small to Medium Scale Renewable Energy Technologies in the Electricity Sector	UNIDO	CC	Guinea-Bissau	GEF - 5
5332	Supporting Rural Community Adaptation to Climate Change in Mountain Regions of Djibouti	UNDP	CC	Djibouti	GEF - 5
5334	Promotion of Environmentally Sustainable and Climate-Resilient Grid Isolated Grid Based Hydroelectric Electricity Through an Integrated Approach in Sao Tome and Principe.	UNDP	MF	Sao Tome and Principe	GEF - 5
5335	Promoting The Development of Biogas Energy amongst Select Small- and Medium-Sized Agro-Industries	UNIDO	CC	Chile	GEF - 5
5337	Enhancing Biodiversity Conservation and Sustenance of Ecosystem Services in Environmentally Sensitive Areas	UNDP	BD	Sri Lanka	GEF - 5
5338	Mainstreaming Sustainable Use of Biodiversity in Production Practices of Small Producers to Protect the Biodiversity of High Value Conservation Forests in the Atlantic Forest, Yungas and Chaco	UNDP	BD	Argentina	GEF - 5
5340	NAMA Support for the Tunisian Solar Plan	UNDP	CC	Tunisia	GEF - 5
5341	South Africa Wind Energy Project (SAWEP) Phase II	UNDP	CC	South Africa	GEF - 5

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5342	Biomass Energy for Productive Use for Small and Medium Enterprises (SMEs) in the Olive Oil Sector	UNIDO	CC	Albania	GEF - 5
5343	Scaling Up Community Resilience to Climate Variability and Climate Change in Northern Namibia, with a Special Focus on Women and Children	UNDP	CC	Namibia	GEF - 5
5344	Cape Verde Appliances & Building Energy-Efficiency Project (CABEEP)	UNDP	CC	Cabo Verde	GEF - 5
5345	De-risking Renewable Energy NAMA for the Nigerian Power Sector	UNDP	CC	Nigeria	GEF - 5
5348	Approach in the Cook Island	UNDP	MF	Cook Islands	GEF - 5
5353	Mainstreaming Sustainable Land and Forest Management in Dry Mountain Landscapes	UNDP	MF	Armenia	GEF - 5
5358	Mainstreaming Climate Change in the National Logistics Strategy and Roll-Out of Integrated Logistics Platforms	UNDP	CC	Morocco	GEF - 5
5361	Market Transformation and Removal of Barriers for Effective Implementation of the State Level Climate Change Action Plans	UNDP	CC	India	GEF - 5
5362	Obsolete Pesticides Management Project	WB	Chem	Cote d'Ivoire	GEF - 5
5365	Energy Efficiency Improvement in Commercial and High-Rise Residential Buildings	UNDP	CC	Viet Nam	GEF - 5
5372	Belarus Green Cities: Supporting Green Urban Development in Small and Medium Sized Cities in Belarus	UNDP	CC	Belarus	GEF - 5
5373	Greening the Logistics Industry in Zhejiang Province	UNDP	CC	China	GEF - 5
5378	Fourth National Communication and Biennial Update Reports to the United Nations Framework Convention on Climate Change (UNFCCC)	UNDP	CC	Brazil	GEF - 5
5380	Increasing Resilience of Ecosystems and Vulnerable Communities to CC and Anthropic Threats Through a Ridge to Reef Approach to BD Conservation and Watershed Management	UNDP	MF	Haiti	GEF - 5
5381	Approach to Protecting Biodiversity and Ecosystem Functions in Nauru (R2R Nauru)	UNDP	MF	Nauru	GEF - 5
5387	Mexico Sustainable Energy Technology Development	WB	CC	Mexico	GEF - 5
5404	R2R: Testing the Integration of Water, Land, Forest & Coastal Management to Preserve Ecosystem Services, Store Carbon, Improve Climate Resilience and Sustain Livelihoods in Pacific Island Countries	UNDP	IW	Regional	GEF - 5
5405	EAS: Scaling up the Implementation of the Sustainable Development Strategy for the Seas of East Asia	UNDP	IW	Regional	GEF - 5
5407	Disposal of Obsolete Pesticides including POPs, Promotion of Alternatives and Strengthening Pesticides Management in the Caribbean	FAO	Chem	Regional	GEF - 5
5409	Development of a Plan for Global Monitoring of Human Exposure to and Environmental Concentrations of Mercury	UNEP	Chem	Global	GEF - 5

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5411	ASTUD: Jiangxi Fuzhou Urban Integrated Infrastructure Improvement Project	ADB	CC	China	GEF - 5
5417	Economy-wide Integration of Climate Change Adaptation and DRM/DRR to Reduce Climate Vulnerability of Communities in Samoa	UNDP	CC	Samoa	GEF - 5
5419	Reducing the Vulnerability of Cambodian Rural Livelihoods through Enhanced sub-national Climate Change Planning and Execution of Priority Actions	UNDP	CC	Cambodia	GEF - 5
5433	Strengthening Capacities of Agricultural Producers to Cope with Climate Change for Increased Food Security through the Farmers Field School Approach	FAO	CC	Mozambique	GEF - 5
5435	Promoting Climate Resilient Community-based Regeneration of Indigenous Forests in Zambia's Central Province	UNDP	CC	Zambia	GEF - 5
5453	Disaster Risk & Energy Access Management (DREAM):Promoting Solar Photovoltaic Systems in Public Buildings for Clean Energy Access, Increased Climate Resilience and Disaster Risk Management	UNDP	CC	Barbados	GEF - 5
5458	Conservation, Management and Rehabilitation of Fragile Lomas Ecosystems	UNDP	MF	Peru	GEF - 5
5463	Securing Watershed Services through Sustainable Land Management in the Ruvu and Zigi Catchments, Eastern Arc Region, Tanzania	UNDP	LD	Tanzania	GEF - 5
5468	Green Cities: Integrated Sustainable Transport in the City of Batumi and the Achara Region	UNDP	CC	Georgia	GEF - 5
5470	Improved Convention Coordination for Sustainable Growth in Uruguay (ECCOSUR)	UNDP	MF	Uruguay	GEF - 5
5471	Capacity Development for Improved decision-making for the Global Environment	UNDP	MF	Paraguay	GEF - 5
5484	Environmental Sound Management of Mercury and Mercury Containing Products and their Wastes in Artisanal Small-scale Gold Mining and Healthcare	UNDP	Chem	Honduras	GEF - 5
5485	Seychelles' Protected Areas Finance Project	UNDP	BD	Seychelles	GEF - 5
5501	Promoting Sustainable Rural Energy Technologies (RETs) for Household and Productive Uses	UNDP	CC	Ethiopia	GEF - 5
5503	Mainstreaming Ecosystem-based Approaches to Climate-resilient Rural Livelihoods in Vulnerable Rural Areas through the Farmer Field School Methodology	FAO	CC	Senegal	GEF - 5
5510	R2R Strengthening the Management Effectiveness of the National System of Protected Areas	UNDP	MF	Papua New Guinea	GEF - 5
5512	Conserving Habitats for Globally Important Flora and Fauna in Production Landscapes	UNDP	BD	Thailand	GEF - 5

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5518	Removing Barriers to Promote and Support Energy Management Information Systems in Municipalities (EMIS) throughout Serbia	UNDP	CC	Serbia	GEF - 5
5529	Gambia Protected Areas Network and Community Livelihood Project	UNDP	BD	Gambia	GEF - 5
5533	Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge	UNDP	BD	China	GEF - 5
5534	Conservation of Ecuadorian Amphibian Diversity and Sustainable Use of its Genetic Resources	UNDP	BD	Ecuador	GEF - 5
5536	Energy Efficiency and Renewable Energy for Sustainable Water Management in Turkmenistan	UNDP	MF	Turkmenistan	GEF - 5
5542	Catalyzing Implementation of the Strategic Action Programme for the Sustainable Management of Shared Living Marine Resources in the Caribbean and North Brazil Shelf Large Marine Ecosystems (CMLE+)	UNDP	IW	Regional	GEF - 5
5546	Sustainable Production Systems and Conservation of Biodiversity	WB	BD	Panama	GEF - 5
5549	Dynamic Conservation and Sustainable use of Agro-Biodiversity in Traditional Agro-ecosystems of the Philippines.	FAO	BD	Philippines	GEF - 5
5550	R2R Implementing a Ridge to Reef Approach to Protect Biodiversity and Ecosystem Functions	UNDP	MF	Tuvalu	GEF - 5
5552	Application of Ridge to Reef Concept for Biodiversity Conservation, and for the Enhancement of Ecosystem Service and Cultural Heritage in Niue	UNDP	MF	Niue	GEF - 5
5555	Local Development and Promotion of LED Technologies for Advanced General Lighting	UNDP	CC	Viet Nam	GEF - 5
5556	West Balkans Drina River Basin Management	WB	IW	Regional	GEF - 5
5566	Strengthening Land & Ecosystem Management Under Conditions of Climate Change in the Niayes and Casamance regions- Republic of Senegal	UNDP	CC	Senegal	GEF - 5
5579	Mainstreaming Global Environmental Priorities into National Policies and Programmes	UNDP	MF	Palau	GEF - 5
5581	Community Resilience to Climate and Disaster Risk in Solomon Islands Project	WB	CC	Solomon Islands	GEF - 5
5586	Appropriate Mitigation Actions in the Energy Generation and End-Use Sectors in Sri Lanka	UNDP	CC	Sri Lanka	GEF - 5
5587	Increasing Access to Clean and Affordable Decentralized Energy Services in Selected Vulnerable Areas of Malawi	UNDP	CC	Malawi	GEF - 5
5593	Developing and Implementing a National Access and Benefit Sharing Framework	UNDP	BD	Malaysia	GEF - 5
5604	Technology Transfer for Climate Resilient Flood Management in Vrbas River Basin	UNDP	CC	Bosnia-Herzegovina	GEF - 5

