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GLOBAL ENVIRONMENT FACILITY

Formative Review of the Integrated Approach Pilot Programs

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FULL REPORT

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Independent Evaluation Office

Formative Review of the Integrated Approach Pilot Programs

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Cover (clockwise from top left): Gathering corn, Kenya, © Curt Carnemark/World Bank; palm oil production, © hodag/Flickr; sustainable cities—Shenzhen, China, © Edward Li/Flickr

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Foreword

In 2014, the Global Environment Facility (GEF) introduced three integrated approach pilot (IAP) programs to deploy integrated programming as a means of achieving systemic change at scale. Covering sustainability and resilience for food security in Sub-Saharan Africa, sustainable cities, and taking deforestation out of commodity supply chains, the IAPs aim at addressing the major drivers of global environmental degradation in a holistic way.

The Independent Evaluation Office has taken a systematic look at the three IAPs. Since the projects under the three programs have only recently been approved, this formative evaluation brings lessons on the relevance, design, and launch process of the three pilots. Based on evidence from a wide array of sources analyzed with a mixed-methods approach, the evaluation highlights key good practices and areas for improvement to inform future GEF programs. The analysis reflects on some of the common issues affecting the early design and planning of the three pilot programs, while recognizing the distinguishing characteristics of each.

Three approach papers were developed and approved in January 2017. In-office literature and desk reviews, portfolio and project cycle analyses, as well as interviews and two online surveys, were conducted from January to July 2017. The evaluation was presented to the GEF Council at its November 2017 meeting. The Council took note of the conclusions of the evaluation and endorsed the recommendations.

Juha I. Uitto
Director, GEF Independent Evaluation Office

Acknowledgments

This evaluation of the Global Environment Facility (GEF) integrated approach pilot (IAP) programs by the Independent Evaluation Office (IEO) was co-led by Dennis Peter Bours, IEO Evaluation Officer (Sustainable Cities component), Carlo Carugi, Senior Evaluation Officer (Food Security IAP component), and Baljit Wadhwa, IEO Senior Evaluation Officer (Commodities IAP component). Core evaluation team members were Anthony G. Bigio and Noel G. Keough (Sustainable Cities component), Sujata Lamba (Commodities component), and Detlev Puetz (Food Security IAP component), all consultants to the IEO. Peixuan Zhou, IEO Evaluation Analyst, served as research assistant. Portfolio and desk analysis was also supported by Matthew McFall, consultant to the IEO.

The evaluation benefited from guidance and oversight provided by Juha Uitto, IEO Director. Quality control was provided by Geeta Batra, IEO Chief Evaluation Officer. Administrative support was provided by Evelyn Chihuguyu, Program Assistant, and Marie-Constance Manuella Koukoui, Senior Executive Assistant. Charles Hagner edited the report, and Nita Congress designed and laid out the publication.

The GEF Secretariat, the GEF Scientific and Technical Advisory Panel, the secretariats of the global environmental conventions, and all the GEF Agencies involved in the design and implementation of the IAPs provided information, data, and insights during interviews and meetings.

Country stakeholders responded to two online surveys, and provided additional information and insights in open-ended form. The IEO is grateful to all these individuals and institutions for their contributions. Final responsibility for this report remains firmly with the Office.

Abbreviations

AGRA	Alliance for a Green Revolution in Africa
AML	adaptive management and learning
CBD	Convention for Biological Diversity
CEO	Chief Executive Officer
CGIAR	Consultative Group for International Agriculture Research
CI	Conservation International
CO_2e	carbon dioxide equivalent
CSO	civil society organization
FAO	Food and Agriculture Organization of the United Nations
GEB	global environmental benefit
GEF	Global Environment Facility
GHG	greenhouse gas
GPSC	Global Platform for Sustainable Cities
IAP	integrated approach pilot
ICRAF	World Agroforestry Center
IDB	Inter-American Development Bank
IEO	Independent Evaluation Office
IFAD	International Fund for Agricultural Development
IFC	International Finance Corporation
M&E	monitoring and evaluation
MDB	multilateral development bank
PFD	program framework document
RAPTA	Resilience, Adaptation Pathways, and Transformation Assessment
REDD+	reducing emissions from deforestation and forest degradation, as well as conservation, sustainable management of forests, and enhancement of forest carbon stocks
SDG	Sustainable Development Goal
STAP	Scientific and Technical Advisory Panel
STAR	System for Transparent Allocation of Resources
UN	United Nations
UNCCD	United Nations Convention to Combat Desertification
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention for Climate Change
UNIDO	United Nations Industrial Development Organization
WWF	World Wildlife Fund

The GEF replenishment periods are as follows: pilot phase: 1991–94; GEF-1 1995–98; GEF-2: 1999–2002; GEF-3: 2003–06; GEF-4: 2006–10; GEF-5: 2010–14; GEF-6: 2014–18; GEF-7: 2018–22.

All dollar amounts are U.S. dollars unless otherwise indicated.

Executive summary

This evaluation is a formative review of the three integrated approach pilots (IAPs) introduced in GEF-6. They were designed to implement integrated programming as a means of achieving systemic change at scale by addressing the major drivers of global environmental degradation in a holistic way. The three IAPs follow:

- **Sustainable Cities IAP (GEF ID 9077).** The Cities IAP recognizes challenges to rapid urbanization in developing countries, and the opportunity this presents. The program will initially engage 23 cities, and later 28 cities, in 11 countries to promote the integration of environmental sustainability in urban planning and management initiatives.
- **Fostering Sustainability and Resilience for Food Security in Sub-Saharan Africa - An Integrated Approach (GEF ID 9070).** The Food Security IAP seeks to support countries in target geographies to integrate priorities to safeguard and maintain ecosystem services into investments improving smallholder agriculture and food value chains. The program targets 10 million ha of production landscapes with 2–3 million beneficiary households in drylands ecosystems of 12 Sub-Saharan African countries.
- **Taking Deforestation Out of Commodity Supply Chains (GEF ID 9072).** The Commodities IAP has been designed through a supply-chain lens for each of the three commodities responsible for 70 percent of tropical deforestation globally—soy, palm oil, and beef. It aims to support activities in four producing countries (Brazil, Indonesia, Liberia, and Paraguay) and in demand markets (including local consumption and emerging economies).

The three IAPs were designed to build on existing linkages and connections across focal areas. While developed separately and with their own distinguishing characteristics, they share the common objective of addressing global environmental issues holistically. The IAPs aim to support activities in recipient countries that can help them generate global environmental benefits (GEBs) that correspond to more than one convention or GEF focal area, by addressing the underlying drivers of environmental degradation. Several GEF and non-GEF agencies and countries are included, with interventions to be integrated across focal areas. The financial resources allocated to the three IAP Programs from the GEF Trust Fund total $284 million.

Since the child projects have been approved only recently, this report provides lessons from the formative review of the three pilots and highlights key good practices and areas for improvement that have emerged from the analysis of this pilot experience to date to inform future GEF programs. The review applied a mixed-methods approach based on documentation review, interviews, and online surveys, coupled with an in-depth portfolio and project cycle analysis.

Following are the key findings of this formative review:

Relevance

- **In-country stakeholders broadly agree on the potential for the IAP Programs to address multiple conventions through an integrated programming approach; this view was not shared by all convention secretariats.** Ninety-three percent of respondents agreed that the IAP Programs help to address the conventions across multiple scales. Interviewees at the United Nations Framework Convention for Climate Change and Convention for Biological Diversity secretariats were somewhat more critical. In contrast, interviewees at the United Nations Convention on Biological Diversity secretariat fully supported the GEF integrated approach to multiple focal areas.

- **Positive examples of alignment with country priorities through adequate entry points are observed, although this strategy risks sidelining some focal areas.** The Commodities IAP child projects align with specific government priorities. The Food Security IAP shows synergies across biodiversity, climate change, and land degradation, with financial allocations clearly favoring the latter as an entry point. Interviews indicated that the biodiversity and climate change focal areas were included as more of an afterthought in project design. The major drivers of the Cities IAP connect local urban sustainability priorities to climate change mitigation, biodiversity, and chemicals. The initial ambition was for a greater synergy, which was not pursued later in design. Taking deforestation out of commodity supply chains is addressed through interventions in the focal areas of biodiversity and climate change, as well as support for sustainable forest management.

Design

- **The IAP Programs and their component child projects are broadly coherent in terms of their structure and objectives in their respective theory of change, with some exceptions.** The IAPs' program and project objectives and monitoring and evaluation (M&E) systems are aligned with each other. Alignment between program/project results frameworks and tracking tools in terms of outcomes and indicators, however, does not show an even picture across the three IAP Programs. Only two projects in the Cities IAP show alignment between program/project results frameworks and tracking tools. In the Commodities IAP, three of five child projects align. In the Food Security IAP, 5 of 12 align.

IAPs demonstrate interesting innovative features as compared with previous programs by including emphasis on knowledge exchange through dedicated platforms for collaborative learning, but considerable efforts will need to be made to realize their potential. The main innovation for the three IAP Programs is the development of "hub projects" that function as capacity-building, coordination, and knowledge-support platforms or networks toward the other child projects. This is a clear improvement over past programs. The success of the IAPs largely depends on the effective functioning of the hub projects.

- **Broader adoption has been emphasized in the design of the IAP Programs.** Child projects' documentation demonstrates that all child projects have a plan for sustaining project interventions beyond the project's time frame. Almost all child project documentation provides evidence of specific measures for planned broader adoption of outcomes by stakeholders, such as replication at a comparable

administrative or ecological scale, scaling up interventions into larger geographical areas, and measures to help catalyze market transformation.

