The GEF M&E Policy

GLOBAL ENVIRONMENT FACILITY
EVALUATION OFFICE

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Overview

❑ **Background**

❑ **M&E in the GEF**

❑ **Key Roles and Responsibiliti**es

❑ **M&E Principles and Criteria**

❑ **M&E Minimum Requirements**

Background

❑ *NEW* GEF Monitoring and Evaluation Policy was approved by Council in November 2010

  ▪ Based on previous GEF M&E Policy (2006)

❑ Policy sets norms and standards for M&E

❑ Contains minimum requirements for M&E of GEF activities and roles and responsibilities for GEF stakeholders

❑ The Policy will be operationalized through guidelines on specific issues

❑ To be published in a few weeks

Revision Process

❑ Revision of GEF M&E Policy for GEF-5 :

- Update of "Monitoring" led by the GEF Secretariat
- Update of "Evaluation" led by the GEF Evaluation Office

❑ Wide consultation and interaction with stakeholders through e-survey, interviews, and interagency meetings

❑ Interaction with focal points was also pursued through ad hoc questionnaires and discussions during sub-regional workshops

What's New? Highlights

❑ Reference to GEF Results-based Management **(RBM)**

❑ Clarification of roles and responsibilities

❑ Stronger role for GEF Operational **Focal Points** in M&E

❑ Strengthened **knowledge sharing** and learning

❑ Inclusion of programs and jointly implemented projects

❑ **Baseline data for M&E** to be established by CEO endorsement

❑ **New Minimum Requirement** on engagement of GEF Operational Focal Points in project and program M&E activities

M&E and RBM

❑ Monitoring is one of the main instruments of Results Based Management

❑ Evaluation is a "reality check" on monitoring and RBM

❑ Monitoring & RBM tell whether the organization is "on track"

❑ Evaluation could tell whether the organization is "on the **right** track"
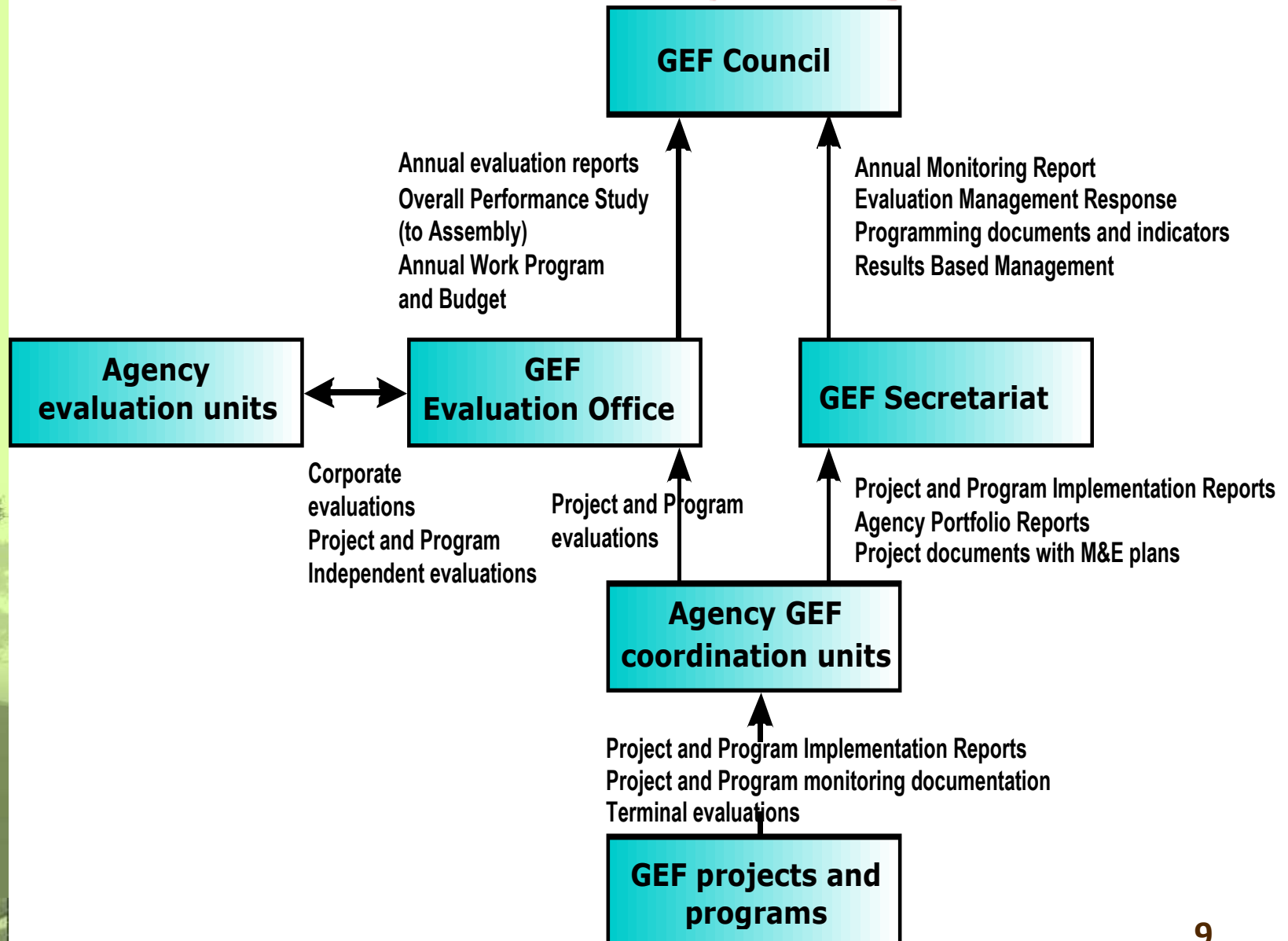
M&E in the GEF