GEF ID	Title	GEF Agency	Focal Area	Country	GEF Replenishment Phase
5613	Strengthening the Implementation of the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in the Cook Islands	UNDP	BD	Cook Islands	GEF - 5
5638	Establishing Albania's Environmental Information Management and Monitoring System Aligned with the Global Environmental Reporting	UNDP	MF	Albania	GEF - 5
5653	Capacity Building for the Implementation of the Nagoya Protocol on Access and Benefit Sharing	UNDP	BD	Viet Nam	GEF - 5
5655	Mainstreaming Global Environmental Priorities into National Policies and Programmes	UNDP	MF	Vanuatu	GEF - 5
5660	Sustainable Forest Management to Secure Multiple Benefits in High Conservation Value Forests	UNDP	MF	Pakistan	GEF - 5
5662	Defining and Demonstrating Best Practices for Exchange of Information on Chemicals in Textile Products	UNEP	Chem	China	GEF - 5
5667	Climate Change Adaptation in the Eastern Caribbean Fisheries Sector	FAO	CC	Regional	GEF - 5
5669	Enabling Solid State Lighting Market Transformation and Promotion of Light Emitting Diode Lighting	UNDP	CC	China	GEF - 5
5671	Building Shoreline Resilience of Timor Leste to Protect Local Communities and their Livelihoods	UNDP	CC	Timor Leste	GEF - 5
5677	Rehabilitation of Degraded Agricultural Lands in Kandy, Badulla and Nuwara Eliya Districts in the Central Highlands (CH)	FAO	LD	Sri Lanka	GEF - 5
5683	Assisting non- LDC Developing Countries with Country-driven Processes to Advance National Adaptation Plans (NAPs)	UNEP	CC	Global	GEF - 5
5686	Low Carbon Development Path: Promoting Energy Efficient Applications and Solar Photovoltaic Technologies in Streets, Outdoor areas and Public Buildings in Island Communities Nationwide (LCDP)	UNDP	CC	Dominica	GEF - 5
5689	Sound Chemicals Management Mainstreaming and UPOPs Reduction in Kenya	UNDP	Chem	Kenya	GEF - 5
5692	Mainstreaming of Biodiversity Conservation into River Management	UNDP	BD	Malaysia	GEF - 5
5698	Sustainable Land Management and Climate Change Mitigation Co-benefits SLM CCMC	UNEP	LD	Global	GEF - 5
5699	Supporting Sustainable Land Management in Steppe and Semi-arid Zones through Integrated Territorial Planning and Agro-environmental Incentives	UNDP	LD	Kazakhstan	GEF - 5
5712	Improve Sustainability of Mangrove Forests and Coastal Mangrove Areas in Liberia through Protection, Planning and Livelihood Creation- as a Building Block Towards Liberia's Marine and Costal Protected Areas	CI	BD	Liberia	GEF - 5

GEF ID	Title	GEF Agency	Focal Area	Country	GEF Replenishment Phase
5718	Integrated Landscape Management for Improved Livelihoods and Ecosystem Resilience in Mount Elgon	UNDP	MF	Uganda	GEF - 5
5721	Rhino Impact Bonds An Innovative Financing Mechanism for Site-Based Rhinoceros Conservation	UNDP	BD	Global	GEF - 5
5724	Participatory Assessment of Land Degradation and Sustainable Land Management in Grassland and Pastoral Systems	FAO	LD	Global	GEF - 5
5726	Sustainable Management Models for Local Government Organisations to Enhance Biodiversity Protection and Utilization in Selected Eco-regions of Thailand	UNDP	BD	Thailand	GEF - 5
5728	Accelerating the Development and Commercialization of Fuel Cell Vehicles in China	UNDP	CC	China	GEF - 5
5729	GEF International Waters Learning Exchange and Resources Network IW LEARN	UNDP	IW	Global	GEF - 5
5731	Strengthening Human Resources, Legal Frameworks and Institutional Capacities to Implement the Nagoya Protocol	UNDP	BD	Global	GEF - 5
5737	Energy Efficient Low-carbon Transport	UNIDO	CC	South Africa	GEF - 5
5738	Strengthening of National Capacities for the Implementation of the Nagoya Protocol Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization to the Convention on Biological Diversity	UNDP	BD	Mexico	GEF - 5
5741	Energy Efficient Low-carbon Transport	UNIDO	CC	Malaysia	GEF - 5
5749	Conservation, Sustainable Use of Biodiversity, and Maintenance of Ecosystem Services in Protected Wetlands of International Importance	UNDP	BD	El Salvador	GEF - 5
5751	Maintaining and Increasing Carbon Stocks in Agro-silvopastoral Systems in Rural Communities of the Selva Zoque - Sumidero Canyon Complex as a Climate Change Mitigation Strategy.	CI	CC	Mexico	GEF - 5
5761	Supporting Sustainable Ecosystems by Strengthening the Effectiveness of Dominica's Protected Areas System	UNDP	BD	Dominica	GEF - 5
5767	Implementation of SLM Practices to Address Land Degradation and Mitigate Effects of Drought	UNDP	LD	Philippines	GEF - 5
5772	Strengthening the Institutional Capacity of African Network of Basin Organization (ANBO), Contributing to the Improved Transboundary Water Governance in Africa	UNDP	IW	Regional	GEF - 5
5784	Mainstreaming Biodiversity Conservation and Sustainable Management in Priority Socio Ecological Production Landscapes and Seasapces (SEPLS)	CI	BD	Global	GEF - 5
5792	PSG-Sustainable Landscape Management Project under SAWAP	WB	MF	Mauritania	GEF - 5

GEF ID	Title	GEF Agency	Focal Area	Country	GEF Replenishment Phase
5796	A Bottom Up Approach to ABS: Community Level Capacity Development for Successful Engagement in ABS Value Chains in Cameroon ( <i>Echinops giganteus</i> )	UNDP	BD	Cameroon	GEF - 5
5810	Spatial Planning for Protected Areas in Response to Climate Change (SPARC)	CI	BD	Global	GEF - 5
5819	Promoting Sustainable Electricity Generation in Malian Rural Areas through Hybrid Technologies	UNDP	CC	Mali	GEF - 5
5830	Nationally Appropriate Mitigation Actions in the Construction Sector in Mongolia	UNDP	CC	Mongolia	GEF - 5
5832	Promoting Accelerated Transfer and Scaled up Deployment of Mitigation Technologies through the Climate Technology Centre & Network (CTCN)	UNIDO	CC	Global	GEF - 5
5835	Satellite Monitoring for Forest Management	WB	CC	Global	GEF - 5
5841	NAMA Pilot Implementation of Technology Transfer Projects in the Industrial Sector of the Cundinamarca-Bogot? Region	UNDP	CC	Colombia	GEF - 5
5843	Deployment of Renewable Energy and Improvement of Energy Efficiency in the Public Sector	UNDP	CC	Jamaica	GEF - 5
5847	Capacity Development for Improved Management of Multilateral Environmental Agreements for Global Environmental Benefits	UNDP	MF	Trinidad and Tobago	GEF - 5
5848	Capacity Development for Implementing Rio Conventions through Enhancing Incentive Mechanism for Sustainable Watershed/Land Management	UNDP	MF	Indonesia	GEF - 5
5886	Transboundary Cooperation for Snow Leopard and Ecosystem Conservation	UNDP	BD	Global	GEF - 5
6915	Southeast Europe and Central Asia Catastrophe Risk Insurance Facility	WB	CC	Kazakhstan	GEF - 6
6940	Sustainable Forest and Land Management in the Dry Dipterocarp Forest Ecosystems of Southern Lao PDR	UNDP	MF	Lao PDR	GEF - 6
6945	Strengthening Capacities of Rural Aqueduct Associations' (ASADAS) to Address Climate Change Risks in Water Stressed Communities of Northern Costa Rica	UNDP	CC	Costa Rica	GEF - 6
6955	Strengthening the Adaptive Capacity to Climate Change in the Fisheries and Aquaculture Sector	FAO	CC	Chile	GEF - 6
6960	Supporting Climate Resilient Livelihoods in Agricultural Communities in Drought-prone Areas	UNDP	CC	Turkmenistan	GEF - 6
6962	Advancing IWRM Across the Kura River Basin through Implementation of the Transboundary Agreed Actions and National Plans	UNDP	IW	Regional	GEF - 6
6966	UPOPs Reduction through BAT/BEP and PPP-based Industry Chain Management in Secondary Copper Production Sector in China	UNDP	Chem	China	GEF - 6

GEF ID	Title	GEF Agency	Focal Area	Country	GEF Replenishment Phase
6971	Generating Global Environment Benefits through Improved Environmental Information, Planning and Decision Making Systems	UNDP	MF	Mali	GEF - 6
6980	The International Lighting Efficiency Facility (iLEF)(non-grant)	WB	CC	Global	GEF - 6
9112	The Ten Island Challenge: Derisking the Transition of the Caribbean from Fossil Fuels to Renewables	UNDP	CC	Regional	GEF - 6
9114	Capacity Development for Improved Implementation of Multilateral Environmental Agreements (MEAs)	UNDP	MF	Serbia	GEF - 6
9121	Enabling Transboundary Cooperation and Integrated Water Resources Management in the White Drin and the Extended Drin Basin	UNDP	IW	Kosovo	GEF - 6
9123	Cities-IAP: Sustainable Cities Initiative	WB	MF	Senegal	GEF - 6
9160	Regional Partnership for African Fisheries Policy Reform (RAFIP)	WB	IW	Regional	GEF - 6
9179	Adaptive Management and Learning for the Commodities IAP	UNDP	MF	Global	GEF - 6
9180	Reducing Deforestation from Commodity Production	UNDP	MF	Global	GEF - 6
9182	Commodities-IAP: Generating Responsible Demand for Reduced-Deforestation Commodities	WWF	MF	Global	GEF - 6
9282	Safeguarding Biodiversity in the Galapagos Islands by Enhancing Biosecurity and Creating the Enabling Environment for the Restoration of Galapagos Island Ecosystems.	CI	BD	Ecuador	GEF - 6
9289	Enhancing Financial Sustainability of the Protected Area System	UNDP	BD	Albania	GEF - 6
9314	Strengthening of Multisector and Decentralised Environmental Management and Coordination to Achieve the Objectives of the Rio Conventions in the Union of Comoros	UNDP	MF	Comoros	GEF - 6
9335	Strengthening Institutional Capacity for Effective Implementation of Rio Conventions in Uganda	UNDP	MF	Uganda	GEF - 6
9354	Public Lighting Energy Efficiency Program: Public lighting replacement of low-efficiency VSAP bulbs with high-efficiency LEDs in Colombia	IDB	CC	Colombia	GEF - 6
9359	Enabling Transboundary Cooperation and Integrated Water Resources Management in the Dniester River Basin	UNDP	IW	Regional	GEF - 6
9467	Monitoring and Assessment of MEA Implementation and Environmental Trends in Antigua and Barbuda	UNDP	MF	Antigua and Barbuda	GEF - 6
9674	Strengthening National Capacity in Kenya to Meet the Transparency Requirements of the Paris Agreement and Sharing Best Practices in the East Africa Region	CI	CC	Kenya	GEF - 6
9675	CBIT Global Coordination Platform	UNEP	CC	Global	GEF - 6