- **IAPs show well-designed M&E strategies, with some exceptions.** M&E, historically a weak area in GEF programs in terms of its capacity to demonstrate program additionality, has been carefully considered in the design of the three IAPs. All child projects have an M&E strategy and show coherence between program and child project M&E frameworks. The GEF-6 Programming Directions document indicates that a limited set of outcome indicators will be developed to track achievements. These were expected to replace the traditional tracking tools. A multifocal tracking tool was developed by the Food Security IAP, which is yet to be operationalized.

There are inconsistencies in the role, expression, and measurement of GEB targets, which will adversely affect program-level M&E. All three IAPs provide targets toward GEBs, but the data is scattered throughout program and project documents, and it is not clear whether these are meant as aspirational goals or as hard targets. Program framework documents (PFDs) lack targets altogether (Commodities IAP) or underestimate (Cities IAP) or overestimate (Food Security IAP) GEB targets, compared with targets reported in child projects' requests for Chief Executive Officer (CEO) endorsements. Variations exist in child projects' calculations of direct and indirect carbon dioxide equivalent mitigated; different periods of influence and poorly substantiated indirect top-down causality factors are being used.

Process

- **It took 26 months to bring all child projects to the stage of CEO endorsement from PFD Council approval, and much of the work in the design of the programs is front-loaded and taking place in advance of Council approval of the PFDs.** On average, it took child projects 14–15 months to reach commitment deadlines and 21 months to reach CEO endorsement.

- **Approaches for country selection varied across the three IAPs.** For the Commodities and Food Security IAPs, the selection of countries was based on sound criteria, but communication during the selection process was poor. In the Cities IAP, the country selection process occurred via informal consultations between the Secretariat, multilateral development banks, United Nations agencies, and national governments at design. Participants agree that the Secretariat led critical decisions on which countries/cities to include in the programs.

- **There has been some competition for the lead Agency position, and the role of the consultations in the lead Agency selection process was not always clear.** This was the case both for the Cities and Food Security IAPs, but the agencies selected do have the comparative advantages needed for the lead role.

- **The three IAPs draw on the comparative strengths of several agencies and other experienced think tanks.** The three IAPs are characterized by a large number of GEF Agencies and executing partners. All of them are generally individually well qualified, but their number increases the multitude of institutional preferences and requires greater planning and coordination.

- **Set-aside funds provided incentives for countries to commit System for Transparent Allocation of Resources money to the program, but most of the financial resources to the IAP Programs were already committed.** GEF grants are complementary to other financial resources, most of which were already allocated to their intended purposes of food security improvements, integrated natural resource management, or urban infrastructure provision. This indicates that a good part of the IAP interventions would have taken place even without the GEF, but efforts are now more integrated, with a strong emphasis on adaptive management, learning, and knowledge exchange.

Crosscutting issues

- **Overall, gender has been considered in most child projects, and more than half have a gender mainstreaming strategy or plan in place.** The three IAPs score well on gender in terms of gender analysis at design, gender strategy, and gender indicators.
- **Resilience considerations—in terms of risk management, as a cobenefit, or integrated into a multiple benefits framework—are embedded in the IAP Programs.** The only exception is the Food Security IAP, which aimed to pilot the resilience adaptation and transformation assessment tool but has not succeeded in integrating the tool—or any other resilience assessment tool—across all projects.

The above findings led to the following four conclusions:

- **Conclusion 1:** Integrated programming to tackle the main drivers of environmental degradation through the IAPs enables addressing the objectives of multiple conventions while allowing participating countries to address national environmental priorities.
- **Conclusion 2:** The IAPs have pursued an innovative and flexible design to address the drivers of environmental degradation but show a wide variety of indicators and tracking tools, hindering aggregation within each IAP and for the three IAPs altogether.
- **Conclusion 3:** The IAPs draw on comparative advantages of a variety of GEF Agencies and specialized think tanks, but the involvement of several agencies and institutions in each IAP has added to the programs' organizational complexity.
- **Conclusion 4:** While in general a positive picture emerges from this review of the IAPs' design and launch process, both were affected by insufficient clarity in terms of rules of engagement between agencies, transparency of selection processes, clarity on the role of the Secretariat, and insufficient communications between some participating GEF Agencies and countries on technical design.

The following three recommendations have been derived based on the conclusions:

- **Recommendation 1:** Assess the value addition of the knowledge platforms in a midterm review to ensure they generate the necessary traction and provide overall support to program implementation.
- **Recommendation 2:** Standardize the indicators, tracking tools, and metrics across the IAPs to demonstrate program additionality through M&E.
- **Recommendation 3:** Assess the role of GEB targets, clarifying whether and when they are meant as aspirational goals or as hard targets and how aspirational GEB goals will be measured at the program level.

1: Introduction

The Global Environment Facility (GEF) is a financial mechanism that provides grants to developing countries and countries with economies in transition for projects that address global environmental concerns related to biodiversity, climate change, international waters, land degradation, and chemicals and waste. The GEF governance structure includes an Assembly, a Council, a Secretariat, a Scientific and Technical Advisory Panel (STAP), and an Independent Evaluation Office (IEO) (GEF 2015a).

As part of its work program for GEF-6, and feeding into the sixth comprehensive evaluation of the GEF, the IEO was tasked (GEF IEO 2016) with reviewing the GEF integrated approach pilot (IAP) programs, which are being implemented in GEF-6 and were developed building on the GEF partnership's experience in designing and implementing programmatic approaches (GEF 2014c). The following three separate pilots are part of the IAP Program:

- Sustainable Cities IAP (GEF ID 9077, GEF 2015d)
- Fostering Sustainability and Resilience for Food Security in Sub-Saharan Africa - An Integrated Approach (GEF ID 9070, GEF 2015c)
- Taking Deforestation Out of Commodity Supply Chains (GEF ID 9072, GEF 2015b)

Project overviews for the three IAP Programs can be found in the tables in annex A, and their respective results frameworks are presented in annex B. Tables in annex C provide an overview of global environmental benefit (GEB) targets by IAP Program.

This report summarizes the main findings, evidence, and learning from a formative review of the three IAPs. These three pilots were built on existing linkages and connections across focal areas and were designed with the objective of addressing global environmental issues more holistically, within a complex set of development challenges:

> This integrated approach would be crosscutting, synergistic, and cost-effective, and directed at some of the underlying drivers of environmental degradation globally and within priority regions. The integrated approach pilots would complement GEF focal areas strategies in the up-coming GEF-6 portfolio, and seek to further encourage early adoption and scaling up of projects and programs that overcome focal area silos and build on the necessary linkages that help achieve sustainable development goals. This systemic, sectoral and crosscutting framework will also include renewed emphasis on private sector, gender equality and women's empowerment. (GEF 2014c, 173).

Given that many of the child projects under the three IAP Programs have yet to commence implementation by the GEF Agencies at the time of this evaluation (see annex A for project status), this review has adopted a formative approach and has focused on process and design aspects at the start-up of the pilots, their uptake by key stakeholders in the target countries, and the process through which these three IAPs have been and are being launched.

A summary of basic and financial information on the IAPs is reported in tables 1.1 and 1.2. Annex A provides more detailed information on child projects, including focal area objectives and project financials.[1]

The IEO has recently completed the evaluation of programmatic approaches in the GEF (GEF IEO 2018). The main purpose of this thematic evaluation was to assess whether and how GEF support delivered under the programmatic approaches modality delivered the expected results in terms of GEBs while addressing the main drivers of global environmental change. It also compared the performance of projects implemented under programmatic approaches with stand-alone projects. The findings from this evaluation informed the evaluation design of the formative review of the IAP pilots.

[1] Note that the hub projects are calculated as part of the programs' child projects, unless stated otherwise.

TABLE 1.1 IAP basic information

IAP	No. of child projects	No. of countries	No. of GEF Agencies	Average project duration (years)	Focal area objectives covered
Cities	12	11	8	4.5	BD-1 Program 1 BD-4 Program 9 CC-1 Program 1 CC-2 Program 3 CW-1 Program 2
Commodities	5	4	6	4	BD-4 Program 9 CC-2 Program 4 SFM-1 Programs 1, 2, 3
Food Security	13	12	7	5.4	BD-3 Program 7 BD-4 Program 9 CC-2 Program 4 LD-1 Program 1, 2 LD-3 Program 4 LD-4 Program 5
Total	30				

SOURCE: GEF Project Management Information System.

NOTE: BD = biodiversity; CC = climate change; CW = chemicals and waste; LD = land degradation; SFM = sustainable forest management.

TABLE 1.2 IAP financial information

	GEF Trust Fund financing (million $)		Cofinancing	
IAP	Total	Project average	Total (million $)	Ratio
Cities	137.2	11.4	2,416.6	18:1
Commodities	40.3	8.1	263.5	7:1
Food Security	106.4	8.2	786.2	7:1
Total	283.9	9.5	3,466.4	12:1

SOURCE: GEF Project Management Information System.

NOTE: Financial figures based on child project financing data, excluding Agency fees.

1.1 Overview by IAP Program

CITIES IAP PROGRAM

The Cities IAP is summarized in the related program framework document (PFD) (GEF 2015d). Its overall objective is "to promote among participating cities an approach to urban sustainability that is guided by evidence-based, multidimensional, and broadly inclusive planning processes that balance economic, social, and environmental resource considerations" (GEF 2015d, 2). The Cities IAP will initially engage 23 cities, and later 28 cities, in 11 countries with the aim of promoting the integration of environmental sustainability in planning and management initiatives at the city level.[2] The program will do so primarily by providing tools, knowledge resources, and services to support local strategic planning processes and implementation efforts in targeted cities.