M&E in the GEF

2 overarching objectives:

❑ Promote **accountability** for the achievement of GEF objectives through the assessment of results, effectiveness, processes, and performance of the partners involved in GEF activities.

❑ Promote **learning**, **feedback**, and **knowledge sharing** on results and lessons learned among the GEF and its partners as a basis for decision making on policies, strategies, program management, programs, and projects; and to improve **knowledge** and **performance.**

Flowchart of M&E Reporting in the GEF

GEF Council

Annual evaluation reports
Overall Performance Study
(to Assembly)
Annual Work Program
and Budget

Annual Monitoring Report
Evaluation Management Response
Programming documents and indicators
Results Based Management

Agency evaluation units ⟷ **GEF Evaluation Office**

GEF Secretariat

Corporate
evaluations
Project and Program
Independent evaluations

Project and Program
evaluations

Project and Program Implementation Reports
Agency Portfolio Reports
Project documents with M&E plans

Agency GEF coordination units

Project and Program Implementation Reports
Project and Program monitoring documentation
Terminal evaluations

GEF projects and programs

Types of Evaluations

Project Evaluations	**Program Evaluations**	**Country Level Evaluations**
Impact Evaluations	**Cross-cutting and thematic evaluations**	**Process and performance evaluations**
Ad-hoc Reviews	**Overall Performance Studies (OPS)**	

Different TORs, scopes, frequency, audiences , methodologies, lead

Monitoring Levels

Project Level	Program Level	Portfolio Level
National	Global	

Different TORs, scopes, frequency, audiences , methodologies, lead

Follow up to Evaluations

❑ A management response is required for all evaluations and performance reports presented to the GEF Council by the GEF EO. It is coordinated by GEF CEO with inputs from other GEF stakeholders.

❑ GEF Council takes into account both the evaluation and the management response when taken a decision.