GEF ID	Title	GEF Agency	Focal Area	Country	GEF Replenishment Phase
9712	Complete HCFC Phase-out in Tajikistan through Promotion of Zero ODS Low GWP Energy Efficient Technologies	UNDP	Chem	Tajikistan	GEF - 6
9720	Developing Organizational Capacity for Ecosystem Stewardship and Livelihoods in Caribbean Small-Scale Fisheries (StewardFish)	FAO	IW	Regional	GEF - 6
9724	Phase out of Endosulfan in China	UNDP	Chem	China	GEF - 6
9739	Building Institutional and Technical Capacities to Enhance Transparency in the Framework of the Paris Agreement	UNDP	CC	Uruguay	GEF - 6
9741	Developing a Comprehensive Framework for Practical Implementation of the Nagoya Protocol	UNDP	BD	Cambodia	GEF - 6
9795	Forest Resources Assessment and Monitoring to Strengthen Forest Knowledge Framework in Azerbaijan	FAO	MF	Azerbaijan	GEF - 6
9807	Global Deployment of the Industrial Energy Efficiency Accelerator	UNIDO	CC	Global	GEF - 6
9821	Support to Eligible Parties to Produce the Sixth National Report to the CBD (LAC)	UNDP	BD	Regional	GEF - 6
9826	Support to Eligible Parties to Produce the Sixth National Report (6NR) to the CBD (Asia)	UNDP	BD	Global	GEF - 6
9829	Support to Eligible Parties to Produce the Sixth National Report to the CBD (6NR - Mixed regions)	UNDP	BD	Global	GEF - 6
9840	Support to Eligible Parties to Produce the Sixth National Report to the CBD (6NR - LAC-II)	UNDP	BD	Global	GEF - 6
9923	Building and Strengthening Liberia's National Capacity to Implement the Transparency Elements of the Paris Climate Agreement	CI	CC	Liberia	GEF - 6
9931	Clean Rural Electrification for African Countries	UNDP	CC	Regional	GEF - 6
9949	Setting the Foundations for Zero Net Loss of the Mangroves that Underpin Human Wellbeing in the North Brazil Shelf LME	CI	IW	Regional	GEF - 6
9950	Growing Green Business in Montenegro	UNDP	CC	Montenegro	GEF - 6
9959	Long-term Financial Mechanism to Enhance Mediterranean MPA Management Effectiveness	CI	IW	Regional	GEF - 6
10029	Establishing Transparency Framework for the Republic of Serbia	UNDP	CC	Serbia	GEF - 6
10042	Strengthening Institutional and Technical Macedonian Capacities to Enhance Transparency in the Framework of the Paris Agreement	UNDP	CC	North Macedonia	GEF - 6
10071	Building global capacity to increase transparency in the forest sector (CBIT-Forest)	FAO	CC	Global	GEF - 7

## ANNEX B. PERFORMANCE CRITERIA AND RATING SCALES

The evaluators will rate project performance on the following criteria: outcomes, sustainability, implementation, execution, M&E design, and M&E implementation. The rated dimensions are described along with a description of the level of performance for a specific rating. In most instances, actual performance may not fully correspond to any of the rating descriptions. Therefore, a rating will be based on the description that provides the best fit based on the evidence. Where available evidence is insufficient to provide rate performance, the performance will be rated as unable to assess.

### Outcome Rating

The overall rating of the project outcome will be based on the following criteria:

- a. **Relevance and coherence:** The evaluators will assess the extent to which the project outcomes aligned with the GEF focal areas/operational program strategies, country priorities, needs of the beneficiaries, and mandates of the Agencies. They will assess the extent to which the project is compatible with other relevant projects and programs being undertaken in the recipient country. The evaluators will assess if the project is well-targeted and the extent to which the project design is appropriate for delivering the expected outcomes. They will assess internal coherence by determining the extent to which there is alignment among the project's theory of change, governance structure, activities, and M&E system.
- b. **Effectiveness:** The evaluators will consider the extent to which project outcome achievements were commensurate with the *ex-ante* targets. They will weigh the extent to which the project made the expected level of contributions to global environmental benefits. They will also consider the overall progress in achieving the long-term objectives. They will also consider the unintended consequences of the project and the extent to which they add to, or negate, project benefits.
- c. **Efficiency:** The criterion is focused on the extent project was cost-effective in delivering its intended results. The evaluators will consider the project's cost/time versus output/outcomes equation, and, where feasible, compare it to alternatives. They will also consider the extent to which project activities were completed in a timely manner.

Project outcome rating will be based on the extent to which the expected outcomes were achieved, and the extent to which it was relevant and cost effective. A six-point rating scale is used to assess outcome. The top three ratings comprise the satisfactory range and the bottom three (excluding unable to assess) the unsatisfactory range:

- Highly satisfactory (HS): The outcomes exceed targets, and they are highly relevant and cost effective.
- Satisfactory (S): Level of outcomes achieved meets targets. The outcomes are relevant and cost effective.
- Moderately Satisfactory (MS): Level of outcomes achieved was generally close to the targets. Majority of the targets were met or almost met but some were not. The outcomes are generally relevant and cost effective.
- Moderately Unsatisfactory (MU): Overall, the level of outcomes achieved is lower than targets, although some outcomes were substantially achieved. The outcomes are generally relevant but not sufficient given the costs or alternatively generally cost-effective but not adequately relevant.
- Unsatisfactory (U): The expected outcomes were not achieved, or achievement was substantially lower than expected, and/or the achieved outcomes are not relevant. Alternatively, the outcome was cost ineffective compared to alternatives.
- Highly Unsatisfactory (HU): Negligible level of outcomes were achieved and/or the project had substantial negative consequences, that outweigh its benefits.
- Unable to Assess (UA): The available information does not allow an assessment of the level of outcome achievement

### Sustainability Rating

The rating for likelihood of sustainability will be based on the probability of occurrence of a risk and the magnitude/severity of its effects on continuation of net benefits when it materializes. The assessment also considers resilience of the project benefit stream to the likely risks. The assessment will assess likelihood of continuation over a time frame reasonable for the given project. At the time of the evaluation, a project may not face the consequences of the risk materializing, or the risk may be just beginning to materialize. The assessment should be based on the evidence of risks, available at the time of evaluation. Most risks may be categorized as financial, sociopolitical, institutional, and environmental risks.

- **Financial resources.** The evaluators will assess the likelihood that financial resources will be available to continue the activities that sustain project benefits and risks associated to its availability. For example, support for income-generating activities that support environmentally friendly behavior, regular government budget allocations for the activities supported by the GEF project, and trends that suggest that in the future adequate financial resources for sustaining the project outcome will be available or conversely unavailable.
- **Sociopolitical.** The evaluators will assess the extent to which social or political risks may undermine the longevity of project outcomes. They will assess the extent to which the level of stakeholder ownership is insufficient to allow for project outcomes/benefits to be sustained. They will assess the extent to which the interests of key stakeholders are aligned to support continuation of the project benefit flow. They will assess the extent to

which there is sufficient public/stakeholder awareness in support of the long-term objectives of the project.

- **Institutional framework and governance.** The evaluators will assess if the legal framework, policies, governance structures and processes pose any threat to the continuation of project benefits. While assessing these risks, the evaluators will consider if the required systems for accountability and transparency, and the required technical and institutional know-how, are in place.
- **Environmental.** The evaluators will assess if there are any environmental risks that can undermine the future flow of project benefits. The evaluators should assess whether certain activities in the project area will pose a threat to the sustainability of project outcomes. For example, project outcome may be especially vulnerable to climate change risks. Similarly, biodiversity-related gains made by a project targeting marine protected areas may be affected by an increase in pollutant accumulation.

In providing an overall sustainability rating, other risks that are important but do not fall in these categories also need to be considered. Considering the probability of incidence of all relevant risks, and magnitude of effect/severity, the reviewer will provide a rating for the overall likelihood of sustainability using the following four-point scale:

- **Likely (L).** Either there is negligible risk to continuation of benefits or there are some risks, but the magnitude of their effect is too small and/or the probability that they will materialize is too small. Overall, it is likely that the net benefits of the project will continue.
- **Moderately Likely (ML).** There are some risks to sustainability, and they may have some effect on continuation of benefits if they materialize. However, probability of materialization of these risks is low. Net benefits are more likely to continue than abate.
- **Moderately Unlikely (MU).** There are significant risks to sustainability. The effect on continuation of benefits would be substantial if these risks materialize and the probability of materialization of these risks is significant. Overall, net benefits of the project are likely to abate.
- **Unlikely (U).** There are severe risks to sustainability. These risks have either already materialized and halted accrual of net benefits or have high probability of materialization and will halt accrual of net benefits when they materialize. Therefore, overall, it is unlikely that net benefits will continue to accrue, and the long term intended impacts of the project will be achieved.
- **Unable to Assess (UA).** Unable to assess the expected incidence and magnitude of risks to sustainability.

### Implementation and Execution Ratings

The performance of the GEF Agency and of executing agency will be considered separately. A GEF Agency that implements a project is responsible for activities related to a project's identification, concept preparation, preparation of detailed proposal, project start-up, oversight

and supervision, completion, and evaluation. The Agency is also, overall, responsible for efficient utilization of project inputs and delivery of project outputs. The performance of the GEF Agency will be considered to rate the quality of implementation.

GEF activities are executed on the ground by the executing agencies. The executing agencies are involved in the management and administration of the project’s day-to-day activities under the overall oversight and supervision of a GEF Agency. The executing agencies are responsible for the appropriate use of funds, as well as the procurement and contracting of goods and services following the regulations of the GEF Agency. The performance of the project’s executing agency/agencies will be considered to rate the quality of execution.