The Cities IAP recognizes challenges to rapid urbanization in developing countries but also the opportunities this presents. Climate change adds to the urgency of sustainable urban planning and management, and to the already broad set of challenges for many city governments, revolving around providing jobs, services, and housing to rapidly growing urban populations (GEF 2017c). The IAP is based on the premise that if managed well, compact, resilient, inclusive, and resource-efficient cities could become drivers of sustainable development, and that if managed poorly, sprawling urban areas will result in land degradation, strain ecosystems and essential infrastructure services, and increase levels of air and water pollution. The Cities IAP aims to support local strategic planning processes and implementation efforts in selected cities. What sets this IAP apart from other urban sustainability initiatives, according to the documentation, is an emphasis on comprehensive, evidence-based planning in support of, and investments in, institutional processes and capacity building; a comprehensive suite of support services; a network approach that recognizes the need to nurture relationships with a wide range of stakeholders; and its contribution to the discourse on sustainable cities through global knowledge coordination, programmatic support, and experience sharing (GEF 2015d).

The Cities IAP consists of an allocation of approximately $137 million in GEF resources during the GEF-6 programming period. Of this sum, $53 million in IAP Program funds are directed to a limited number of child projects applying through (and with the endorsement of) their GEF country focal point. Applicants were required to match the IAP allocation on a dollar-for-dollar basis out of their regular national System for Transparent Allocation of Resources (STAR) allocation (GEF 2014b), although most applicants ultimately opted to match at a higher ratio. In addition, child projects use their joint IAP-STAR allocation to leverage other public or private funds for use on these projects (GEF 2015d). The program includes a $9 million resource allocation to the World Bank for creation of a global coordination and knowledge-sharing platform, named the Global Platform for Sustainable Cities (GPSC, GEF ID 9162). Another $2 million is allocated to the World Bank to work collaboratively with the World Resources Institute, C40, and ICLEI as a resource team for city-to-city and network knowledge-sharing services under the GPSC (called Urban Networking to Complement and Extend the Reach of the Sustainable Cities IAP, GEF ID 9666). See annex A for the project overview and annex B for the Cities IAP Program results framework.

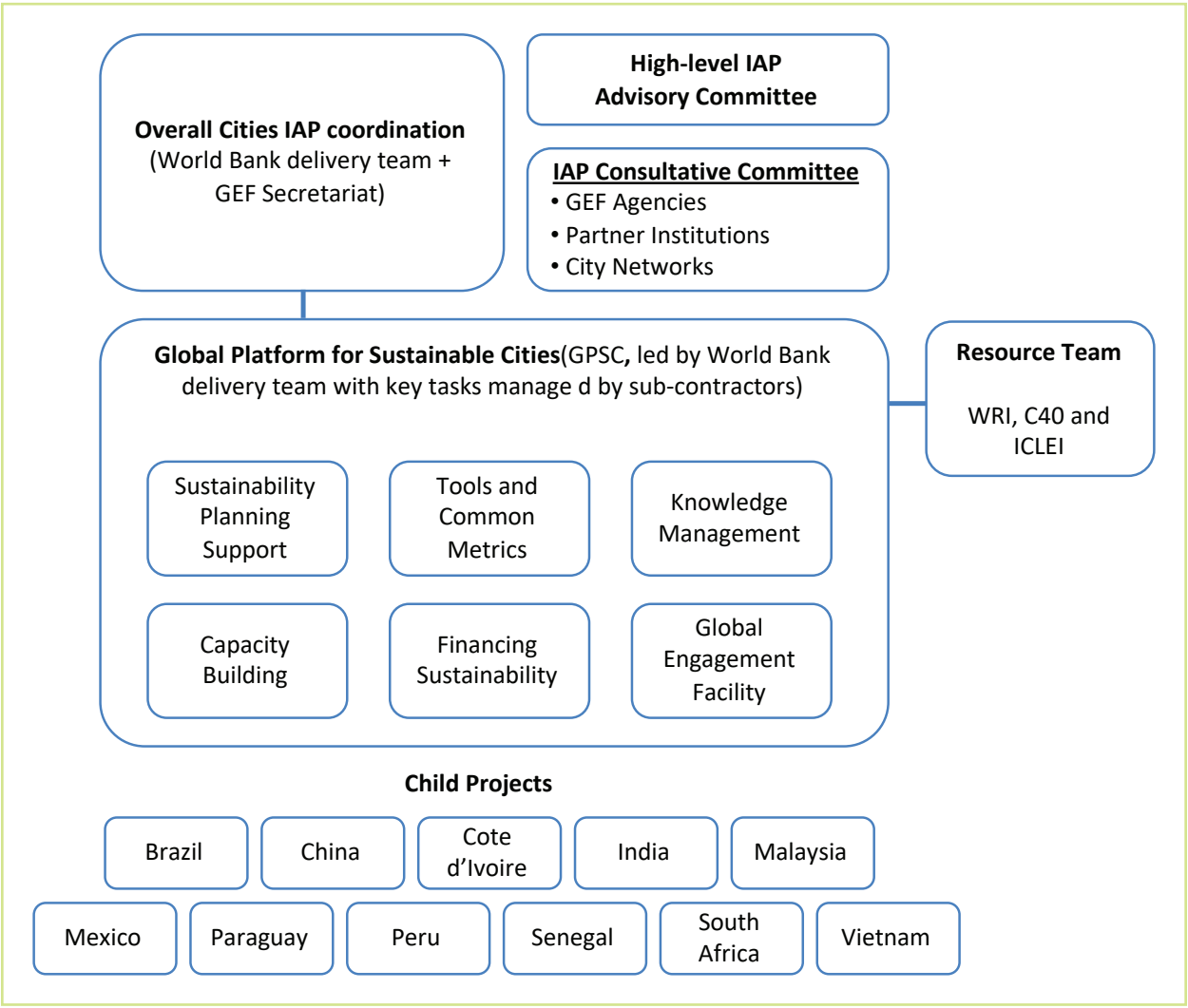
[2] Brazil (Brasília and Recife), China (Guiyang, Shenzhen, Ningbo, Nanchang, Beijing, Tianjin, and Shijiazhuang), Côte d'Ivoire (Abidjan), India (Vijayawada, Guntur, Mysore, Jaipur, and Bhopal), Malaysia (Melaka), Mexico (La Paz, Campeche, and Xalapa), Paraguay (Gran Asunción), Peru (Lima), Senegal (Dakar, Saint Louis, and Diamniadio), South Africa (Johannesburg), and Vietnam (Hue, Vinh Yen, and Ha Giang).

The Cities IAP is geared to contribute to GEBs in the respective focal areas (see annex C for GEB targets), and to contribute implicitly to country capacity to implement multilateral environmental agreements. The program involves eight GEF Agencies—namely, the African Development Bank, the Asian Development Bank, the Development Bank of Southern Africa, the Inter-American Development Bank (IDB), the United Nations Development Programme (UNDP), the United Nations Environment Programme (UNEP), the United Nations Industrial Development Organization (UNIDO), and the World Bank.

Detailed program structure and planned regional capacity-building and knowledge-exchange platforms are shown in figure 1.1.

The Cities IAP has been designed to be implemented over five years in Brazil, China, Côte d'Ivoire, India, Malaysia, Mexico, Paraguay, Peru, Senegal, South Africa, and Vietnam. The GPSC aims to tie the program together and is composed of six elements: sustainability planning support, tools and metrics, knowledge management, capacity building, financing sustainability, and the global engagement facility.

FIGURE 1.1 Cities IAP Program structure



The yearly progress of the Cities IAP's development to date is as follows:

- **2014.** Formal inclusion of the Cities IAP in GEF-6 Programming Directions at the General Assembly (GEF 2014c); development of sustainable urbanization policy brief by STAP (GEF STAP 2014); development of concept paper and consultative meeting; initial consultations with GEF agencies and potential country partners
- **2015.** Overarching program design by the World Bank in collaboration with GEF Agencies involved in the child projects and the GEF Secretariat; presentation and approval of PFD at the June Council (GEF 2015d); requests for and allocations of project preparation grants for multiple GEF agencies and country partners
- **2016.** Ongoing design of child projects by GEF Agencies; submission of requests for project endorsement; issuance of endorsement letters for the global child project GPSC, the global stand-alone project Urban Networking to Complement and Extend the Reach of the Sustainable Cities IAP, and four country-level child projects of 11 planned
- **2017.** By July 2017, all 11 country-level child projects, one global child project, and one stand-alone project were endorsed/approved by the Chief Executive Officer (CEO).

Annex D provides a comprehensive account of the findings pertaining to the Cities IAP Program.

