GLOBAL ENVIRONMENT FACILITY
INVESTING IN OUR PLANET

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PROGRESS REPORT ON THE IMPLEMENTATION OF THE RESULTS-BASED MANAGEMENT ACTION PLAN

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1.	In October 2014, the Council approved a RBM Action plan, which is contained in Council Document GEF/C.47/05, *Results-based Management: Action Plan*. The Council requested the "Secretariat to report on progress in the implementation of the Action Plan at the next Council Meeting in June 2015."

2.	The RBM Action Plan set out a way forward for the GEF to strengthen its RBM system in support of the objectives of the GEF 2020 strategy and the GEF-6 replenishment. GEF 2020 emphasizes the need for the GEF to improve its capacity to more efficiently "measure what matters" and to "close the feedback loop," the classic twin challenges of any effective results management system. The Action Plan set forth the following vision and purpose:

(a)	**Vision:** Key management decisions on the provision and use of GEF financing in the GEF partnership – particularly those involving the GEF Secretariat and Council – are fully and efficiently informed by the best available information on results.

(b)	**Purpose:** To review and where necessary to improve the RBM system at the GEF Secretariat, building on the RBM systems and practices in the GEF Agencies.

3.	Under the Action Plan, the Secretariat, in partnership with the Agencies and Conventions, committed to pursue five key actions:

(a)	Action 1: Review and, where necessary, upgrade all results frameworks at the GEF with a focus on alignment, efficiency, and relevance

(b)	Action 2: Strengthen corporate-level results reporting

(c)	Action 3: Review and upgrade GEF's IT platform to support the RBM system

(d)	Action 4: Review and, where necessary, strengthen management and working capacity for RBM in the GEF Secretariat

(e)	Action 5: Conduct an independent assessment of the improved RBM system

RBM ACTION PLAN IMPLEMENTATION PROGRESS AND DIRECTIONS

4.	The following sections update the Council on the progress that has been made on the five key actions and on other important issues.

Action 1: Review and where necessary upgrade all results frameworks at the GEF with a focus on alignment, efficiency, and relevance

5.	The RBM action plan called for the review and upgrading, if necessary, of the (1) GEF Corporate Results Framework (see annex 1), (2) focal area results frameworks, and (3) focal area tracking tools, with a particular emphasis on improving efficiency as well as ensuring their alignment with and relevance for programming directions during GEF-6.

6.	The Secretariat is exploring further improvements to the **Corporate Results Framework**, to make it more comprehensive in terms of measures of corporate efficiency and effectiveness and more relevant to *GEF 2020: Strategy for the GEF*, as well as to take into

account improvements in best-practice for such frameworks and global developments, such as the outcomes of the negotiations on the Sustainable Development Goals. The Secretariat will discuss improvements[1] to the Framework with STAP, the GEF Agencies, and the IEO, including the development of proposals for relevant and pragmatic indicators in the following areas:

(a) Performance elements and indicators that could enable the GEF to better measure its progress in meeting three important objectives under *GEF 2020: Strategy for the GEF*; namely: (a) the extent to which GEF projects and programs are **addressing the drivers of environmental degradation**, (b) the degree to which the GEF is adopting **effective integrated solutions** to global environmental problems, and (c) the GEF's effectiveness in **supporting innovation**.

(b) A limited number of additional indicators to measure the **GEF's institutional effectiveness and efficiency** in terms of budget efficiency, project cycle efficiency, and co-financing. (Several can be selected from among those already tracked as part of the Annual Monitoring Review (AMR) Part I).

(c) Indicators to measure **quality and satisfaction of GEF engagement of countries and stakeholders**, including the environmental conventions, country focal points, and the GEF Agencies.

7.   The Secretariat will consult with Council on any proposed future changes to the corporate results framework. A revised framework would serve as the basis for indicators to be included in the proposed Corporate Scorecard, which will be an important basis for portfolio and performance monitoring reports in the future, as described in paragraph 14 (a) below.