*Table B1. Scale for rating Implementation and Execution*

Ratings	Implementation (GEF Agency)	Execution (executing agency/agencies)
Highly satisfactory (HS)	Performance of the GEF Agency was exemplary. Project preparation and implementation were robust. The Agency ensured that the relevant GEF policies were applied in project preparation and implementation. Project supervision was strong – the Agency identified and addressed emerging concerns in a timely manner. The GEF Agency ensured that project implementation stayed on track and was completed in time.	Performance of the executing agency/agencies was exemplary. The execution of project activities was timely and of high quality. Relevant GEF policies and requirements were adhered to. Guidance from the GEF Agency was followed and corrective actions, if required, were taken promptly. The executing agency also undertook measures to mitigate risks to sustainability and is taking steps to support follow-up to the project. Completed project activities in time.
Satisfactory (S)	Performance of the GEF Agency met expectations and did not have any salient weakness. Project preparation and implementation were robust, and relevant GEF policies were applied. The GEF Agency supervised the project well – it identified and addressed emerging concerns in a timely manner. The GEF Agency ensured that project implementation was on track.	Performance of the executing agency met the expectations and was without any salient weakness. The execution of project activities was timely and of good quality. Relevant GEF policies and requirements were applied. Guidance from the GEF Agency was followed. The executing agency also undertook measures to mitigate risks to sustainability of project outcomes.
Moderately Satisfactory (MS):	Overall, the performance of the GEF Agency met expectations. Project preparation and implementation were	Performance of the executing agency had some weaknesses but, overall, it met the expectations. The execution of project

	<p>adequate and relevant GEF policies were applied although there are some weak areas. The GEF Agency supervised the project adequately – it identified and addressed emerging concerns although some concerns may be inadequately addressed. Project implementation had minor delays and may have had a few dropped activities.</p>	<p>activities was generally timely but with some instances of delay. Relevant GEF policies and requirements were applied although some minor slip-ups may also have been observed. Guidance from the GEF Agency was followed and problems were fixed. There are some areas where the performance of the executing agency was below par, although overall the executing agency’s performance was adequate.</p>
<p>Moderately Unsatisfactory (MU):</p>	<p>Overall, the GEF Agency did not meet expectations although there were some areas of solid performance. Project preparation and implementation had weaknesses although these were not too severe. Project supervision was somewhat weak. Although most emerging concerns were identified, many remained unaddressed or inadequately addressed. Project implementation was delayed, and a few activities were dropped or reduced in scale because of issues that were largely under the control of the GEF Agency.</p>	<p>While there were some areas of solid performance, the overall performance of the executing agency did not meet expectations. The execution of project activities was delayed. The observed capacities of the executing agency were a limitation of project execution. Several slip ups in application of GEF policies and requirements were observed. Guidance from the GEF Agency was generally followed and problems were fixed but usually such actions were not timely. There are several areas for improvement in execution.</p>
<p>Unsatisfactory (U):</p>	<p>The GEF Agency did not meet the expected level of performance. Project preparation and implementation were weak. Emerging concerns were not identified by the GEF Agency in time and remained unaddressed or inadequately addressed. M&amp;E implementation was weak – activities were not implemented in time or were not undertaken. Project implementation was delayed, and several activities were dropped or were reduced in scale.</p>	<p>The executing agency did not meet expectations. Execution of project activities was delayed and at least some activities were dropped due to factors largely under the control of the executing agency. Many slip-ups were observed in application of GEF policies and requirements. Guidance from the GEF Agency was not put into practice or was applied with considerable delay.</p>

Highly Unsatisfactory (HU):	There were severe shortcomings in the quality of implementation. The GEF Agency mismanaged project implementation and its supervision was poor. Emerging concerns were not identified in time, including those that should have been obvious. Although instances of mismanagement were discovered, corrective actions were not undertaken. Project activities were poorly implemented, and several had to be dropped.	There were severe shortcomings in project execution. There were several instances of mismanagement. Emerging concerns were not addressed in time, including those that should have been obvious. Most activities were very poorly executed, experienced delays, and had activities dropped. GEF policies and requirements were not applied.
Unable to assess (UA)	The available information is not sufficient to allow rating of performance.	The available information is not sufficient to allow rating of performance.

**Project M&E Ratings**

The M&E arrangements will be rated at the project level. This will include both M&E arrangements vested in the coordinating project, and arrangements at the child project level to contribute to project M&E. The quality of project M&E will be assessed in terms of:

- **Design:** The review will assess quality of the M&E plan at CEO endorsement/approval. It will consider the extent to which the M&E plan was practical and well-thought through. It will assess the extent to which the M&E plan addresses the project’s theory of change, GEF M&E requirements, incorporates applicable core indicators and tracking tools, and provides baseline information. It will discuss whether the indicators specified to track environmental, gender, socio-economic, and other results, are appropriate (SMART<sup>18</sup>). For child projects and coordinating projects under a programmatic framework, the review will assess how the well M&E plan aligns with and is likely to contribute to the program M&E plan.
- **Implementation:** The review will assess the extent to which the M&E system operated as planned. Where applicable, it will consider if weaknesses in the M&E plan were addressed in time. It will consider if data on specified indicators was gathered systematically and as per schedule. It will consider the extent to which data on relevant GEF core indicators / corporate results indicators and/or tracking tools was analyzed and reported. It will consider the extent to which the methodological approaches used to analyze data were

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<sup>18</sup> SMART: Specific, Measurable, Achievable/Attributable, Relevant/Realistic, and Time-bound, Timely, Trackable and Targeted.

appropriate. It will consider the extent to which resources allocated for M&E were sufficient. It will also consider the extent to which the information from M&E system was used to improve project implementation and effectiveness. For child projects (including coordinating child projects) under a programmatic framework, the review will assess how the well M&E activities of the project aligned with and contributed to the program M&E.

Quality of M&E on these two dimensions will be assessed separately on a six-point scale (Table B2.)

*Table B2. Scale for Rating Quality of M&E Design and Implementation*

Ratings	M&E Plan	M&E Implementation
Highly satisfactory (HS)	The project M&E plan is a good practice and did not have any weaknesses – its alignment with the project theory of change is robust. Complete baseline data has been provided. The specified indicators were appropriate, and arrangements for the M&E plan implementation were adequate. Overall, the M&E plan exceeds expectations and is exemplary.	The M&E plan implementation was excellent. Weaknesses in the M&E plan, if present, were addressed promptly. M&E activities were conducted in a timely manner, and data from M&E was used to improve project implementation. Overall, M&E implementation exceeded expectations and was exemplary.
Satisfactory (S)	The project M&E plan was robust and did not have any or had only minor weaknesses – the alignment with the project theory of change is robust. Baseline data provided or its collection is planned at project start. The specified indicators were appropriate, and arrangements for M&E plan implementation were adequate. The plan meets expectations.	The M&E plan implementation was generally as per the plan. Weaknesses in M&E were addressed in a timely manner. M&E activities were conducted in a timely manner, and data from M&E was used in improving project implementation. Overall, M&E implementation meets expectations.
Moderately Satisfactory (MS):	On balance, the project M&E plan was solid. The specified indicators were generally appropriate, and arrangements for M&E plan implementation were adequate. The alignment of the M&E plan with the project theory of change is solid. There	The M&E plan implementation was generally as per the plan. Weaknesses in M&E were generally addressed although some weaknesses remained. Some M&E activities were delayed. M&E data was used for reporting but had little use in improving project



	were areas where the M&E plan could be strengthened but, overall, the plan was adequate.	implementation. Overall, M&E implementation meets expectations with some areas of low performance.
Moderately Unsatisfactory (MU):	Overall, a weak M&E plan although it had strengths in some areas. The specified indicators were generally appropriate but additional indicators were required to adequately capture project results and/or arrangements to gather data on indicators were not adequate. The alignment with the project theory of change is somewhat weak. The plan needs several improvements to meet expectations.	The M&E plan implementation was weak and/or did not address the weaknesses in the M&E plan. Most M&E activities were completed – some of them were either dropped or delayed. M&E data was not reported in a timely manner – there is little evidence to suggest that the data was used to improve project implementation. Overall, M&E implementation does not meet expectations although there are some areas where the performance is adequate.
Unsatisfactory (U):	The M&E plan had severe shortcomings. The alignment with the project theory of change is weak. No baseline data was provided nor any indication that it would be collected at project start. Indicators do not adequately address project outcomes and other results; for several results, relevant indicators have not been specified. There are gaps in arrangements for M&E plan implementation – no budget or an inadequate budget was provided for M&E.	The M&E plan implementation was flawed and/or did not address severe weaknesses of the M&E plan. Several M&E activities were either dropped or were incomplete. The data collection methodology was not sound. M&E data was not reported in a timely manner – there is little evidence to suggest that the data was used to improve project implementation. M&E implementation does not meet expectations.
Highly Unsatisfactory (HU):	No M&E plan was prepared.	No, or negligible, M&E activity was implemented other than conduct of the project evaluation.
Unable to assess (UA)	Unable to assess because project documents are not available.	Un Unable to assess as the terminal evaluation does not cover M&E implementation adequately.

## ANNEX C. TERMINAL EVALUATION REPORT VALIDATION GUIDELINES

### Introduction

1. The GEF Monitoring and Evaluation Policy (2019) requires that the GEF Agencies will conduct terminal evaluation of GEF funded projects at the end of implementation. Terminal evaluations are expected to provide a comprehensive and systematic account of the performance of a completed project. These evaluations assess a project's design, implementation, results, M&E arrangements, compliance with GEF policies, and lessons. The GEF Agencies submit terminal evaluations to the GEF IEO through the GEF Portal. The projects covered include stand alone projects and projects approved within the framework of a program. These include full size projects, medium size projects and enabling activities that were approved using non-expedited approaches.
2. The GEF IEO validates some of the terminal evaluations to ensure consistency in ratings used in portfolio analysis, and to provide feedback to Agencies on quality of terminal evaluations<sup>19</sup>. The validation process entails: a review and synthesis of the evidence on performance of the relevant project or program; a validation of the performance ratings provided in the terminal evaluations; and an assessment of the quality of the terminal evaluation report. These guidelines have been prepared for internal use by the GEF IEO for validation of the terminal evaluations.
3. These guidelines will be used by primary reviewers, peer feedback providers, and supervisors involved in conduct of validations. A standardized validation report template that is updated annually will be used to prepare the validation report. Finalized terminal evaluation validation reports and dataset based on these reports will be publicly available at the GEF IEO website.

### Validation Process

4. A validation report reflects work of a three-member team, with each member having different roles in the validation process. A primary reviewer of a terminal evaluation prepares its validation report, including draft versions of the validation report. A peer feedback provider reviews drafts of the validation report and provides feedback to the primary reviewer. The primary reviewer addresses the feedback provided by the peer reviewer on various versions of the draft of the validation report. A supervisor maintains oversight of the validation process and, where necessary, help in resolving the differences between the assessments of the primary reviewer and the peer feedback provider. The supervisor also reviews a draft validation report when a rating provided by the primary reviewer differs with the corresponding rating provided by the GEF Agency by two points/grades. Once there is agreement among the primary

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<sup>19</sup> GEF IEO validates only a sample of terminal evaluations that are either prepared or independently reviewed by evaluation units of the GEF Agencies. GEF IEO validates all terminal evaluations prepared by the operational units of Agencies that do not undergo an independent review.

reviewer, peer reviewer, and the supervisor, on the analysis and ratings presented in the validation report, it is considered final.