❑ GEF EO reports on implementation of decisions annually (Management Action Record)
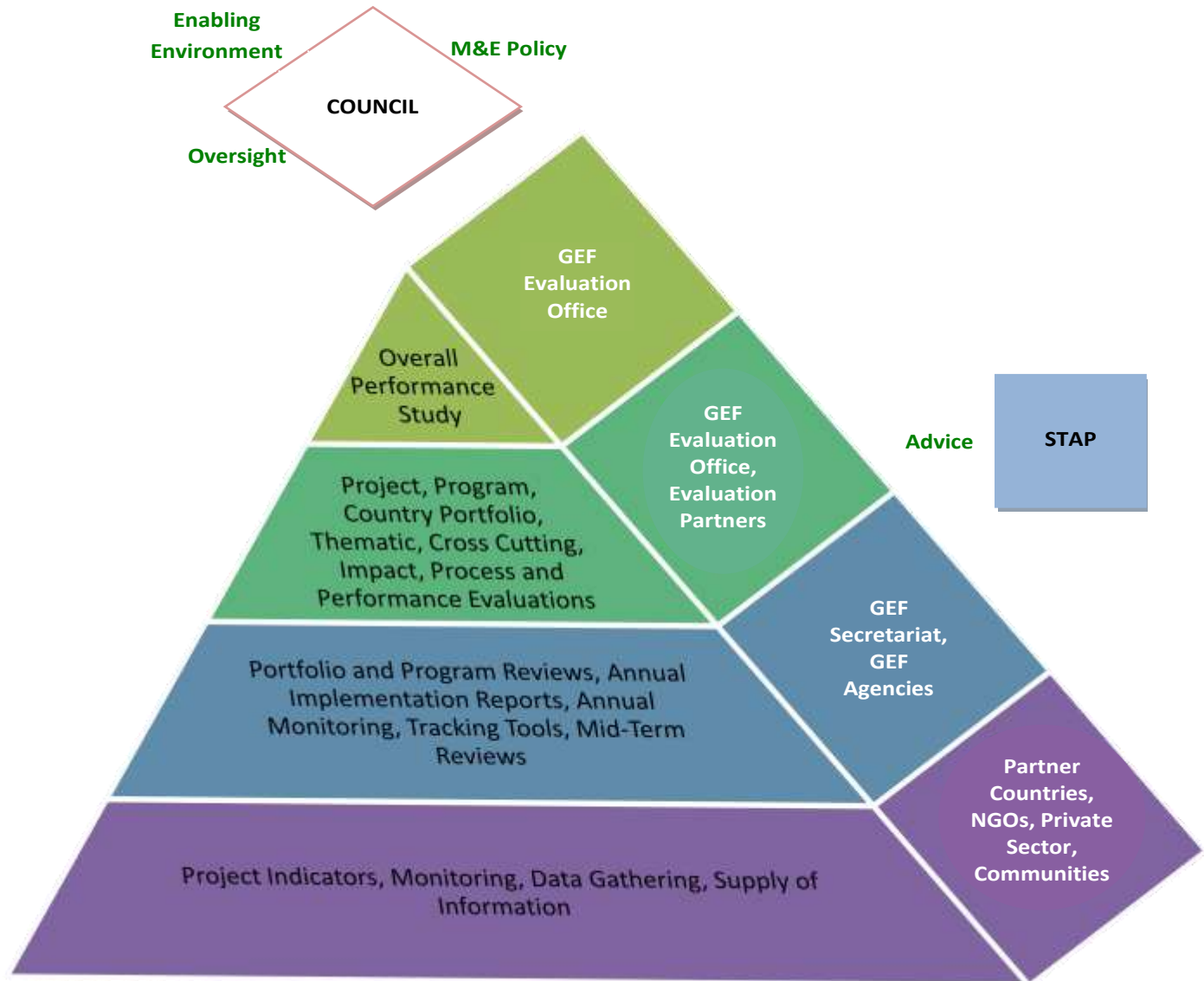
Knowledge Sharing

M&E contributes to knowledge building and organizational improvement.

- Findings and lessons should be accessible to target audiences in a user-friendly way.
- Evaluation reports should be subject to a dynamic dissemination strategy.

❑ Knowledge sharing enables partners to capitalize on lessons learned from experiences.