8.   The Secretariat does not believe there is reason to change the focal area results frameworks agreed during the GEF-6 replenishment. Alignment and relevancy were ensured through the GEF-6 replenishment negotiations. The replenishment process also achieved substantial simplification compared to the GEF-5 frameworks. The GEF IEO found that GEF-5 focal area frameworks sought to track progress according to a total of 616 elements.[2] A GEF Secretariat review of the GEF-6 focal area frameworks, using the same methodology as the IEO, determined that the number of comparative elements had fallen to 296 - a 52% reduction.

9.   Since October the Secretariat and GEF Agencies have collaborated to amend and update the GEF focal area tracking tools to ensure their robustness and alignment with the GEF-6 focal area strategies and to simplify them. Tracking tools are essential instruments that enable the GEF to capture data on each individual project[3] on project outcomes relevant to each focal area strategy so that it may be aggregated at the portfolio level, thereby enabling the tracking of consistent data over time. The data gained through tracking tools is vital for reporting to Council and for portfolio-level learning that informs subsequent refinement of GEF strategies.

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[1] Among other things, the GEF-6 Corporate Results Framework needs to be updated to incorporate the GEF-6 Core Gender Indicators included in the *Gender Equality Action Plan*, which the Council approved for implementation in October 2014. (See Council Document GEF/C.47/09.Rev.01, Gender Equality Action Plan.)

[2] See *the Fifth Overall Performance Study of the GEF, Sub-study on Results-based Management in the GEF*, page 26. The definition of "element" includes, among other things, the following goals/strategic goals, Impacts, targets, objectives, key expected outcomes, outcome indicators, targets for expected results, outputs, and output indicators.

[3] These three points are: CEO endorsement, mid-term evaluation, and project completion.

10.   Considerable progress has been made in finalizing the tracking tools. The Secretariat aims to have all GEF-6 focal area tracking tools posted on the GEF website by end-July 2015. In terms of simplification, the Secretariat has compared the draft, near-final GEF-6 tracking tools with those used in GEF-5 and anticipates a substantial reduction in the number of fields that need to be completed in the tracking tools. For instance, the number of fields to be completed in the tracking tools for climate change mitigation and climate change adaptation has decreased by 60% and 65%, respectively, compared to the GEF-5 tracking tools. The GEF Secretariat has also started development of a multi-focal area project tracking tool with the aim of substantially reducing the monitoring burden.

<u>Action 2</u>: Strengthen corporate level results reporting

11.   The RBM Action Plan calls for the GEF to "strengthen corporate level results reporting" by presenting "a clear periodic analysis of GEF's corporate effectiveness…..in scorecard format – building on and possibly evolving the Annual Monitoring Report."

12.   Since 2009, the GEF Secretariat has reported to Council on the findings from its monitoring of the GEF project portfolio under implementation through the AMR, which has covered both emerging results from the project portfolio and measures of institutional effectiveness and efficiency. Since 2011, the AMR has been presented in Part I for the Spring Council (which covers quantitative portfolio data monitoring) and Part II for the Autumn Council (which includes a more qualitative review of lessons learned from the cohort of projects that provided mid-term reviews (MTRs) and either project completion reports (PCRs) or terminal evaluations (TEs) in the last fiscal year).

13.   In the view of the Secretariat, there are a number of opportunities to substantially improve the AMR process. AMR I contains a large amount of information and tables concerning the overall GEF project portfolio, but much of it is presented for informational purposes and it is not sufficiently focused on or related to the Council's overarching needs of institutional oversight and strategic decision making. Further, AMR II is labor intensive for the Secretariat and Agencies, yet the one-year of project samples[4] is too small to yield, meaningful lessons either across the whole portfolio or within specific focal areas. In other words, it spreads itself too wide and too thin.

14.   The Secretariat is, therefore, planning a revised approach to corporate-level results reporting, as set out below, that (1) is more focused on the key indicators contained in the corporate results framework and (2) presents deeper, more focused technical analysis and lessons learned on key, pre-defined learning questions. There will be two main parts of this new approach:

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[4] By focusing only on those projects that have produced MTRs or PCRs/TEs in the past year, one gets only a thin time-slice of results that is disconnected from a larger, historical picture of the GEF's accomplishments historically.