### **Sources of Information**

5. Terminal evaluation validations will be primarily based on the information presented in terminal evaluation reports. However, other documents such as project implementation reports (PIRs), midterm reviews (MTRs), and documents submitted during a project's appraisal, will also be reviewed to find corroborating evidence and – in some cases – to fill the information gaps. Where available, a reviewer will also consider other independent sources of information including peer review papers that may provide additional information relevant to assessment of a project's performance. At the minimum, the reviewer will search for such papers using search engines for scholarly publications and conduct a regular web search to identify relevant publications that may be useful. Where a project is expected to produce knowledge products such as publicly available reports, reviews, plans, websites, and datasets, reviewers will access these websites and documents as these may be an additional source of information. Different sources of information may be most reliable for different data. The reviewer will use the most reliable source for any given data point, and where possible triangulate the information. The reviewer will indicate the information sources used (including documents reviewed) in the appropriate section of the validation report.

### **Contents of the validation report**

6. The sections covered in the terminal evaluation validation template includes the following: Project data; summary of project ratings; project objectives and theory of change; outcome and sustainability; project impacts; assessment of processes and factors affecting attainment of project outcomes; project M&E; implementation and execution; lessons and recommendations; and quality of terminal evaluation. The validation report template is updated annually. Nonetheless, the main topics covered by the validation report, including rated criteria, will remain the same to maintain continuity and facilitate comparisons among validations carried out across different periods.

### **Validated performance ratings**

7. Primary reviewers will rate project performance on following criteria: outcomes, sustainability, implementation, execution, M&E design, and M&E implementation. The performance will be rated using an approach identical to that described in the terminal evaluation guidelines for full size projects. In addition to the rating project performance, primary reviewers will also rate quality of terminal evaluation reports. Ratings will be provided only in instances where there is sufficient evidence to allow an assessment of the level of performance.

## Quality of Terminal Evaluation Reports

8. The quality of a terminal evaluation report will be assessed using 14 quality criteria<sup>20</sup>. Table 1 describes these criteria and presents sub-criteria that need to be considered along with other relevant information that may be available to help assess performance on the given criteria. The performance on each of the 14 criteria will be rated on a six-point scale (Highly Satisfactory to Highly Unsatisfactory). Overall quality of the report will be rated based on average of the ratings on the 14 quality criteria.

*Table C1. Terminal Evaluation Quality Criteria*

<b>Criteria/indicators of terminal evaluation quality</b>
<p><b>1. Timeliness:</b> terminal evaluation was carried out on schedule and its report submitted on time.</p> <ul style="list-style-type: none"> <li>• Terminal evaluation conducted within six months before or after project completion</li> <li>• Terminal evaluation report submitted at the GEF Portal within 12 months of project completion</li> </ul>
<p><b>2. General information:</b> Provides general information on the project and evaluation.</p> <ul style="list-style-type: none"> <li>• Provides GEF project ID</li> <li>• Lists evaluators that conducted the terminal evaluation</li> <li>• Lists the executing agencies</li> <li>• Specifies key project milestones (start date, first disbursement date, completion date)</li> <li>• Lists GEF environmental objectives</li> <li>• For projects under a program - identifies parent program</li> </ul>
<p><b>3. Stakeholder involvement in evaluation:</b> Participation of key stakeholders sought and their feedback addressed.</p> <ul style="list-style-type: none"> <li>• Key stakeholders of the project were identified in the report</li> <li>• Feedback of key stakeholders was sought on the draft report</li> <li>• Feedback of key stakeholders was incorporated in finalization of the evaluation report</li> <li>• If national project, OFP Feedback was sought on the draft report of the evaluation</li> <li>• If national project, OFP feedback was incorporated in finalization of the report</li> </ul>
<p><b>4. Theory of change:</b> provides solid account of the project's theory of change.</p> <ul style="list-style-type: none"> <li>• Discusses causal links/mechanisms to achieve intended impact</li> <li>• Presents the key assumptions of the theory of change</li> <li>• Discusses whether the key assumptions remain valid</li> </ul>
<p><b>5. Methodology:</b> Provides an informative and transparent account of the methodology.</p>

<sup>20</sup> Up to 2021 GEF IEO has used a different set of criteria for assessing quality of terminal evaluation reports. The revised criteria are inclusive of the criteria used earlier. This will allow for comparison with past ratings of quality of terminal evaluations.

<ul style="list-style-type: none"> <li>• Discusses information sources for the evaluation</li> <li>• Provides information on who was interviewed</li> <li>• Provides information on project sites/activities covered for verification</li> <li>• Tools and methods used for the evaluation are described</li> <li>• Identifies limitations of the evaluation</li> </ul>
<p><b>6. Outcomes:</b> Provides a clear and candid account of the achievement of project outcomes.</p> <ul style="list-style-type: none"> <li>• Assesses relevance to GEF priorities</li> <li>• Assesses relevance to country priorities</li> <li>• Assesses relevance of project design</li> <li>• Reports performance on all outcome targets</li> <li>• Discusses factors that affect outcome achievement at sufficient depth</li> <li>• Reports on timeliness of activities</li> <li>• Assesses efficiency in using project resources</li> <li>• Discusses factors that affected efficiency in use of resources</li> </ul>
<p><b>7. Sustainability:</b> Presents realistic assessment of sustainability.</p> <ul style="list-style-type: none"> <li>• Identifies risks that may affect sustainability</li> <li>• Indicates likelihood of key risks materializing</li> <li>• Indicates the likely effects if key risks materialize</li> <li>• Indicates overall likelihood of sustainability</li> </ul>
<p><b>8. Monitoring and Evaluation:</b> Presents sound assessment of the quality of the project M&amp;E system.</p> <ul style="list-style-type: none"> <li>• Analyzes quality of M&amp;E design at entry</li> <li>• Analyzes quality of M&amp;E during implementation</li> <li>• Discusses use of information from the M&amp;E system for project management</li> </ul>
<p><b>9. Finance:</b> Reports on utilization of GEF funding and materialization of co-financing.</p> <ul style="list-style-type: none"> <li>• Reports on utilization of GEF resources</li> <li>• Provides data on materialized cofinancing</li> <li>• Provides data on sources of materialized cofinancing</li> <li>• Provides data on types of cofinancing (cash, in-kind; loan, grant, equity, etc)</li> <li>• Discusses reasons for excess or deficient materialization of co-financing</li> <li>• Discusses contributions of cofinancing to project results, including effects of excess or deficient materialization of co-financing</li> </ul>
<p><b>10. Implementation:</b> Presents a candid account of project implementation and Agency performance.</p> <ul style="list-style-type: none"> <li>• Provides account of the GEF Agency performance</li> <li>• Provides account of the performance of executing agency</li> <li>• Discusses factors that affected implementation and execution</li> <li>• Discusses how implementation and execution related challenges were addressed</li> </ul>

<p><b>11. Environmental and Social Safeguards, and Gender:</b> Discusses application of safeguards and gender analysis.</p> <ul style="list-style-type: none"> <li>• Reports on implementation of social and environmental safeguards</li> <li>• Reports on conduct of gender analysis</li> <li>• Reports on implementation of actions specified in gender analysis</li> </ul>
<p><b>12. Lessons and recommendations:</b> based on project experience and relevant to future work.</p> <ul style="list-style-type: none"> <li>• Presents lessons</li> <li>• Lessons are based on project experience</li> <li>• Discusses applicability of lessons</li> <li>• Presents recommendations</li> <li>• Recommendations specify clearly what needs to be done</li> <li>• Specifies action taker for recommendations</li> </ul>
<p><b>13. Performance Ratings:</b> Ratings are well substantiated by evidence, and are realistic and credible.</p> <ul style="list-style-type: none"> <li>• Ratings are supported with sufficient evidence</li> <li>• Evidence provided in support is credible</li> </ul>
<p><b>14. Report presentation:</b> The report was well written, logically organized, and consistent.</p> <ul style="list-style-type: none"> <li>• Report is written in English (as required by the terminal evaluation guidelines)</li> <li>• Report is easy to read</li> <li>• Report is well-organized</li> <li>• Report is consistent</li> <li>• Report makes good use of tools that make information accessible (graphs/charts/tables)</li> </ul>
<p><b>Overall Quality of the report:</b> The 14 terminal evaluation quality criteria will be rated on a six-point scale (HS=6, S=5, MS=4, MU=3, U=2, HU=1). The overall quality will be determined by calculating the average the ratings on the 14 criteria and rounding off to the nearest digit. If the average is 5.5, 4.5, 3.5 and so on, it will be rounded off upwards.</p>

## ANNEX D. LIST OF PROJECTS REVIEWED IN THEMATIC STUDIES

### D.1. List of Completed Projects Reviewed in Behavior Change and M&E Indicators Studies

GEF ID	Project Title	Lead Agency	Country	Focal Area	Reviewed for M&E Indicators?	Behavior change intended?
6915	Southeast Europe and Central Asia Catastrophe Risk Insurance Facility	UNDP	Kazakhstan	Climate Change	NO	YES
6940	Sustainable Forest and Land Management in the Dry Dipterocarp Forest Ecosystems of Southern Lao PDR	UNDP	Lao PDR	Multi Focal Area	YES	YES
6945	Strengthening Capacities of Rural Aqueduct Associations' (ASADAS) to Address Climate Change Risks in Water Stressed Communities of Northern Costa Rica	UNDP	Costa Rica	Climate Change	NO	YES
6955	Strengthening the Adaptive Capacity to Climate Change in the Fisheries and Aquaculture Sector	Food and Agriculture Organization	Chile	Climate Change	NO	YES
6960	Supporting Climate Resilient Livelihoods in Agricultural Communities in Drought-prone Areas	UNDP	Turkmenistan	Climate Change	YES	YES
6962	Advancing IWRM Across the Kura River Basin through Implementation of the Transboundary Agreed Actions and National Plans	UNDP	Regional	International Waters	NO	YES
6964	Volta River Basin Strategic Action Programme Implementation Project	UNDP	Regional	International Waters	NO	NO
6966	UPOPs Reduction through BAT/BEP and PPP-based Industry Chain Management in Secondary Copper Production Sector in China	UNDP	China	Chemicals and Waste	YES	YES
6971	Generating Global Environment Benefits through Improved Environmental Information, Planning and Decision Making Systems	UNDP	Mali	Multi Focal Area	NO	YES
6980	The International Lighting Efficiency Facility (iLEF)(non-grant)	The World Bank	Global	Climate Change	NO	NO
6982	Enhancing Capacity to Develop Global and Regional Environmental Projects in the Pacific	UNDP	Regional	Multi Focal Area	NO	NO
8015	Enhancing Resilience Of Liberia Montserrado County Vulnerable Coastal Areas To Climate Change Risks	UNDP	Liberia	Climate Change	NO	YES
9044	Sixth Operational Phase of the GEF Small Grants Programme in Peru	UNDP	Peru	Multi Focal Area	YES	Excluded
9088	Sixth Operational Phase of the GEF Small Grants Programme in Costa Rica	UNDP	Costa Rica	Multi Focal Area	YES	Excluded
9112	The Ten Island Challenge: Derisking the Transition of the Caribbean from Fossil Fuels to Renewables	UNDP	Regional	Climate Change	YES	YES
9114	Capacity Development for Improved Implementation of Multilateral Environmental Agreements (MEAs)	UNDP	Serbia	Multi Focal Area	NO	NO