❑ Purpose of KM in the GEF:

- Promotion of a culture of learning
- Application of lessons learned
- Feedback to new activities

Key Roles and Responsibilities

M&E Levels and Responsible Agencies

Enabling Environment

M&E Policy

COUNCIL

Oversight

Advice

STAP

GEF Evaluation Office

Overall Performance Study

GEF Evaluation Office, Evaluation Partners

Project, Program, Country Portfolio, Thematic, Cross Cutting, Impact, Process and Performance Evaluations

GEF Secretariat, GEF Agencies

Portfolio and Program Reviews, Annual Implementation Reports, Annual Monitoring, Tracking Tools, Mid-Term Reviews

Partner Countries, NGOs, Private Sector, Communities

Project Indicators, Monitoring, Data Gathering, Supply of Information

Partner	Key Roles and Responsibilities
GEF Council	Policy making on M&E/ Oversight of M&E functions / Enabling environment for M&E
GEF Evaluation Office	Independent GEF evaluation / Oversight of project and program evaluations Oversight of the relevance, performance, and overall quality of monitoring systems Setting of minimum requirements for GEF M&E/ Evaluative knowledge sharing and dissemination
GEF Secretariat	Establishing results frameworks at the focal area and corporate levels GEF portfolio monitoring across Agencies and focal areas Reporting on and incorporating lessons from portfolio monitoring Review of GEF M&E requirements in project and program proposals Coordination of partnership knowledge management activities
GEF Agency operational units	Monitoring of the Agency GEF portfolio Reporting on Agency project, program, and portfolio progress, results, learning, and lessons/ Ensuring monitoring at the project and program level / Adaptive management of project and program implementation/ Systematic involvement of national partners and sharing of project M&E information at the national level
GEF Agency evaluation units	Project and program and/or corporate Agency independent evaluations Mainstreaming of the GEF into relevant Agency evaluations
STAP	Advise on scientific/technical matters in M&E Support to scientific and technical indicators Support knowledge management and information sharing
GEF operational focal points	Collaboration on M&E at the portfolio, project, and program levels
Other stakeholders (ie, NGOs, CSOs, academia)	Participation in monitoring activities and mechanisms Provision of views and perceptions to evaluations

Strengthened Role of Focal Points

❑ Agencies to encourage focal points to be involved in M&E activities

- Fully informed and share documentation
- Encourage focal points to participate in M&E activities
- Provide access to necessary information

❑ New Minimum Requirement No. 4: Engagement of Operational Focal Points

- M&E plans will include how project or program will keep GEF Focal Point informed and involved
- Agencies will inform focal points of project M&E activities during implementation
- Agencies will inform and involve focal points in mid-term reviews and terminal evaluations