COMMODITIES IAP PROGRAM

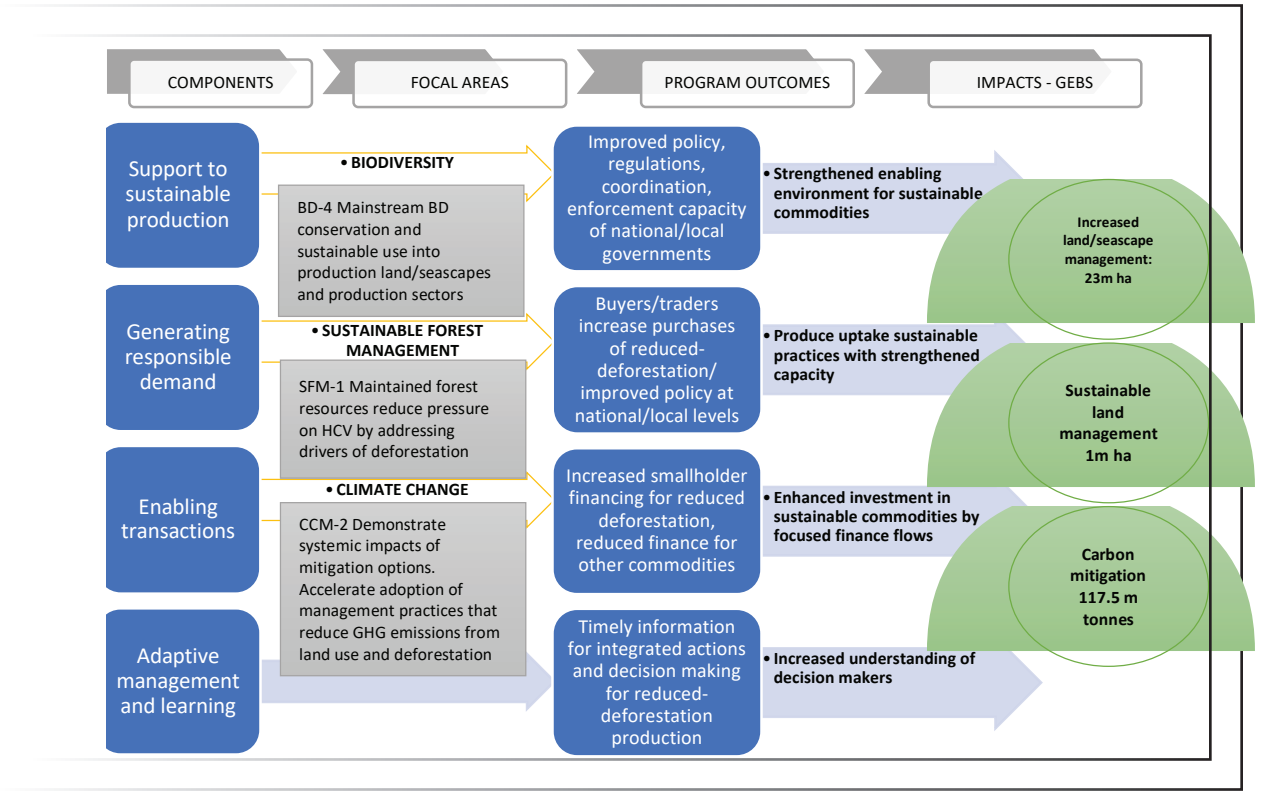
As summarized in the GEF-6 Programming Directions shared at the sixth replenishment meeting (GEF 2014c), the Commodities IAP attempts to harness the power of the market to move commodity production away from its current unsustainable path. The IAP's overall objective is to

> reduce the global impact of agricultural commodities on greenhouse gas (GHG) emissions and biodiversity by meeting the growing demand of palm oil, soy and beef through supply that does not lead to deforestation and deforestation-related GHG emissions. (GEF 2015b, 2)

The Commodities IAP has been designed through a supply-chain lens for each of the three commodities—soy, beef, and palm oil—and aims to support activities in four producing countries (Brazil, Paraguay, Liberia, and Indonesia) and in demand markets (including local consumption and emerging economies). The expansion of commodity production and the associated deforestation are results of complex national and international supply chains spanning from farmer to final consumer and involve many actors with diverse incentives and motivations. Recognizing this, the Commodities IAP engages across multiple layers of interventions—from working on land-use planning and government policies to bank and investor policies to corporate commitments and consumer awareness campaigns. The Commodities IAP attempts to harness the power of the market to move commodity production away from its current unsustainable path and remove deforestation from commodity supply chains.

Figure 1.2 depicts the Commodities IAP, showing its four main components, their linkage to outcomes, and alignment with GEF focal areas. The pilot is expected to support the achievement of objectives within the GEF focal areas of biodiversity (Aichi Biodiversity Targets 5 and 7) and climate change mitigation (REDD+ elements: reducing emissions from deforestation and forest degradation, as well as conservation, sustainable management of forests, and enhancement of forest carbon stocks) and to support sustainable forest management (reinforce sustainable forest management as means of preventing soil erosion and flooding and increasing atmospheric carbon sinks) and private sector engagement strategies.

FIGURE 1.2 Commodities IAP Program logic



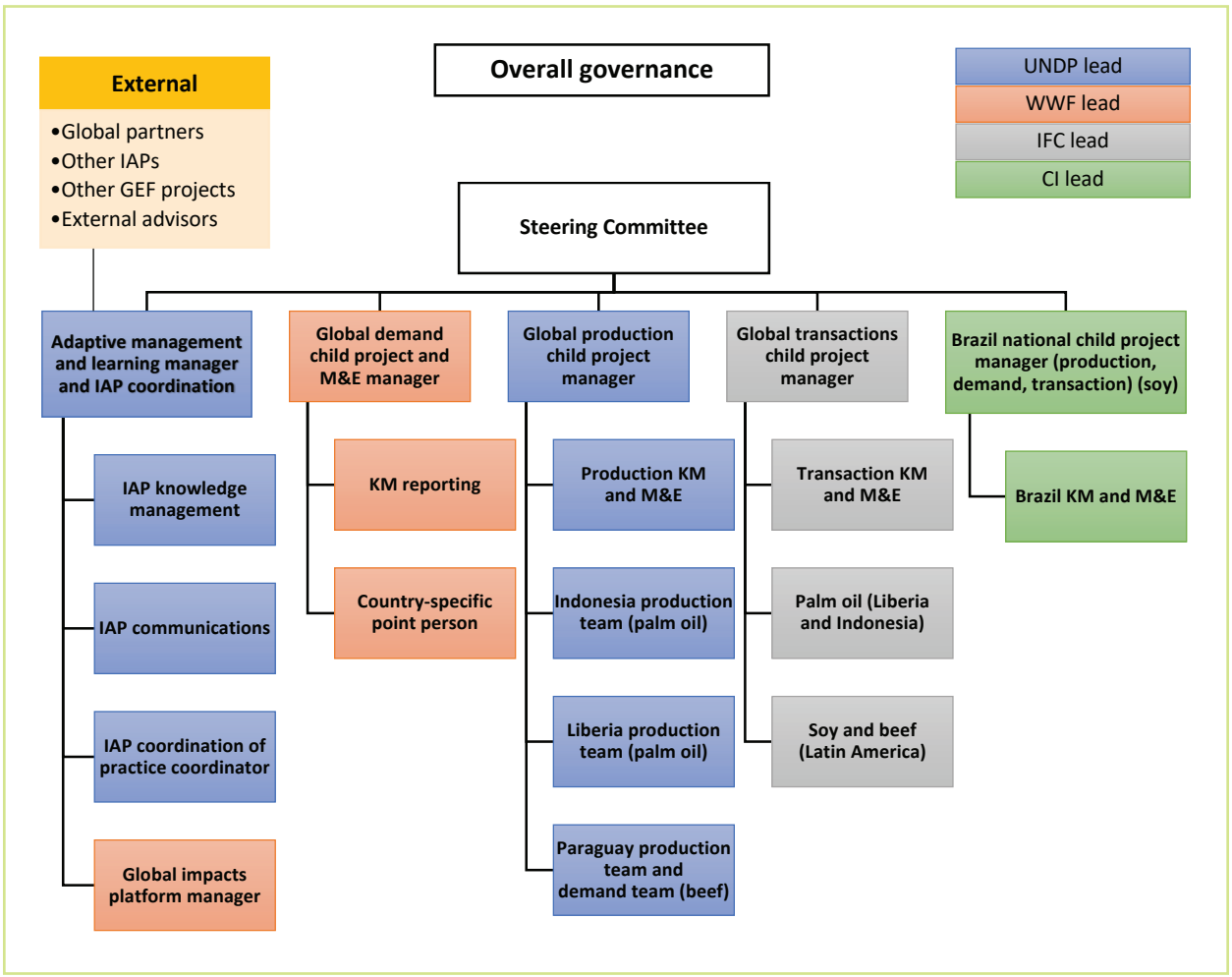
At the core of the Commodities IAP is support for more sustainable production, generating responsible demand, enabling sustainable financial transactions for trading in commodities, and adaptive management and learning (AML) for broader knowledge dissemination. The AML is the coordinating project that coalesces the demand, production, and transaction project efforts to implement the program in a synergistic and sequential manner. As indicated in figure 1.2, the Commodities IAP aims to generate multiple GEBs. Additionally, the IAP is expected to track critical STAP-recommended production facets, where pertinent.[3]

Following on this approach, the Commodities IAP seeks to support actions with four main sets of actors committed to the approach: national governments; producers (including small-scale producers and local communities—particularly, women, indigenous peoples, and other disadvantaged groups); buyers (including traders and women in the informal sectors and processors and retailers); and financial institutions.

Detailed program governance and coordination arrangements are shown in figure 1.3.

[3] GEF STAP 2016a. The STAP review of indicators to assess the sustainability of commodity agricultural production was undertaken in October 2015 to underpin the work on development and selection of indicators for this IAP. Based on the principle that indicators should be cost-effective and allow comparability between different programs, while tracking major sustainability attributes of commodity agricultural systems, a set of 12 core production facets were proposed by STAP to track outcomes.