GEF ID	Project Title	Lead Agency	Country	Focal Area	Reviewed for M&E Indicators?	Behavior change intended?
9121	Enabling Transboundary Cooperation and Integrated Water Resources Management in the White Drin and the Extended Drin Basin	UNDP	Kosovo	International Waters	NO	NO
9123	Cities-IAP: Sustainable Cities Initiative	UNDP	Senegal	Multi Focal Area	YES	YES
9160	Regional Partnership for African Fisheries Policy Reform (RAFIP)	The World Bank	Regional	International Waters	NO	NO
9163	Enabling the use of Global Data Sources to assess and Monitor Land Degradation at Multiple Scales	UNDP	Global	Land Degradation	NO	YES
9179	Adaptive Management and Learning for the Commodities IAP	UNDP	Global	Multi Focal Area	NO	YES
9180	Reducing Deforestation from Commodity Production	UNDP	Global	Multi Focal Area	YES	YES
9182	Commodities-IAP: Generating Responsible Demand for Reduced-Deforestation Commodities	World Wildlife Fund - US Chapter	Global	Multi Focal Area	NO	YES
9211	Coordinate Action and Learning to Combat Wildlife Crime	UNDP	Global	Biodiversity	NO	NO
9248	Sixth Operational Phase of the GEF Small Grants Programme in Bolivia	UNDP	Bolivia	Multi Focal Area	YES	Excluded
9282	Safeguarding Biodiversity in the Galapagos Islands by Enhancing Biosecurity and Creating the Enabling Environment for the Restoration of Galapagos Island Ecosystems.	Conservation International	Ecuador	Biodiversity	YES	YES
9289	Enhancing Financial Sustainability of the Protected Area System	UNDP	Albania	Biodiversity	NO	NO
9314	Strengthening of Multisector and Decentralised Environmental Management and Coordination to Achieve the Objectives of the Rio Conventions in the Union of Comoros	UNDP	Comoros	Multi Focal Area	NO	NO
9319	Integrating Rio Global Environmental Commitments into National Priorities and Needs through the Improvement of Information Management and Knowledge for Planning and Decision Making.	UNDP	Cuba	Multi Focal Area	NO	YES
9331	Sixth Operational Phase of the GEF Small Grants Programme in Pakistan	UNDP	Pakistan	Multi Focal Area	YES	Excluded
9335	Strengthening Institutional Capacity for Effective Implementation of Rio Conventions in Uganda	UNDP	Uganda	Multi Focal Area	NO	NO
9340	Food-IAP: Sustainable Land and Water Management Project, Second Additional Financing	UNDP	Ghana	Multi Focal Area	YES	YES
9354	Public Lighting Energy Efficiency Program: Public lighting replacement of low-efficiency VSAP bulbs with high-efficiency LEDs in Colombia	Inter-American Development Bank	Colombia	Climate Change	NO	NO



GEF ID	Project Title	Lead Agency	Country	Focal Area	Reviewed for M&E Indicators?	Behavior change intended?
9359	Enabling Transboundary Cooperation and Integrated Water Resources Management in the Dniester River Basin	UNDP	Regional	International Waters	NO	NO
9365	Land Degradation Neutrality Target Setting Project	International Union for Conservation of Nature	Global	Land Degradation	NO	NO
9379	Application of Green Chemistry in Vietnam to Support Green Growth and Reduction in the Use and Release of POPs/Harmful Chemicals	UNDP	Viet Nam	Chemicals and Waste	YES	YES
9390	Strengthening National Capacities to Meet Global Environmental Obligations with the Framework of Sustainable Development Priorities	UNDP	Liberia	Multi Focal Area	NO	YES
9391	The Global Environmental Commons. Solutions for a Crowded Planet	International Union for Conservation of Nature	Global	Multi Focal Area	NO	Excluded
9451	Caribbean Regional Oceanscape Project	UNDP	Regional	Multi Focal Area	NO	NO
9460	Sixth Operational Phase of the GEF Small Grants Program in Ecuador	UNDP	Ecuador	Multi Focal Area	YES	Excluded
9467	Monitoring and Assessment of MEA Implementation and Environmental Trends in Antigua and Barbuda	UNDP	Antigua and Barbuda	Multi Focal Area	NO	NO
9486	Greening COP22 in Marrakesh, Morocco	United Nations Industrial Development Organization	Morocco	Climate Change	NO	Excluded
9502	Strengthening Natural Resource Valuation Capacities for Improved Planning and Decision-making to Conserve the Global Environment	UNDP	Guinea-Bissau	Multi Focal Area	NO	NO
9567	Renewable Energy for the City of Marrakech's Bus Rapid Transit System	UNDP	Morocco	Climate Change	YES	NO
9617	Taking Deforestation Out of the Soy Supply Chain	UNDP	Brazil	Multi Focal Area	YES	YES
9674	Strengthening National Capacity in Kenya to Meet the Transparency Requirements of the Paris Agreement and Sharing Best Practices in the East Africa Region	Conservation International	Kenya	Climate Change	NO	YES
9675	CBIT Global Coordination Platform	UNDP	Global	Climate Change	NO	YES
9712	Complete HCFC Phase-out in Tajikistan through Promotion of Zero ODS Low GWP Energy Efficient Technologies	UNDP	Tajikistan	Chemicals and Waste	NO	YES

GEF ID	Project Title	Lead Agency	Country	Focal Area	Reviewed for M&E Indicators?	Behavior change intended?
9720	Developing Organizational Capacity for Ecosystem Stewardship and Livelihoods in Caribbean Small-Scale Fisheries (StewardFish)	Food and Agriculture Organization	Regional	International Waters	NO	YES
9724	Phase out of Endosulfan in China	UNDP	China	Chemicals and Waste	YES	YES
9739	Building Institutional and Technical Capacities to Enhance Transparency in the Framework of the Paris Agreement	UNDP	Uruguay	Climate Change	NO	NO
9741	Developing a Comprehensive Framework for Practical Implementation of the Nagoya Protocol	UNDP	Cambodia	Biodiversity	NO	NO
9795	Forest Resources Assessment and Monitoring to Strengthen Forest Knowledge Framework in Azerbaijan	Food and Agriculture Organization	Azerbaijan	Multi Focal Area	YES	NO
9804	Conservation and Sustainable Use of Biodiversity in Coastal Marine Production Landscapes	UNDP	Panama	Biodiversity	YES	YES
9807	Global Deployment of the Industrial Energy Efficiency Accelerator	United Nations Industrial Development Organization	Global	Climate Change	YES	NO
9814	Strengthening the Capacity of Institutions in Uganda to Comply with the Transparency Requirements of the Paris Agreement	UNDP	Uganda	Climate Change	NO	NO
9821	Support to Eligible Parties to Produce the Sixth National Report to the CBD (LAC)	UNDP	Regional	Biodiversity	NO	NO
9826	Support to Eligible Parties to Produce the Sixth National Report (6NR) to the CBD (Asia)	UNDP	Global	Biodiversity	NO	NO
9829	Support to Eligible Parties to Produce the Sixth National Report to the CBD (6NR - Mixed regions)	UNDP	Global	Biodiversity	NO	NO
9840	Support to Eligible Parties to Produce the Sixth National Report to the CBD (6NR - LAC-II)	UNDP	Global	Biodiversity	NO	NO
9923	Building and Strengthening Liberia's National Capacity to Implement the Transparency Elements of the Paris Climate Agreement	Conservation International	Liberia	Climate Change	NO	NO
9941	Structuring and Launching CRAFT: the First Private Sector Climate Resilience & Adaptation Fund for Developing Countries	Conservation International	Global	Climate Change	NO	NO
9949	Setting the Foundations for Zero Net Loss of the Mangroves that Underpin Human Wellbeing in the North Brazil Shelf LME	Conservation International	Regional	International Waters	NO	NO
9950	Growing Green Business in Montenegro	UNDP	Montenegro	Climate Change	YES	NO

GEF ID	Project Title	Lead Agency	Country	Focal Area	Reviewed for M&E Indicators?	Behavior change intended?
9959	Long-term Financial Mechanism to Enhance Mediterranean MPA Management Effectiveness	Conservation International	Regional	International Waters	NO	NO
10029	Establishing Transparency Framework for the Republic of Serbia	UNDP	Serbia	Climate Change	NO	YES
10042	Strengthening Institutional and Technical Macedonian Capacities to Enhance Transparency in the Framework of the Paris Agreement	UNDP	North Macedonia	Climate Change	NO	NO
10071*	Building global capacity to increase transparency in the forest sector (CBIT-Forest)	Food and Agriculture Organization	Global	Climate Change	NO	NO

\*Project approved under GEF-7. All other completed projects in this list approved under GEF-6. All terminal evaluations submitted on the GEF Portal as of September 30, 2022.