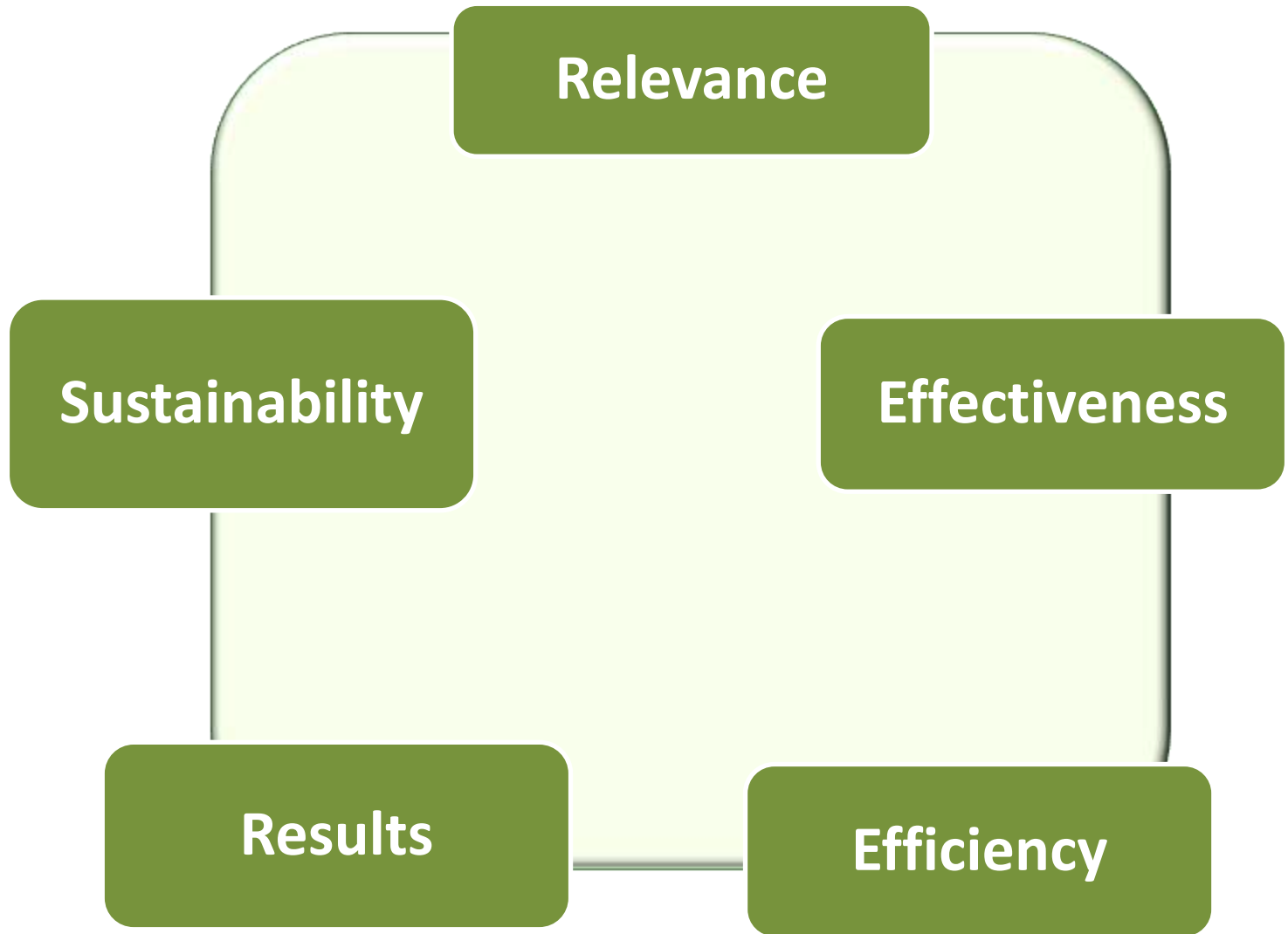❑ GEF Sec and GEF EO can provide support for M&E activities through GEF Country Support Program

M&E Principles and Criteria

❑ The Policy is based on the highest international norms and standards in evaluation: OECD/DAC, American Evaluation Association, UNEG, international benchmarks