FIGURE 1.3 Commodities IAP governance structure



The Commodities IAP is expected to have a duration of four years and operates through a funding envelope of $45 million drawn from biodiversity ($35 million) and sustainable forest management ($10 million) funding windows. The pilot is funded fully from these set-aside allocations, as the primary objective of the IAP is to engage with non-traditional actors for the GEF, such as the private sector. Associated countries have not contributed from their STAR allocation to the Commodities IAP.

An overview of the projects under the Commodities IAP is provided in annex A. The program consists of one global framework project and five child projects, including one dedicated to the overall management and learning from across the projects. UNDP is acting as the lead Agency, but the IAP involves several other GEF Agencies as partners and executors—namely, Conservation International (CI), the UNEP Finance Initiative, the World Wildlife Fund (WWF), and, collaboratively, the World Bank and International Finance Corporation (IFC).

The program results framework is provided in annex B. GEB targets can be found in annex C. A comprehensive account of the findings pertaining specifically to the Commodities IAP Program can be found in annex E.

FOOD SECURITY IAP PROGRAM

The Food Security IAP's overall objective is to "support countries in target geographies for integrating priorities to safeguard and maintain ecosystems services into investments improving smallholder agriculture and food value chains" (GEF 2015c, 2). The program targets 10 million ha of production landscapes with 2–3 million beneficiary households in drylands ecosystems of 12 Sub-Saharan African countries that have long records of concern about food security and environmental sustainability.

The Food Security IAP seeks to tackle one of the major drivers of environmental degradation—food production—by advancing a holistic and integrated approach to enhancing agricultural productivity in smallholder systems where food insecurity is directly tied to agricultural output. By focusing on safeguarding land, water, soils, trees, and genetic resources—natural resources that underpin food and nutrition security in Sub-Saharan Africa drylands—the program aims to strengthen soil health, improving farmers access to drought-tolerant seeds, adjusting planting periods and cropping portfolios, and enhancing on-farm agrobiodiversity. This, in turn, is expected to foster sustainability and resilience of food production systems while at the same time reducing land degradation and biodiversity loss, recovering natural vegetation, and increasing soil carbon. More specifically, the Food Security IAP

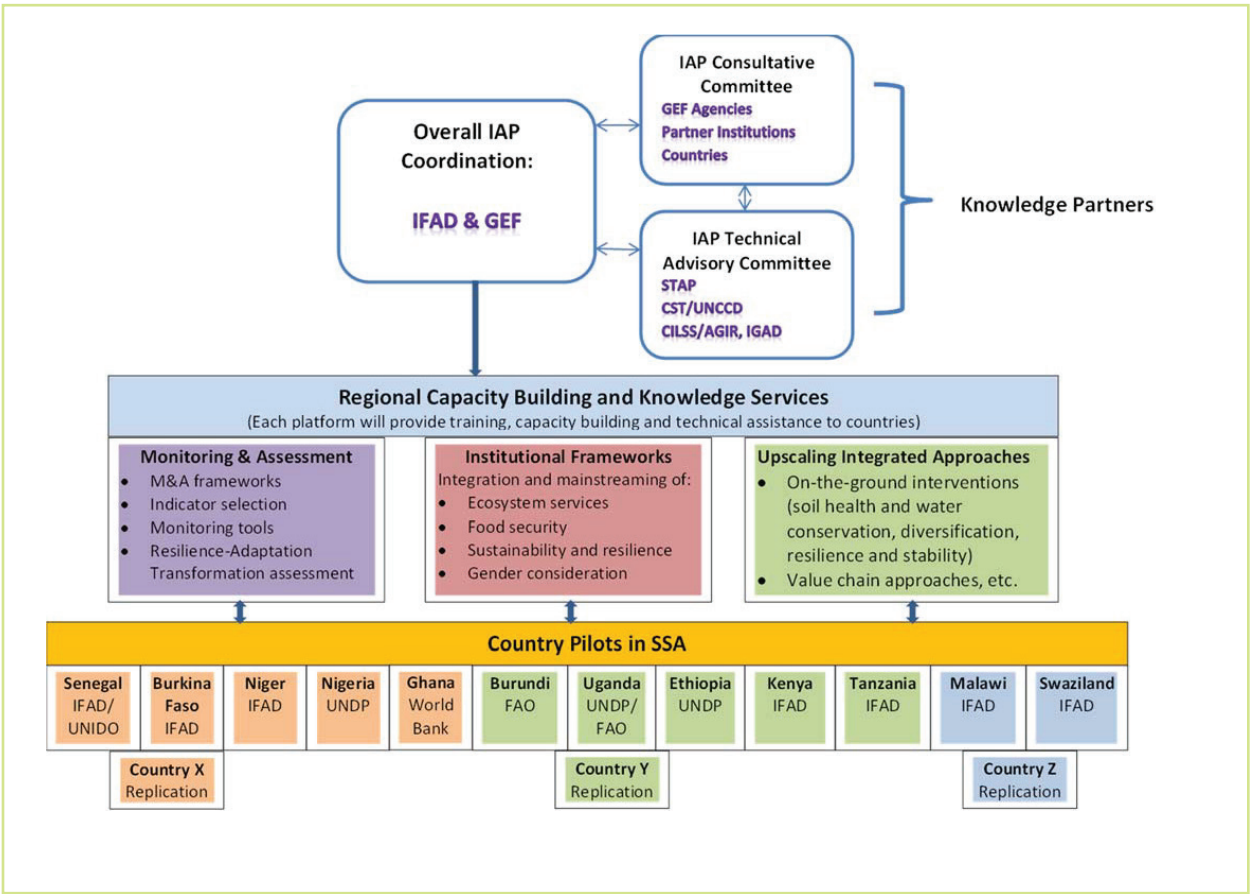
> combines a bottom-up approach at country level to removal of barriers to: policy and institutional reforms; to scaling up of integrated approaches; and to monitoring and assessment for effective knowledge management, with regional support to capacity building, knowledge services and co-learning to contribute to sustainable intensification of agriculture in SSA [Sub-Saharan Africa] and to deliver impact at scale with GEF resources. (GEF 2015c, 21)

According to the Food Security IAP's PFD, the GEF resource envelope for the program is roughly $106 million.[4] (See annex A). The program budget cuts across three GEF-6 programming resources through STAR country allocations for the GEF focal areas of land degradation (28 percent), biodiversity (15 percent), and climate change (11 percent), supplemented by set-aside regional incentives funds (46 percent). The program is geared to contribute to GEBs in the respective focal areas, and to contribute implicitly to country capacity to implement multilateral environmental agreements. (See annex B for the program results framework and annex C for GEB targets.) The IAP tries to achieve synergies in generating multiple GEBs addressing guidance from three United Nations (UN) environmental conventions—namely, the United Nations Convention to Combat Desertification (UNCCD), the Convention for Biological Diversity (CBD), and the United Nations Framework Convention for Climate Change (UNFCCC). The program involves five GEF Agencies—namely, the International Fund for Agricultural Development (IFAD) as the lead Agency, the Food and Agriculture Organization of the United Nations (FAO), UNDP, UNIDO, and the World Bank. Detailed program coordination arrangements and planned regional capacity-building and knowledge-exchange platforms are shown in figure 1.4.

The Food Security IAP is designed to be implemented over five years in Burkina Faso, Burundi, Ethiopia, Ghana, Kenya, Malawi, Niger, Nigeria,

[4] This figure does not include the hub project for coordination, knowledge sharing, and M&E (GEF ID 9140), for which $10.8 million is earmarked from the GEF Trust Fund, together with $85 million of cofinancing from the International Fund for Agricultural Development, the Food and Agriculture Organization, UNEP, UNDP, the World Agroforestry Center, the Alliance for a Green Revolution in Africa, CI, and Bioversity International.

FIGURE 1.4 Food Security IAP coordination arrangements



Senegal, Swaziland, Tanzania, and Uganda. The program adopts a three-pronged approach that

- Engages stakeholders across the public and private sectors, and across environment and agriculture, to foster collective action and coherent policies,
- Acts to scale up, diversify, and adapt practices for a large-scale transformation of agro-ecosystems, and Tracks ecosystem services and resilience to enable more informed decision making on agriculture and food security at multiple scales (GEF 2015c).

Figure 1.5 provides the linkages between the most important program elements and objectives, as well as its overarching and crosscutting objectives and underlying assumptions and impact drivers. The team used this model to clarify and critically assess the theory of change embodied in the Food Security IAP and its practical application and implementation in operations.