## D.2. List of GEF-7 Projects Sampled in Behavior Change Study

GEF ID	Project Title	Lead Agency	Focal Area	Behavior change intended?
10075	Strengthening management and governance for the conservation and sustainable use of globally significant biodiversity in coastal marine ecosystems in Chile	FAO	Biodiversity	YES
10086	Reducing global environmental risks through the monitoring and development of alternative livelihood for the primary mercury mining sector in Mexico	UNEP	Chemicals and Waste	YES
10176	Enhancing the resilience of agriculture and livestock producers through improved watershed management and development of environmentally-positive value chains in South East Mauritania	FAO	Climate Change	YES
10193	Fostering Water and Environmental Security in the Ma and Neun/Ca Transboundary River Basins and Related Coastal Areas	FAO	International Waters	NO
10233	Sustainable Management of Conservation Areas and Improved Livelihoods to Combat Wildlife Trafficking in Madagascar	UNEP,UNDP	Biodiversity	YES
10239	Establishing System for Sustainable Integrated Land-use Planning Across New Britain Island in Papua New Guinea	UNDP	Multi Focal Area	YES
10245	Integrated Sustainable Landscape Management in the Mekong Delta of Vietnam	FAO	Multi Focal Area	YES
10274	Support the Shift to Electric Mobility in the Seychelles (Parent Program: Global Programme to Support Countries with the Shift to Electric Mobility)	UNEP	Climate Change	YES
10304	Integrating Landscape Considerations in Wildlife Conservation, with Emphasis on Jaguars (Parent Program: Global Wildlife Program)	UNDP	Biodiversity	YES
10314	Community-based forested landscape management in the Grand Kivu and Lake Tele-Tumba (Parent Program: The Congo Basin Sustainable Landscapes Impact Program (CBSL IP))	UNEP	Multi Focal Area	YES
10412	Sustainable Luangwa: Securing Luangwa's water resources for shared socioeconomic and environmental benefits through integrated catchment management	WWF-US	Multi Focal Area	YES
10419	Environmentally sound management of PCBs, Mercury and other toxic chemicals in Peru	UNDP	Chemicals and Waste	YES
10431	Partnerships for Coral Reef Finance and Insurance in Asia and the Pacific	ADB	Climate Change	YES
10459	Accelerating cleantech innovation and entrepreneurship in start-ups and SMEs in Indonesia (Parent Program: Global Cleantech Innovation Programme (GCIP) to accelerate the uptake and investments in innovative cleantech solutions)	UNIDO	Climate Change	YES
10476	National child project under the GEF Africa Mini-grids Program Eswatini (Parent Program: GEF-7 Africa Minigrids PrograM)	UNDP	Climate Change	YES
10528	Achieving land degradation neutrality targets through restoration and sustainable management of degraded land in Northern Jordan	FAO	Land Degradation	YES
10549	SVG: Coastal and Marine Ecosystems Management Strengthening Project	World Bank	Biodiversity	NO
10573	Blue Horizon: Ocean Relief through Seaweed Aquaculture	WWF-US	International Waters	YES
10598	Integrated Landscape Management for conservation and restoration of the Mt. Elgon Ecosystem in Western Kenya (Parent Program: Food Systems, Land Use and Restoration (FOLUR) Impact Program)	FAO	Multi Focal Area	YES
10601	Food System, Land Use and Restoration Impact Program in Uzbekistan	FAO	Multi Focal Area	YES
10609	Accelerating the adoption and scale-up of electric mobility for low-carbon city development in the Philippines (Parent Program: Global Programme to Support Countries with the Shift to Electric Mobility)	UNIDO	Climate Change	YES

<b>10640</b>	Enabling Electric Vehicles (EVs) Adoption in the framework of Sustainable energy based Transportation in Bangladesh (Parent Program: Global Programme to Support Countries with the Shift to Electric Mobility)	UNDP	Climate Change	YES
<b>10687</b>	Climate security and sustainable management of natural resources in the central regions of Mali for peacebuilding	UNDP	Multi Focal Area	YES
<b>10694</b>	Integrated Landscape Management for Addressing Land Degradation, Food Security and Climate Resilience Challenges in The Bahamas	UNEP	Land Degradation	YES
<b>10711</b>	Innovating Eco-Compensation Mechanisms in Yangtze River Basin (YRB)	ADB	Multi Focal Area	YES
<b>10735</b>	Connecting Watershed Health with Sustainable Livestock and Agroforestry Production ( Parent Program: Food Systems, Land Use and Restoration (FOLUR) Impact Program)	World Bank	Multi Focal Area	YES
<b>10803</b>	Reduction of UPOPs through Waste Management in a Circular Economy	World Bank	Chemicals and Waste	YES
<b>11016</b>	Conservation and Sustainable Management of the Dry Forest Landscape	IDB	Biodiversity	NO

## ANNEX E. INSTRUMENTS FOR REVIEW OF BEHAVIOR-CHANGE APPROACHES

### E.1. Review of Terminal Evaluations

#### Behavior Change in GEF-6 Terminal Evaluations

2. GEF ID

3. Project Title

4. Project Objective (copy-paste)

5. Looking through the project components, activities, and results framework, did the project promote the adoption of or change in technologies, practices or approaches by at least one stakeholder **group**?

- YES  
 NO  
 UA

6. Summarize or copy-paste details to support your answer above.

7. If NO, what type of intervention did the project try to do? Select all that apply.

- |  |  |
|--|--|
| <input type="checkbox"/> Policy/ law development               | <input type="checkbox"/> Awareness-raising / knowledge dissemination   |
| <input type="checkbox"/> Strategy/ management plan development | <input type="checkbox"/> Research/ assessment                          |
| <input type="checkbox"/> Tool/ method development              | <input type="checkbox"/> Institutional strengthening                   |
| <input type="checkbox"/> Financial mechanism development       | <input type="checkbox"/> Coordination of interventions and/or partners |
| <input type="checkbox"/> Training                              | <input type="checkbox"/> UA  |
| <input type="checkbox"/> Other                                 |  |

8. If YES, what change in technologies, practices or approaches did the project promote?  
 Select all that apply.

- |   |   |
|---|---|
| <input type="checkbox"/> Sustainable fishing                | <input type="checkbox"/> Energy efficiency                  |
| <input type="checkbox"/> Sustainable farming                | <input type="checkbox"/> Climate change adaptation measures |
| <input type="checkbox"/> Sustainable forest management      | <input type="checkbox"/> Sustainable transport              |
| <input type="checkbox"/> Sustainable land management        | <input type="checkbox"/> Renewable energy                   |
| <input type="checkbox"/> Sustainable production             | <input type="checkbox"/> Pollution management               |
| <input type="checkbox"/> Sustainable consumption            | <input type="checkbox"/> Sustainable tourism                |
| <input type="checkbox"/> Chemical use reduction             | <input type="checkbox"/> UA                                 |
| <input type="checkbox"/> Biodiversity Conservation measures |   |
| <input type="checkbox"/> Other (please specify)             |   |

Use of practices or technology	<input type="text"/>
Reduction of use	<input type="text"/>
Adoption of policies	<input type="text"/>
Mainstreaming of approach (e.g. management plans)	<input type="text"/>
Investment in/ installation of technology	<input type="text"/>
Use of digital product/ other soft infrastructure (e.g. exchange platform, manual)	<input type="text"/>
Application of knowledge from training	<input type="text"/>
UA	<input type="text"/>

9. For each technology, practice or approach, which stakeholder type was expected to adopt  
Check all that apply.

- |  |  |
|--|--|
| <input type="checkbox"/> Community members/ households | <input type="checkbox"/> Higher-scale government staff |
| <input type="checkbox"/> Private sector                | <input type="checkbox"/> Other                         |
| <input type="checkbox"/> CSO groups                    | <input type="checkbox"/> UA                            |
| <input type="checkbox"/> Local government staff        |  |

Provide details of which stakeholder groups are expected to adopt which change in technology/ approach/ practice  
Specify the stakeholder group-behavior change pairings that the project has targeted.

10. If UA, why?

- Regional project - not enough detail at local level
- TE does not provide enough specific details
- Other (please specify)

11. Is adoption of at least one of the technologies, practices or approaches (logically)  
expected to directly result in environmental benefits?

- YES
- NO
- UA

12. BEHAVIOR CHANGE INDICATORS. Does the results framework include specific  
indicators related to adoption of technology/ approach/ practice by specific actor groups?

- YES
- NO
- UA



13. If NO or UA in Q12, what did the project measure instead to track progress toward its objective (in relation to adoption of technology or practice)?

- Only environmental benefits (may include tracking of output or of use but no specific actor)
- Only use/ application of technology or practice, but not adoption by any specific actor
- Did not track
- UA
- Other (please specify)

14. If YES to Q12, to what extent has the project reached its target for adoption/ change? If multiple targets, choose the option representing highest achievement.

- >100%
- 70-100%
- 50-69%
- 25-49%
- <25%
- Percentage not clear or qualitative description only
- Activity not implemented or completed to reach adoption stage
- Unable to assess if any adoption/ change occurred

Provide details of behavior change indicators, e.g. different indicators tracked, actual outcomes and stakeholder groups involved for each, qualitative description, etc.

15. If adoption or change was not achieved by project end, does the TE report any of the following changes that could later lead to behavior change? Check all that apply.

- |  |   |
|--|---|
| <input type="checkbox"/> Higher awareness of need to change        | <input type="checkbox"/> Preparatory steps to adopt/ change |
| <input type="checkbox"/> Change in beliefs                         | <input type="checkbox"/> Other                              |
| <input type="checkbox"/> Declaration of intention to adopt/ change | <input type="checkbox"/> None / UA                          |

Provide details of other changes reported, and evidence of these changes reported in the TE.

16. ENVIRONMENTAL INDICATORS. Does the results framework include specific indicators related to environmental benefits?

- YES
- NO
- UA

17. If YES to Q16, to what extent were the environmental targets achieved? If multiple targets, choose the option representing highest achievement.

- >100%
- 70-100%
- 50-69%
- 25-49%
- <25%
- Percentage not clear or qualitative description only
- Activity not implemented or completed to generate any environmental outcomes
- Unable to assess if any positive environmental change achieved

Provide details of environmental indicators, e.g. different indicators tracked, actual outcomes and stakeholder groups involved for each, qualitative description, etc.

18. Was the level of success in environmental outcomes dependent on the extent of adoption/change in technology/ approach/ practice among key stakeholders?

- YES
- NO
- UA

19. If explicit behavior change indicators were not tracked, to what extent were outputs that were logically linked to behavior change achieved? If multiple targets, choose the option representing highest achievement.

- NA
- >100%
- 70-100%
- 50-69%
- 25-49%
- <25%
- Percentage not clear or qualitative description only
- Activity not implemented or completed to generate any outputs
- Unable to assess if any outputs achieved

Provide brief description of outputs achieved

## FACTORS & CONDITIONS

20. What project activities, enabling conditions and contextual factors/ conditions helped motivate/ catalyze behavior change? Describe how each contributed to successful behavior change. What specific psychosocial motivations did these address?

21. What project activities and contextual factors/ conditions were barriers to behavior change? What missing enabling conditions prevented/ slowed down behavior change from happening? Describe how each hindered behavior change. What specific psychosocial motivations did these fail to address or trigger to get a negative reaction?

22. Based on your explanations above, what enabling conditions/ levers of behavior change did the project support? Check all that apply.