❑ No standard and norms for monitoring

❑ Planning for M&E must be an explicit part of planning and budgeting at the project level and for the organization as a whole
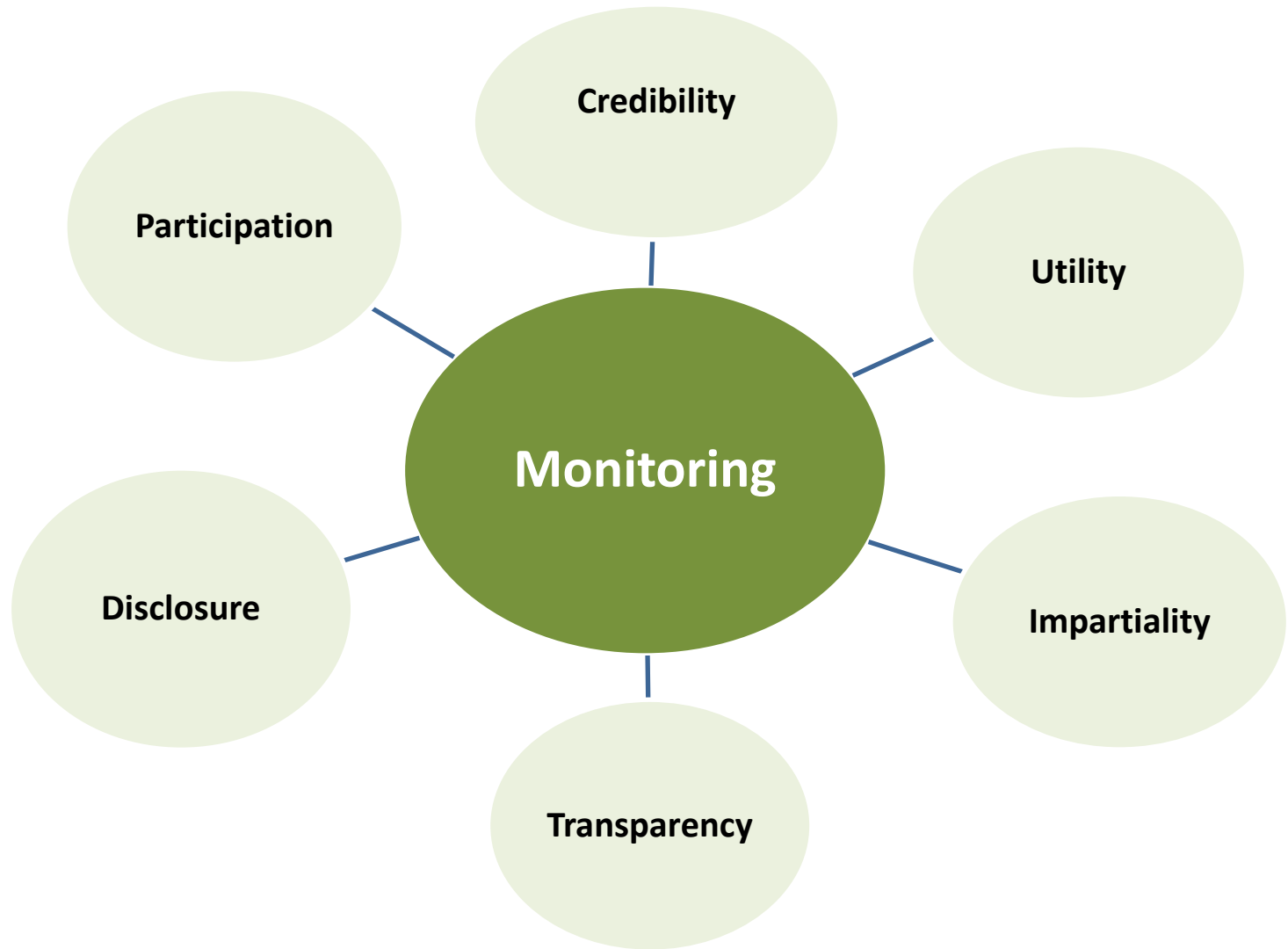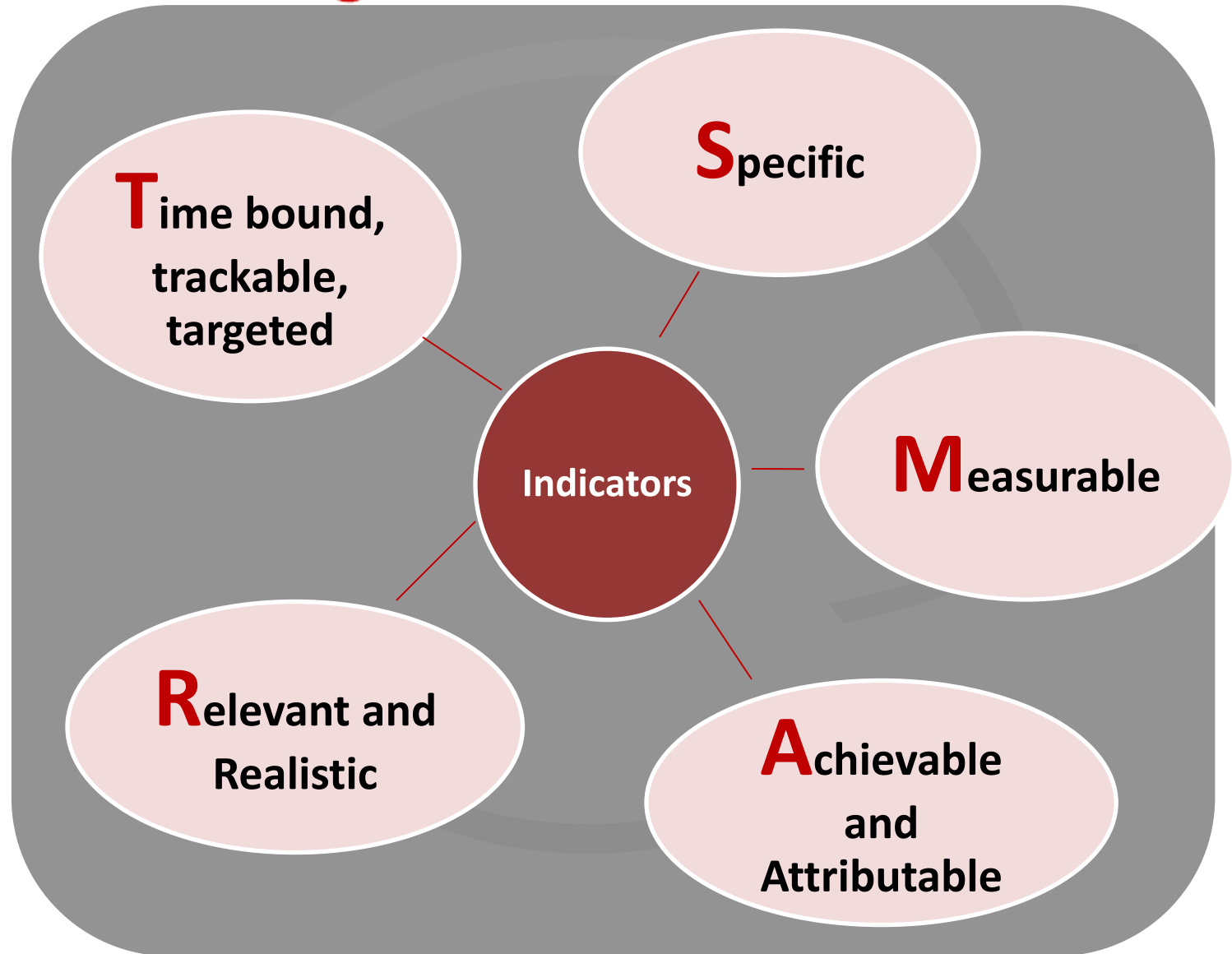
Evaluation Principles