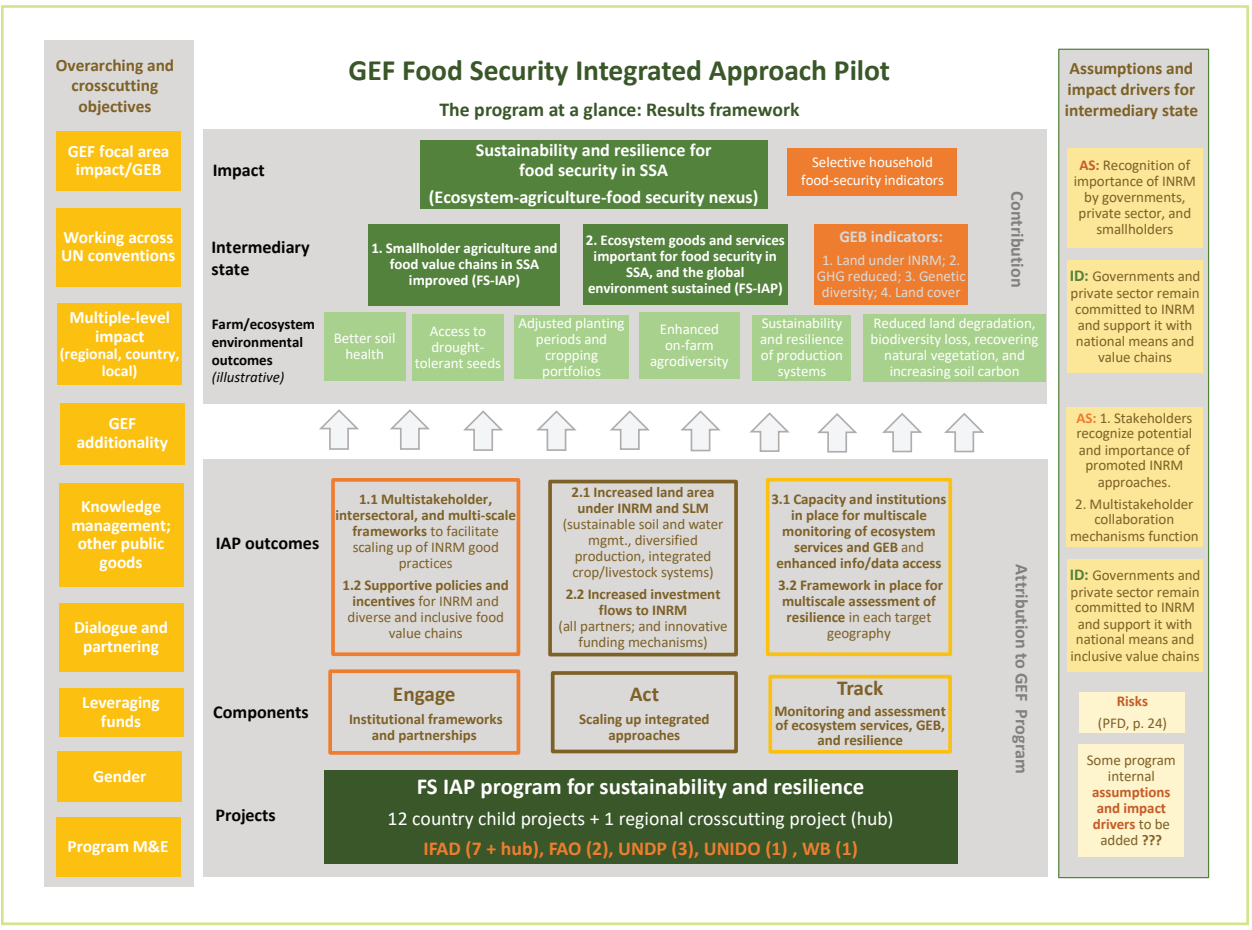
A comprehensive account of food security specific findings can be found in annex F. Joint findings for the three IAP Programs are discussed in the next chapter.

1.2 Methodology

PURPOSE AND OBJECTIVES

The purpose of this review is to critically assess design elements and the early processes that

FIGURE 1.5 Food Security IAP results framework



would provide insights into whether these programs are likely to achieve their objectives and, if so, how. The drivers tackled by each IAP Program are the following:

- Cities IAP: Processes of unsustainable urbanization in rapidly growing cities of Asia, Africa, and Latin America
- Commodities IAP: Agricultural expansion in emerging markets leading to deforestation from commodities production
- Food Security IAP: Food production in natural resource–poor farming systems

The objectives are to evaluate the coherence of the IAP Programs' design with GEF-6 focal area strategies, their alignment with convention guidance, and their capacity to reflect synergies in delivering focal area strategies while accounting for country needs and ownership. The review also looked at the IAP Programs' initial uptake in participating countries and the efficiency of its launching process. The evaluation team used the IAP Programs' basic tenets to critically assess the theory of change—if the specific IAP Program had one designed—and its practical application in operations.

SCOPE AND KEY QUESTIONS

The review looked at the IAP Programs and related child projects since the first development of the program concept at the beginning of GEF-6. Three separate approach papers have been developed and can be accessed on the IEO's website. These papers draw on the following seven main evaluation questions:

- To what extent is the IAP integrated programming concept, as applied to the three IAP Programs, truly integrated, and does it differ from existing (non-)programmatic approaches?
- To what extent does IAP integrated programming concept, as applied to the three IAP Programs, enable the GEF to fulfill its mandate vis-à-vis the conventions?
- To what extent has the IAP integrated programming concept, as applied to the three IAP Programs, harnessed the comparative strengths, advantages, and unique selling points of the GEF Agencies, the STAP, the GEF Secretariat, and broader constituencies and partnerships?
- To what extent have gender and resilience been taken into account in the IAP Programs' design?
- How efficient was the design and launch process of the IAP Programs, and what has been the buy-in by the target groups thus far?
- Have funding sources been strategically allocated for integrated programming (that is, GEF set-aside funding and cofinancing leverage)?
- To what extent are there mechanisms for broader adoption (mainstreaming, scaling up, replication, market transformation), features that enable knowledge capture, and mechanisms for learning from previous projects?

An evaluation matrix composed of key questions, relevant indicators, sources of information, and methods has been developed as a result of a detailed evaluability assessment. (See annex G.) The matrix has been structured around the seven key evaluation questions and includes specific quantitative and qualitative indicators and methods and sources of data collection.

APPROACH AND LIMITATIONS

The IAP Programs review applied a mixed-methods approach, encompassing desk and literature review, quality at entry analysis through a portfolio review protocol developed jointly for the three IAP Programs' reviews, portfolio and project cycle analysis, and stakeholder perceptions obtained through both interviews and an online survey specifically designed to gather country stakeholder perceptions. Gender and resilience have been given special attention as crosscutting topics.

An in-depth literature/document review was completed for each IAP Program, including the following:

- A review of the evolution of the IAP Programs and child projects' design, with a focus on (1) the coherence between IAP Programs' design, the conventions, focal areas, and GEF-6 Programming Directions; (2) the additionality of the IAP Programs over standard project approaches; (3) the efficiency of the IAPs' design and launch process; (4) the mechanisms for broader adoption; and (5) features that enable knowledge capture and mechanisms for learning
- A review of the Cities IAP's appropriateness and relevance of country and city selection, focusing on (1) specific needs for sustainable urban development, existing governance structures, and existing power and decision-making

structures in the countries and cities selected; (2) alignment of priorities across scales and buy-in by target groups at these levels; (3) whether and how this has translated into a selection of priorities across and within sectors, selected programming directions; and (4) whether these choices are reflected in the comparative strengths and advantages of Agencies selected to implement

- A review of the Commodities IAP's appropriateness and relevance of commodity and country selection, focusing on (1) global commodity structures and trends, (2) agricultural commodities linked to deforestation, (3) efforts by stakeholders along the supply chain to prevent deforestation, and (4) alignment of priorities of key country actors with selection of GEF Agencies and commodities for comparative advantages
- A review of the Food Security IAP's appropriateness and relevance of country selection to (1) evaluate its design coherence with GEF-6 focal area strategies, (2) critically assess the program's theory of change for enhancing agricultural productivity in smallholder systems, (3) review the program's three-pronged "engage-act-track" approach, (4) review its alignment with convention guidance, and (5) review its capacity to reflect synergies in delivering GEBs while accounting for country needs and ownership.

Field visits to Panama, Brazil, and Paraguay took place for the Commodities IAP Program, to meet with project managers, agencies, and other key stakeholders to discuss the launch of the program. For the Food Security IAP, a mission to Rome was conducted for interviews at IFAD, FAO and UNEP.

One joint online survey was conducted for the three IAP Programs. It was designed to gather stakeholder perceptions on the IAPs and the child projects in which they are participating. The survey had a response rate of 39 percent from targeted government representatives, GEF Agencies, and other participants currently involved in the IAPs and related child projects' design and implementation. A second survey took place for the Cities IAP, with a response rate of 41 percent, covering 8 of the 11 countries taking part in the Cities IAP. This survey asked respondents to indicate at what level of government the responsibility for various government functions rests, to test the program's direct local control and decision-making assumption.

Twenty-seven structured interviews took place for the Cities IAP, and 42 interviews each were conducted for the Commodities and Food Security IAPs. Key stakeholders involved in the formulation and design of the respective programs and related child projects were interviewed. Annex H provides an overview of key stakeholders consulted.

Triangulation of qualitative and quantitative data collected was conducted after the data gathering and analysis phases were complete, to determine trends and identify the main findings, lessons, and conclusions. Different stakeholders were consulted to test preliminary findings.

The review was carried out between January and September 2017. The main limitation was that during the review's time frame, no major activities had started yet at the field level. To address this limitation, a large amount of quantitative and qualitative data was collected, analyzed, and triangulated, allowing all review questions to be answered in a comprehensive way. The cut-off date for program and project analysis data was July 30, 2017. Project status might have changed since.

2: Findings

This section summarizes the main findings for the three IAP Programs. A more comprehensive account of the findings pertaining to each individual IAP Program is presented in annex D (Cities), annex E (Commodities) and annex F (Food Security). Findings are organized under four main themes: relevance, design, process, and crosscutting issues.

2.1 Relevance

This subsection focuses on the relevance of the IAP Programs to the three conventions (UNCCD, CBD, and UNFCCC), synergies across focal areas, and the alignment with participating countries' environmental priorities.