- |  |  |   |
|--|--|---|
| <input type="checkbox"/> Information - training, awareness campaigns, workshops, etc.            | <input type="checkbox"/> Multistakeholder interactions & partnerships      | <input type="checkbox"/> Social influences - peer accountability, social feedback, partnerships, etc.                               |
| <input type="checkbox"/> Material incentives - cash, subsidies, penalties, support centers, etc. | <input type="checkbox"/> Systematic learning mechanisms                    | <input type="checkbox"/> Choice architecture - reminders, simplified steps, default options, monitoring & feedback mechanisms, etc. |
| <input type="checkbox"/> Rules & regulations - laws, operating guidelines, etc.                  | <input type="checkbox"/> Participatory mechanisms for decision-making      | <input type="checkbox"/> UA   |
| <input type="checkbox"/> Sustainable financing   | <input type="checkbox"/> Emotional appeals - evoke pride, joy, shame, etc. |   |
| <input type="checkbox"/> Other (please specify)  |  |   |

23. Regardless of actual outcome, was a successful change in technology/ approach/ practice by key stakeholders (logically) dependent on other actors being motivated to make changes in laws, financing, or other enabling conditions *within the project implementation period*?

- Success dependent on other actors also being motivated to change
- Success not dependent on any other actors changing their behavior
- UA

24. To what extent are the macro contextual conditions (environmental, political, economic, cultural, etc.) likely to support or hinder behavior change beyond project implementation? Describe the relevant conditions and how they might support or hinder behavior change post-project. If information not available, type UA in box.

25. Check all **existing conditions that make behavior change likely to continue** beyond the project:

- |   |   |   |
|---|---|---|
| <input type="checkbox"/> Key stakeholders investing their own resources (vs project funds) to implement changes | <input type="checkbox"/> Multistakeholder interactions & partnerships | <input type="checkbox"/> Participatory mechanisms for decision-making |
| <input type="checkbox"/> Sustainable financing mechanisms (inc. regular govt budget)                            | <input type="checkbox"/> Systematic learning mechanisms               | <input type="checkbox"/> Other  |
| <input type="checkbox"/> Appropriate policy framework and operating guidelines                                  | <input type="checkbox"/> Incentives & disincentives                   | <input type="checkbox"/> UA   |
| <input type="checkbox"/> Individual & institutional logistical support  | <input type="checkbox"/> Knowledge & information dissemination        |   |

Provide description of existing enabling conditions and how they are likely to sustain behavior change

26. Based on the above, how would you assess the likelihood of behavior change being sustained beyond the project?

- Likely
- Moderately Likely
- Moderately Unlikely
- Unlikely

27. Provide a quick, over-all assessment of how this project did or did not promote and/or track behavior change. To what extent did it miss any opportunities to promote/ track behavior change in order to achieve its objectives?

## E.2. Review of CEO-endorsed/ -approved Documents

### Behavior Change in GEF-7 ProDocs

2. GEF ID

3. Project Title

4. Project Objective (copy-paste)

5. Looking through the project components, activities, and results framework, does the project promote the adoption of or change in technologies, practices or approaches by at least one stakeholder **group**?

- YES  
 NO  
 UA

6. Summarize or copy-paste details to support your answer above.

7. If NO, what type of intervention is the project doing? Select all that apply.

- |  |  |
|--|--|
| <input type="checkbox"/> Policy/ law development               | <input type="checkbox"/> Awareness-raising / knowledge dissemination   |
| <input type="checkbox"/> Strategy/ management plan development | <input type="checkbox"/> Research/ assessment                          |
| <input type="checkbox"/> Tool/ method development              | <input type="checkbox"/> Institutional strengthening                   |
| <input type="checkbox"/> Financial mechanism development       | <input type="checkbox"/> Coordination of interventions and/or partners |
| <input type="checkbox"/> Training                              | <input type="checkbox"/> UA  |
| <input type="checkbox"/> Other                                 |  |

8. If YES, what change in technologies, practices or approaches did the project promote?  
 Select all that apply.

- |   |   |
|---|---|
| <input type="checkbox"/> Sustainable fishing                | <input type="checkbox"/> Energy efficiency                  |
| <input type="checkbox"/> Sustainable farming                | <input type="checkbox"/> Climate change adaptation measures |
| <input type="checkbox"/> Sustainable forest management      | <input type="checkbox"/> Sustainable transport              |
| <input type="checkbox"/> Sustainable land management        | <input type="checkbox"/> Renewable energy                   |
| <input type="checkbox"/> Sustainable production             | <input type="checkbox"/> Pollution management               |
| <input type="checkbox"/> Sustainable consumption            | <input type="checkbox"/> Sustainable tourism                |
| <input type="checkbox"/> Chemical use reduction             | <input type="checkbox"/> UA                                 |
| <input type="checkbox"/> Biodiversity Conservation measures |   |
| <input type="checkbox"/> Other (please specify)             |   |

Use of practices or technology	<div style="border: 1px solid black; height: 25px; width: 100%;"></div>
Reduction of use	<div style="border: 1px solid black; height: 25px; width: 100%;"></div>
Adoption of policies	<div style="border: 1px solid black; height: 25px; width: 100%;"></div>
Mainstreaming of approach (e.g. management plans)	<div style="border: 1px solid black; height: 25px; width: 100%;"></div>
Investment in/ installation of technology	<div style="border: 1px solid black; height: 25px; width: 100%;"></div>
Use of digital product/ other soft infrastructure (e.g. exchange platform, manual)	<div style="border: 1px solid black; height: 25px; width: 100%;"></div>
Application of knowledge from training	<div style="border: 1px solid black; height: 25px; width: 100%;"></div>
UA	<div style="border: 1px solid black; height: 25px; width: 100%;"></div>

9. For each technology, practice or approach, which stakeholder type was expected to adopt? Check all that apply.

- |  |  |
|--|--|
| <input type="checkbox"/> Community members/ households | <input type="checkbox"/> Higher-scale government staff |
| <input type="checkbox"/> Private sector                | <input type="checkbox"/> Other                         |
| <input type="checkbox"/> CSO groups                    | <input type="checkbox"/> UA                            |
| <input type="checkbox"/> Local government staff        |  |

Provide details of which stakeholder groups are expected to adopt which change in technology/ approach/ practice. Specify the stakeholder group-behavior change pairings that the project has targeted.

10. If UA, why?

- Regional project - not enough detail at local level
- ProDoc does not provide enough specific details
- Other (please specify)



11. Is adoption of at least one of the technologies, practices or approaches (logically) expected to directly result in environmental benefits?

- YES
- NO
- UA

12. BEHAVIOR CHANGE INDICATORS. Does the results framework include specific indicators related to adoption of technology/ approach/ practice by specific actor groups?

- YES
- NO
- UA

If YES, paste details of behavior change indicators

13. If NO or UA in Q12, what does the project measure instead to track progress toward its objective (in relation to adoption of technology or practice)?

- Only environmental benefits (may include tracking of output or of use but no specific actor)
- Only use/ application of technology or practice, but not adoption by any specific actor
- Did not track
- UA
- Other

14. Provide a quick, over-all assessment of how this project does or does not promote and/or track behavior change. To what extent does it miss any opportunities to promote/ track behavior change in order to achieve its objectives?

ANNEX F. INSTRUMENT FOR REVIEW OF INDICATORS

A.	Review details	
1.	Review conducted by: Name	First Reviewer: Second Reviewer:
2.	Review completed on: Date	
3.	Check (v) the documents were used in conduct of this review	Documents submitted during project preparation Project Implementation Reports (or equivalent) Midterm review report (or equivalent) Tracking tools submitted at midterm Tracking tools submitted at project completion Terminal evaluation Other documents(specify).....

B.	Project Details	
1.	Project ID	
2.	Project Name	
3.	Lead GEF Agency	
4.	Focal Area	

C.	Screening Questions	Response	Instruction
1.	At least one project objective/outcome is aimed at environmental results?	Yes No	If 'No' end of the review
2.	Is project exclusively an enabling activity (i.e., targeted at building enabling environment but not expected to have attributable environmental results by project completion)?	Yes No	If 'Yes' end of the review
3.	Does project M&E count coverage in terms of countries covered or number of water bodies or water basin covered as an indicator (Check the applicable responses)	1. 2. 3.	
4.	Do project objective/outcome indicate that the project aims to achieve an attributable environmental stress reduction and/or status change through project activities?	Yes No	If 'No' end of the review
5.	During implementation were the key environmental objective/outcomes of the project changed?	Yes No	
6.	If changes were made to the key environmental objective/outcomes, explain the changes made:		
7.	During implementation where the environmental results indicators changed?	Yes No	If 'No' Skip to C.9 in this table
8.	If changes were made to the key environmental results indicators, explain the changes made:		
9.	How many environmental objectives/outcomes with the attributable environmental results (stress reduction and or status change) are listed in the project documents? (Number)	_____	From the next section onwards, provide

			information for each of the environmental objective / outcome aimed at the environmental stress reduction and/or status change
--	--	--	--

**D. Indicators (for each objective/outcome listed in response to question C.9 fill the following form and questions in the D section)**

**D.1 Objective/Outcome 1**

No.	Question	Response	Instruction
D.1.1	List the environmental objective /outcome		
D.1.2	Does this environmental objective/outcome indicate achievement of (Check (v) all applicable responses:	Enabling Environment  Built capacities  Environmental stress reduction and/or status change	If the objective/outcome will not lead to attributable environmental stress reduction and or status change, Skip to D.2
D.1.3	Do the project documents/project M&E (including revisions) specify at least one results indicator to assess achievement of the objective / outcome?	Yes No	If no results indicator has been specified, then Skip to D.2

**D.1.4 Fill in the following table based on evidence on each of the environmental results indicator relevant for the given objective / outcome**

Indicator number	Name	Core / Sub-core indicator	Environ. indicator (Yes/No)	Baseline provided? (Yes/No)	Target / Units	Achieved at project completion	Achievement level (Full 100%+ ; Substantial 50% to 99%; low 10% to 49%; negligible <10%)	Any other indicator?

1.4.1								Yes...next indicator  No... to question D.1.5
1.4.2								Yes...next indicator  No... to question D.1.5
1.4.3								Yes...next indicator  No... to question D.1.5

D.1.5 Do the specified indicators together provide a good sense of the achievement of this objective / outcome? Why? Why not?

**E. Summative questions**

- E.1 Are the indicators specified in the project M&E framework appropriate for tracking the environmental results of the project?
- E.2 Was achievement of the targeted performance on indicators tracked? Was it tracked as per the M&E design provided in project documents (or revised project design)
- E.3 Was achievement of the targeted performance reported on through tracking tools / terminal evaluation? Where there any gaps in reporting?

**End of Review**