Evaluation Criteria

Relevance

Sustainability

Effectiveness

Results

Efficiency

Monitoring Principles

Credibility

Participation

Utility

Monitoring

Disclosure

Impartiality

Transparency

Monitoring Criteria: SMART indicators

- **S**pecific
- **T**ime bound, trackable, targeted
- **M**easurable
- **A**chievable and Attributable
- **R**elevant and Realistic
- Indicators

M&E Minimum Requirements

M&E Minimum Requirement 1

Design of M&E Plans

- Concrete and fully budgeted M&E plan by CEO endorsement for FSP and CEO approval for MSP

- SMART indicators

- Projects should align with GEF focal area results frameworks

- Baseline data for M&E by CEO endorsement

- Mid Term Reviews (where required or foreseen) and Terminal Evaluations included in plan

- Organizational set up and budget for M&E

M&E: Minimum Requirements 2

Application of M&E Plans:

- project/program monitoring and supervision will include implementation of the M&E plan:
  - SMART indicators for implementation
  - SMART indicators for results
  - Baseline for the project fully established and data compiled to review progress
  - Organizational set up for M&E is operational and its budget is spent as planned.

M&E: Minimum Requirements 3

Project/Program Evaluations:

- all full sized projects and programs will be evaluated at the end of implementation.

- Evaluations should:
  - Be independent of project management or revised by GEF Agency evaluation unit
  - Apply norms and standards from the GEF Agency
  - Assess, as a minimum, outputs and outcomes, likelihood of sustainability, compliance with M&E minimum requirements 1 & 2
  - Contain: data on the evaluation itself (including TORs); basic project data, lessons
  - Should be sent to GEF EO within 12 months of completion of project/program

Guidelines for evaluating MSPs/EAs will be developed

New Minimum Requirement 4

Engagement of Operational Focal Points

- M&E plans should include how OFPs will be engaged
- OFPs to be informed on M&E activities, including MTRs and TEs, receiving drafts for comments and final reports,
- OFPs invited to contribute to the management response (where applicable)
- GEF Agencies keep track of the application of this requirement in their GEF financed projects and programs

Thank you

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