ALIGNMENT WITH CONVENTIONS AND SYNERGIES BETWEEN FOCAL AREAS

FINDING 1: In-country stakeholders broadly agree on the potential of the IAP Programs to address multiple conventions through an integrated programming approach. This view was not shared by all convention secretariats.

Despite integrating multiple focal area objectives, the IAP Programs still need to serve the different conventions. The GEF-6 Programming Directions document provides an overview of relevant multilateral environmental agreements and decisions covered by each of the three IAP Programs (GEF 2014c). The IAP Programs' PFDs provide an overview of focal area objectives and components covered, and these align with the relevant multilateral environmental agreements (table 2.1). Almost all child projects refer to focal area objectives and components in their request for CEO endorsement, as stated in the respective IAP Program's PFD. Eleven of the 12 projects for Cities IAP, all 5 projects for the Commodities IAP, and 11 of the 13 projects for the Food Security IAP align.

The major drivers of the Cities IAP connect local urban sustainability priorities to three GEF focal areas: (1) climate change mitigation, (2) biodiversity conservation, and (3) abatement of chemicals and waste release. The initial ambition, however, was for an even greater synergy:

> The initiatives funded by this Integrated Approach may be supported by and/or contribute to the following focal areas: biodiversity, land degradation, international waters, sustainable forest management, climate change mitigation, climate change adaptation, and chemicals and waste. (GEF 2014c, 177)

Neither the international waters nor the sustainable forest management focal areas were eventually incorporated into the design of the Cities IAP. While 10 country child projects include activities related to urban resilience, which by definition includes urban adaptation, these are not recorded as contributing to the GEF Programming Strategy on Adaptation to Climate Change. One child project (Promoting Sustainable Cities in Brazil through Integrated Urban Planning and

TABLE 2.1 Overview of multilateral environmental agreements, decisions, focal area objectives, and GEBs covered by IAP Programs

Item	Cities	Commodities	Food Security
Multilateral environmental agreements and convention decisions referenced in GEF-6 Programming Directions	▪ UNFCCC Decision 1/CP.11, Decision 1/CP. 16, Decision 2/CP.17, Decision 1/CP.19 CBD Decision IX/28, Decision X/22 ▪ UNCCD COP10 Multi-Year Work Plan 2012–2015 ▪ Article 6, Stockholm Convention ▪ Article 11, Minamata Convention	▪ UNFCCC, Decision 1/CP.16, REDD+ elements ▪ CBD Decision X/2, Aichi Biodiversity Targets 5 and 7 ▪ UNCCD Decision 4/COP.8 ▪ UN Forum on Forests: Global Objectives on Forests	▪ UNFCCC, no specific decision, but link made to Least Developed Countries Fund/Special Climate Change Fund and national adaptation plan process ▪ CBD Decision X/2, Aichi Biodiversity Targets 6, 7, 8, 13, and 18 ▪ UNCCD 10-Year Strategy and Action Plan (2008–2018)
GEF-6 Programming Directions, focal area objectives covered	▪ BD-1 Program 1 ▪ BD-4 Program 9 ▪ CC-1 Program 1 ▪ CC-2 Program 3 ▪ CW-1 Program 2	▪ BD-4 Program 9 ▪ CC-2 Program 4 ▪ SFM-1 Program 1, 2, 3	▪ BD-3 Program 7 ▪ BD-4 Program 9 ▪ CC-2 Program 4 ▪ LD-1 Program 1, 2 ▪ LD-3 Program 4 ▪ LD-4 Program 5
GEBs	▪ GEB 1. Maintain globally significant biodiversity ▪ GEB 2. Sustainable land management in production systems ▪ GEB 4. Support to transformational shifts toward a low-emission and resilient development path ▪ GEB 5. Increase in phase-out, disposal, and reduction of releases of persistent organic pollutants, ozone-depleting substances, mercury, and other chemicals	▪ GEB 1. Maintain globally significant biodiversity ▪ GEB 2. Sustainable land management in production systems ▪ GEB 4. Support to transformational shifts toward a low-emission and resilient development path	▪ GEB 1. Maintain globally significant biodiversity ▪ GEB 2. Sustainable land management in production systems ▪ GEB 4. Support to transformational shifts toward a low-emission and resilient development path

NOTE: BD = biodiversity; CC = climate change; CW = chemicals and waste; LD = land degradation; SFM = sustainable forest management.

Innovative Technologies Investment, GEF ID 9142) includes activities related to land degradation, which go equally unrecorded in the Cities IAP Program's PFD and tracking tool.

The expansion of commodity production and the associated deforestation are results of complex national and international supply chains spanning from farmer to final consumer and involve many state, market, and civil society actors with diverse incentives and motivations. Recognizing this, the Commodities IAP intends to conserve biodiversity, encourage sustainable forest management, and promote climate change mitigation through diverse interventions—from agricultural and forest policies, land tenure changes, and commodity moratoriums to information and technology, such as consumer awareness and capacity building, to building incentives, such as

certifications and commodity standards and tools to effect environmental changes. To the extent that the Commodities IAP Program's five child projects are using diverse interventions and intend to work simultaneously on land-use planning by government to bank and investor policies to consumer awareness, it is using key principles reinforced by external literature to achieve impact through supply chains.

An important aspect in the Food Security IAP is the work by the GEF and its Agencies across conventions and the three focal areas of biodiversity, land degradation, and climate change. For UNCCD, the Food Security IAP directly contributes to implementing its 10-Year Strategic Plan (10YSP) 2008–2018, particularly by building effective partnerships between national and international actors. The Food Security IAP focuses its contributions to the CBD program on agricultural biodiversity and its crosscutting initiative on food and nutrition, as well as the International Treaty on Plant Genetic Resources for Food and Agriculture. The Food Security IAP also responds to UNFCCC priorities on issues related to agriculture.

Ninety-three percent of respondents agreed that the IAP Programs help to address the conventions across multiple scales, being local, national, and regional. Forty-seven percent of survey respondents indicated that the IAP Programs improve the ability to report to multiple United Nations conventions, compared with previous GEF-supported projects they were involved in. Representatives of the three convention secretariats were somewhat more critical when interviewed. Interviewees at the UNFCCC Secretariat stated that integrated approaches can be addressed in projects and do not necessarily require a programmatic approach. Interviewees at the CBD pointed to difficulties by partners in understanding how synergies relevant to biodiversity would be generated from food security, land degradation, and climate change projects. In contrast, interviewed partners from the UNCCD Secretariat fully supported the current GEF integrated approach to multiple focal areas. They regard land as central to all environmental issues, including biodiversity and climate change. The convention favors common country reporting for all three conventions.

An important feature of IAP Program design relates to working across multiple scales, from local to national, regional, and global. All 30 child projects analyzed show evidence of alignment of priorities across scales—for example, local/city, subnational, national, and global. To achieve that, IAP Programs' PFDs and child project documents show sensitivity to the existing governance, power, and decision-making structures in targeted countries, but there are clear differences on what this practically means for the three IAP Programs, as described in the following paragraphs.

The GEF-6 Programming Directions document argues the importance of the Cities IAP bringing attention to the supranational linkages. The document cites evidence and decisions from global conventions including UNFCCC, CBD, and UNCCD, which recognize the importance of cities in achieving convention goals. The Cities IAP Program's PFD anticipates that the program will "create a strong network of cities that will act as global ambassadors for urban sustainability planning" and will result in "tangible benefits at both the local and global levels" (GEF 2015d, 7). The PFD's theory of change discussion includes a passage on the Cities IAP's "contribution to global discourse" and mentions alignment with the newly emerging Sustainable Development Goals (SDGs), the COP21 Paris Agreement, the Compact of Mayors, and the ICLEI Cities Biodiversity initiative in particular. The outputs and outcomes pursued by Cities IAP child projects integrate local goals and the following GEBs: greenhouse gas (GHG) abatement (11 child projects), biodiversity conservation (four

child projects), phasing out persistent organic pollutants (two child projects), and land management (one child project). Reviewing child project documents confirms that local sustainability goals as identified in participating cities are primarily aligned with GHG mitigation (GEB 4).

The PFD's theory of change discussion addresses the Commodities IAP's contribution to GEBs by stating that the program will lead to the conservation of globally significant biodiversity, ecosystems goods, and services that provide to societies by working with producers and buyers in increasing the supply and demand of key commodities that do not lead to deforestation and degradation of forests. Benefits will be measured on the increased use of degraded lands, increase in productivity of the commodity and sector, high biodiversity and carbon areas under protection in agricultural landscapes, and farmers and communities positively affected by the program. Further, the program states that by working with private sector and national governments to create enabling conditions, the program supports a transformational shift to a low-emission and resilient development path. The program targets the following GEBs: GHG abatement, biodiversity conservation, and sustainable forest management, primarily coming from results of the production child project (GEF ID 9180).

The PFD and child project results frameworks in the Food Security IAP contain appropriate outcomes and indicators, designed to contribute to multiple GEBs across scales and GEF focal areas. Specific quantitative targets for major GEB tracking tools of biodiversity, land degradation, and climate change are set in almost all child projects, but these targets vary widely across child projects. To what extent and whether they make sense, and whether these are smart and integrated indicators, whether they are common in the program or project specific, or whether they are just conforming to the general indicator(s) proposed in the tracking tool, remain to be seen. This issue is further discussed under Finding 7.

ALIGNMENT WITH COUNTRY PRIORITIES

FINDING 2: Positive examples of alignment with country priorities through adequate entry points are observed, although this strategy risks sidelining some focal areas.