(a)   Starting in spring 2016, the Secretariat will present a monitoring scorecard – to be called the "**GEF Corporate Scorecard"** – which will be presented **at the spring Council Meeting** instead of AMR I. This scorecard will report data and information the Council needs for institutional oversight and decisions on strategic direction. It will contain the indicators included in the corporate results framework and other key indicators, such as selective focal area indicators. The GEF will strengthen its IT platform so that this scorecard can be generated automatically, incorporating the latest information available.

(b)   Starting in fall 2016, instead of AMR II, the Secretariat will present the Council with a deeper and more substantive quantitative and qualitative report – "**the Annual Results Monitoring Report**" (the ARMR), which will also incorporate the Corporate Scorecard, updated with the latest available information.

(c)   The ARMR will include in depth analytical sections on: (i) GEF Contributions to Global Environmental Benefits (ii) GEF Effectiveness and Efficiency, and (iii) Thematic and Cross-cutting Analysis. A key aim of the ARMR will be to share lessons learned based on select portfolio analyses according to key portfolio learning questions. Project sample sizes will be larger than the current practice of looking only at the sample of projects that reached mid-term or concluded during the most recent fiscal year.

15.   Under this new approach to corporate reporting, the GEF Secretariat will avoid duplicating the work of the Independent Evaluation Office (IEO). As such, the ARMR would not be an evaluative document. The Secretariat does, however, envision taking advantage of the work of the IEO and reflect, in the Scorecard and ARMR, relevant findings and data produced by the Office, particularly from the Annual Performance Review. For instance, the GEF Secretariat will already need to rely on IEO analysis for the data needed for indicator 2.1 in the Corporate Results Framework. Similarly, the GEF Secretariat could rely on other reported IEO and STAP findings, as appropriate and relevant, when it is reporting on or summarizing key GEF results.

Action 3: Review and upgrade GEF's IT platform to support the RBM system

16.   The RBM action plan calls for an improved IT capability to support RBM. As set out in the Business Plan also submitted to this paper, efforts are being made to develop a substantially enhanced IT platform to support the GEF.

17.   In 2015 GEF Secretariat undertook a strategic stock-take of its IT needs, including needs for RBM. This is being followed up by intensive engagement with the World Bank's Information Services Technology Department (the GEF's service supplier for IT) to comprehensively update the GEF's IT infrastructure. Of particular relevance to the RBM agenda, this will involve a number of key elements to be introduced: a new Project Management Information System (PMIS), a data analysis platform that serves GEF's RBM and KM needs, and improved information management and document storage tools. As mentioned above, a key short-term objective will be to build a system that enables the automatic (e.g. "press-of-a-button") downloading of real-time data to populate the GEF Corporate Scorecard, and any related "management scorecards" for GEF Secretariat management. Another short-term objective will

be to complete work to enable the automatic uploading of data from GEF tracking tools into a data base that allows for analysis of such data.

Action 4: Review and where necessary strengthen management and working capacity for RBM in the GEF Secretariat

18.   As part of its recent reorganization, the Secretariat has created a new team on Results Based Management in its Policy, Partnerships and Operations Division, and is strengthening its staff capacity in this area. The GEF will also seek to strengthen its RBM network by discussing RBM issues at the GEF Secretariat-Agency retreat to be held on Friday, June 5th. In addition, the Secretariat is also reaching out to the multilateral development banks in its network to explore whether it would be possible and fruitful to join the "Managing for Development Results" (MfDR) network among the MDBs.

19.   The Secretariat has also started an analysis of key decision points involving different actors within the GEF network (e.g. the Council, the Secretariat, Agencies, country focal points), particularly during the project cycle, to assess the extent to which decision makers are able to base their decisions on reliable results-based evidence. The goal will be to assess the degree to which they have reliable results-based information and then recommend changes to improve the availability or accuracy of such information. The availability of such information is key to any RBM system. The Secretariat is aiming to report preliminarily on this analysis in its next progress report.

