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## **Progress Report on the Implementation of the GEF Results-Based Management Framework**

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## Introduction

1. As part of the *Policy Recommendations for the Fifth Replenishment of the GEF Trust Fund* (GEF/C.37/3) participants requested, “the Secretariat, in collaboration with the GEF Agencies and the GEF Evaluation Office, to present a work-plan for the implementation of activities associated with Results Based Management (RBM) for Council review in November 2010. The work plan should establish a process to ensure the quality of objectives baselines, and results indicators, where each step of the results chain can be easily defined and tracked. Participants also recommend that a progress report on the implementation of RBM be submitted for Council review at its meeting in November 2011.”
2. The following information document provides the progress made to date on the implementation of RBM for GEF-5.
3. The work plan for GEF-5 RBM was presented and approved by Council in November 2011. The Table below presents a summary of the main components and time line:

**Table 1: Summary of the main components and time line**

Component	Approximate Completion Date
<b>1.</b> Annual Monitoring Review Process GEF-5	Spring 2011
<b>2.</b> Integration into Project Management Information System (PMIS)	Spring 2012
<b>3.</b> Tools to Enhance Portfolio Monitoring <ul style="list-style-type: none"> <li><b>a.</b> Portfolio Monitoring Missions</li> <li><b>b.</b> Quality at Entry</li> <li><b>c.</b> Portfolio Risk Assessment</li> <li><b>d.</b> Socioeconomic &amp; Gender study</li> <li><b>e.</b> Geographic Information System (GIS) to Support M&amp;E</li> </ul>	Proposal Spring 2011 Fall 2011 Spring 2012 Fall 2011 Spring 2012
<b>4.</b> Knowledge Management (KM) Strategy	Spring 2011
<b>5.</b> Internal Guidance on RBM/KM	Fall 2011
<b>6.</b> Progress report on RBM/KM Implementation	Fall 2011

## **Reform of the Annual Monitoring Review Process**

4. Under component one, reforming the Annual Monitoring Review (AMR) process, the Secretariat is implementing a significant shift in how it monitors the overall portfolio of GEF projects and programs. The Secretariat will move from focusing on individual Project Implementation Reports (PIRs) on a yearly basis to a more targeted analysis of projects that have gone through a mid-term review or are in their last year of implementation (to distinguish from the GEF Evaluation Office (GEFEO), the Secretariat will not review terminal evaluations but rather the final PIR from a project).
5. The Secretariat will continue to receive Agencies' internal reports on a yearly basis based on Agencies' own internal reporting systems and will continue to report to Council on Development Objective and Implementation Progress ratings yearly. The more in-depth analysis however on focal area results, lessons learned, and best practices will focus on projects that have been through a mid-term review or are at project completion.
6. Agencies have agreed to this shift in the Secretariat's focus. For the November 2011 Council, the Secretariat is presenting the quantitative analysis of portfolio performance as the *AMR 2011: Part I*. This is the first time Council will review data on the GEF's active portfolio five months after the close of the fiscal year.

## **Integration of Monitoring Data into PMIS**

7. Integration of data in the PMIS, progress is complete. All focal areas now have tracking tools that are in Excel. For the FY11 reporting process, Agencies will submit these Excel files to the Secretariat, which should allow for a more automated collection and analysis of the data received. In addition by the spring of 2012, the Secretariat will have additional fields programmed into the PMIS to improve data capture for both monitoring and evaluation.

## **Tools to Enhance Portfolio Monitoring**

8. Most of the tools have fully developed proposals and the Secretariat will begin implementation in the next several months:

### *Portfolio Learning Missions*

9. Based on the initial pilot experience the Secretariat has developed a proposal for integrating learning missions into the broader knowledge management GEF-5 strategy. The targeted learning process incorporates two levels of learning from the GEF active portfolio. The first is through the annual reporting process, where the focus is now on projects that have reached mid-term or are closed. The second is through more in-depth analysis on one or two particular aspects of the portfolio. Information gathered through this process will either be included in the version of the AMR that will come out in the spring or as separate in-depth reports on a particular aspect of the GEF portfolio. The specific outputs of targeted learning over the remaining fiscal year will be:
  - (a) A refinement of the overarching existing focal\_area learning objectives;

- (b) The development of guiding questions (to be applied to desk analysis of Mid-term Review (MTR) and closed projects for the AMR);
- (c) A work plan for each focal area on how a combination of desk studies, in-depth analysis, and learning missions will be undertaken for GEF-5; and
- (d) The results from the analysis of MTRs and closed projects for FY2011, which will be presented to the spring 2012 Council meeting.

#### *Quality at Entry*

10. The Secretariat is engaging closely with STAP and the Evaluation Office to develop a methodology to examine specific aspects of quality at entry at project design. The methodology combines work that is already being or has been undertaken by STAP and the GEFEO with work the Secretariat will need to implement. The Secretariat will focus its review on three main issues at project design: gender and socio-economic aspects, climate change risk and vulnerability assessments, and quality of baselines. A summary report of findings will be submitted to the Fall 2012 Council meeting.

#### *Portfolio Risk Assessment*

11. No significant progress has been made to develop a methodology for assessing the overall risk of the GEF portfolio. The Secretariat will include progress on the development of a methodology in the version of the AMR that will be presented to Council in the Spring of 2012.

#### *Socioeconomic and Gender Study*

12. The Secretariat has worked closely with a socioeconomic and gender expert on an analysis of GEF projects and how socioeconomic and gender aspects have been integrated at the project design stage. The study is available on the GEF website (<http://www.thegef.org/gef/RBM>) and will be used as a basis for developing one of the modules for a workshop for GEF staff on RBM related issues (see paragraph 16 below).

#### *GIS to Support M&E*

13. After extensive research on the tools available and other mapping sites at the World Bank, IMF, and other international organizations, the Secretariat will undertake the work in two phases. Phase I: Develop a web-based interactive map using the current data received through the AMR process, Phase II: Develop a more complex *mapping for results* platform that would be tailored more directly to each focal area's needs in this area. A contract is in place to undertake phase I and a beta map should be ready for Council to view at the November 2011 meeting

#### **Knowledge Management**

14. The KM strategy was submitted as an information document for the May 2011 Council. The Secretariat is currently implementing the work plan outlined in the strategy. As a first step,

the Secretariat is undertaking a needs assessment, the purpose of the study is to provide the GEF Network with information about the knowledge and learning needs of the GEF stakeholders and compare GEF KM practices with ones currently in use among comparable organizations. The study will allow the Secretariat to validate and better refine the topics on which the GEF KM strategy will focus as well as the type of knowledge products to be developed.

15. In addition, the Secretariat, as mentioned above, is moving forward with reforms to the AMR process and the establishment of a targeted learning process for each focal area to accomplish objective one of the KM strategy, “to learn methodically from projects and programs financed from its resources, as well as from its partners and clients.”

### **Internal Guidance on RBM and KM**

16. The last component of the work plan, *Internal Guidance on RBM and KM*, is in the process of development. A workshop will be held in early January 2012 on issues related to RBM and KM. Materials used and feedback from the workshop will be incorporated into a short manual for program managers as guidance for project review.