Action 5: An independent assessment of the improved RBM system

20.   The GEF Secretariat and IEO will begin planning for evaluation after June Council meeting so it may be conducted in 2016.

ANNEX I – CORPORATE RESULTS FRAMEWORK

Table 1 - Generate Global Environment Benefits

Results	Targets
1. Maintain globally significant biodiversity and the ecosystem goods and services that it provides to society	• Improved management of landscapes and seascapes covering 300 million hectares
2. Sustainable land management in production systems (agriculture, rangelands, and forest landscapes)	• 120 million hectares under sustainable land management.
3. Promotion of collective management of transboundary water systems and implementation of the full range of policy, legal, and institutional reforms and investments contributing to sustainable use and maintenance of ecosystem services	• Water-Food-Energy-Ecosystems security and conjunctive management of surface and groundwater in at least 10 freshwater basins; • 20% of globally over-exploited fisheries (by volume) moved to more sustainable levels
4. Support to transformational shifts towards a low-emission and resilient development path	• 750 million tons of CO_2 equivalent mitigated
5. Increase in Phase-out, disposal and reduction of releases of POPs, ODS, mercury and other chemicals of global concern.	• Disposal of 80,000 tons of POPs (PCB, obsolete pesticides) • Reduction of 1000 tons of Mercury • Phase-out of 303.44 tons of ODP (HCFC)
6. Enhance capacity of countries to implement MEAs (multilateral environmental agreements) and mainstream (MEAs) into national and sub-national policy, planning financial and legal frameworks.	• Development and sectoral planning frameworks integrate measurable targets drawn from the MEAs in at least 10 countries • Functional environmental information systems are established to support decision-making in at least 10 countries

1.   A framework to track GEF process effectiveness and efficiency was also agreed and is shown in Table 2 below. Some indicators will be reported against in the Annual Monitoring Review, while others will be reported against at mid-term and at the conclusion of the replenishment period.

Table 2: GEF-6 Process Framework

Improve Effectiveness and Efficiency

Indicators	GEF-5 Performance	GEF-6 Performance
1. Project Cycle Performance		
1.1. Percentage of projects meeting the project cycle standard of 18 months between PIF approval by Council and CEO endorsement.	33 percent as of January 2014	Monitored
1.2. Average time for projects to be processed between PIF approval by Council and CEO endorsement.	16 months as of January 2014	Monitored
1.3. Average time for full-sized projects from CEO endorsement to first disbursement.	Not available (to be presented in AMR, Part II, FY13)	Monitored
2. Results Driven Implementation		
2.1. Percentage of projects that have received moderately satisfactory or higher ratings on progress towards development objectives.	89%	Monitored

Enhance Gender Equality, and Stakeholder Involvement

Indicators	GEF-5 Performance	GEF-6 Performance
1. Gender Equality and Women's Empowerment		
1.1. Percentage of projects that incorporated gender equality and women empowerment issues.		
• Project document (quality at entry)	57 %	Monitored
• Project monitoring and evaluation reports	41%	Monitored
2. Stakeholder Engagement		
2.1. Percentage of projects that involves civil society organizations/indigenous peoples as key partners.	CSOs: 59% (of cumulative projects as presented in AMR, Part II, FY13)	Monitored
2.2 Share of Private Sector co-financing	20.3%	Monitored

Improve GEF Outreach

Indicators	GEF-5 Performance	GEF-6 Performance
1. GEF stories/mentions in media	4664	Monitored
2. Users of GEF electronic media	1,913,221	Monitored
3. Country Support Program elements	Statistics of program	Monitored

Improve Diversity in Secretariat Staffing

Indicators	GEF-5 Performance	GEF-6 Performance
Diversity Index as computed by the World Bank[5]	0.87	Monitored

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[5] 0.4*share of staff from Sub-Saharan Africa+0.2*share of professional women staff+0.2*share of part II managers+0.2*share of women managers – all shares normalized against target.