Based on the finding that program ownership at the country level is linked to the degree of alignment with national environmental priorities, the evaluation of programmatic approaches in the GEF has recommended that the GEF should continue ensuring that programs are relevant to the national environmental priorities of the participating countries while meeting the requirements of the conventions. Compared with previous GEF-supported projects they were involved in, 60 percent of survey respondents indicated that the IAP Programs are better aligned with country priorities, while 40 percent indicated that alignment with country priorities is the same. The risk of focusing on alignment with countries priorities is that countries might not necessarily prioritize those focal areas that individual IAPs aim to focus on. The GEF-6 Programming Directions document and the IAP Programs' PFDs do acknowledge the need for alignment and synergies across multilateral environmental agreements and the potential for generating multiple GEBs, but it is too early in the child projects' implementation to say whether these GEB intentions will be realized.

The Commodities IAP child projects align with specific government priorities and enable and enhance compliance with existing initiatives in Brazil, Indonesia, and Paraguay. The program also provides an opportunity for Liberia, a relative newcomer in palm oil, to develop its sector sustainably while incorporating lessons from Indonesia. In an

online survey, 15 of 17 respondents indicated that the Commodities IAP Program and child projects will help maintain or enhance alignment with country priorities, compared with previous projects with which they were involved.

In the design of the Food Security IAP, there are certainly synergies across the focal areas of biodiversity, climate change, and land degradation, with financial allocations clearly favoring the latter as an entry point. A considerably higher proportion of STAR resources was allocated to land degradation in CEO endorsed child projects than to biodiversity and climate change: 55 percent compared with 25 percent for biodiversity and 20 percent for climate change. In most cases, interviewees indicated that the biodiversity and climate change aspects of a given child project were included as more of an afterthought in project design. The major drivers of the Cities IAP connect local urban sustainability priorities to three GEF focal areas: climate change mitigation, biodiversity conservation, and abatement of chemicals and waste release. The program's initial ambition was for an even greater synergy with the other focal areas, but neither international waters nor sustainable forest management was eventually incorporated into the design of the Cities IAP.

2.2 Design

This subsection focuses on the IAP's overall design and underlining theory of change. It covers the coherence of objectives and design across projects and the programs' additionality and innovative features as compared with past programs. It also considers design elements focused on broader adoption, M&E, and learning.

COHERENCE

FINDING 3: The IAP Programs and their child projects are broadly coherent in terms of their structure and objectives in their respective theory of change, with some exceptions.

All IAPs have been designed in a way that program and child projects objectives, results-based management frameworks, and M&E systems are aligned. This further confirms the finding from the programmatic approaches evaluation that recent programs have learned from the experience of previous programmatic approaches (GEF 2015d). Almost all child projects refer to focal area objectives and components—as stated in each IAP Program's PFD—in their request for CEO endorsement. Eleven of the 12 projects in the Cities IAP, all 5 projects for the Commodities IAP, and 11 of 13 projects for the Food Security IAP align with their respective programs on objectives. Alignment between program/project results frameworks and tracking tools in terms of outcomes and indicators, however, does not show an even picture across the three IAP Programs. The quality at entry review showed that only 2 of the 12 child projects in the Cities IAP show alignment between program/project results frameworks and tracking tools in terms of outcomes and indicators. The Commodities IAP provides a slightly more positive picture, with three of the five child projects aligning. In the case of the Food Security IAP, less than half of the child projects show alignment between program/project results frameworks and tracking tools in terms of outcomes and indicators.

For the Cities and Commodities IAPs, a reversed approach from program to projects was taken in designing the IAP Programs, whereby the child project concepts were identified first and the programs' PFDs resulted from assembling these into a coherent framework, rather than vice versa. The Food Security IAP followed the program-to-projects approach, according to which the PFD was designed first and the child projects were designed later to fit within the program framework. This enabled a strong coherence

in program design, through the development of a well-designed theory of change that integrates the three main "engage," "scale-up," and "track" pillars. The theory of change is consistently applied in all child projects, including the hub project.

ADDITIONALITY AND INNOVATION

FINDING 4: As compared with previous programs, IAPs demonstrate interesting, innovative features, including emphasis on knowledge exchange through dedicated platforms for collaborative learning. Considerable efforts will need to be made to realize their potential.

Sixty-seven percent of survey respondents agreed, and 31 percent agreed strongly, that the IAP Programs' child projects are helping the country in question to introduce transformative innovations in terms of approaches, institutional arrangements, and new technologies. To many, the main innovation for the three IAP Programs is the development of hub projects for each IAP Program that function as capacity-building, coordination, and knowledge-support platforms or networks toward the child projects. Fifty-five percent of survey respondents indicated that participating in regional or global platforms for engagement and interaction with other partners on the issues is one of their three main motivations for participating in the IAP Programs. When comparing the IAP Programs with other GEF programmatic approaches in which respondents were involved in the past, 71 percent indicated that the IAP Programs have more potential for knowledge exchange between projects. The quality at entry review of child projects' documentation shows that all child projects have data-sharing and information-dissemination plans as well as plans for effectively tracking and capturing of knowledge and lessons learned. All but three child projects—two projects under the Cities IAP and one part of the Commodities IAP—include lessons learned from previous programmatic approaches.

The Cities IAP positions itself in a crowded space of interventions focused on urban sustainability, but rather than competing, it attempts to provide a new comprehensive and inclusive approach and to link up with as many relevant initiatives as possible. Key stakeholders interviewed concurred with the potential the Cities IAP shows for being a test bed for models of integrated urban management. An interviewee from the GEF made the point that the innovation is "to work with, not in, cities." Working directly with subnational governments for the implementation of Cities IAP child projects in participating cities is an important innovation for the GEF. While the national GEF focal point remains anchored in a national ministry, often the environment ministry, the urban focus of the Cities IAP has shifted the policy dialogue toward the ministries of urban development, where metropolitan and urban authorities define the content, outputs, and outcomes of the GEF grants. More cautionary, an interviewee from the World Bank felt strongly that while the potential exists for innovation, the "program underestimates the complexity of the city level." Another key stakeholder echoed the concern over the risk of "inadequate decentralization," stating "that money flows through the central government before it reaches the cities, which slows momentum."

The Commodities IAP's PFD notes the program's innovative approach to

> come from directly linking demand and production through the specific focus on commodities sourced from the targeted landscapes for a "whole of supply chain" approach. The Program will work to change the overall structure of the market, to tip the global market for palm oil, soy and beef toward production that does not lead to deforestation. (GEF 2015b, 18)

By applying a supply-chain lens to the overall design, the IAP Program expects to engage all major actors to harness best practices and sustainability principles for production, generating responsible demand and enabling financial transactions. At design, innovation can be seen in the multicountry, multistakeholder engagement and through the establishment of steering committees at the global and national level and the inclusion of private sector advisory committees and working groups aimed at establishing platforms and involving financial institutions. The comprehensiveness of coverage, spanning national policy and global financial institutions, renders the program unique. The project aims to reduce finance flows into commodity production driving deforestation while supporting a business case for sustainability alongside the development of blended and commercial financial products to support adoption of sustainable commodities. Innovation also lies in working with financial regulators to identify and promote financial system regulatory interventions that can contribute to reducing pressure on forests.

The Food Security IAP's PFD refers to both innovative agricultural practices and innovative multisectoral institutional approaches. The overall approach to integrated natural resource management is innovative, as it combines the strengthening of policy and institutional frameworks with new mechanisms for scaling up on the ground, and of enhanced smallholder value-chain access as well as regional multistakeholder platforms for scaling up. Child projects include a range of technological and institutional innovations. In Burkina Faso (GEF ID 9141), the child project is developing a watershed landscape approach for more holistic ecosystem services and protection. The Malawi child project (GEF ID 9138) tries to move from micro- to macrocatchment areas. One of the most innovative parts in the Tanzania child project (GEF ID 9132) is the setting up of intervillage natural resource management committees as forums of participatory management of shared national resources at landscape models. On the institutional side, the Food Security IAP helps mainstreaming the environment in more production- and/or market-oriented ministries. This approach introduces new forms of interministerial partnerships involving the environment ministry—where the GEF operational focal point usually sits—and agriculture, livestock, or forestry ministries, and partnerships with the private sector and civil society organizations (CSOs). The aim of such an approach is to mainstream environmental issues more effectively in closely related production sectors, offering a science and evidence-oriented platform for South-South dialogue and meetings of child project partners.

A clear improvement for the IAPs compared with past programs is how the hub projects for each IAP are designed as separate coordination hubs. The evaluation of programmatic approaches in the GEF showed that program coordination arrangements have evolved over time, and the development of separate coordination hubs with dedicated budgets is a clear improvement. The innovation is how they function as capacity-building, coordination, and knowledge-support platforms or networks toward the child projects. IAPs success largely depends on the effectiveness and efficiency of the support function provided by the hub projects, as discussed in the following paragraphs.

The Cities IAP hub project, the GPSC, is designed to "provide expertise and knowledge support for the development and adoption of an evidence-based, integrated approach toward resilient, inclusive and sustainable cities." The GPSC is managed by the World Bank, operates out of Singapore, and draws upon an expanding circle of experienced sustainable cities networks, partners, and institutions. A resource team

comprising the World Resources Institute, C40, and ICLEI was a late addition to the GPSC through a stand-alone medium-size project (GEF ID 9666). Representatives of GEF Agencies involved in the Cities IAP Program voice their concern about the expectation that country child projects contribute financial resources toward the implementation of joint activities promoted by the GPSC that facilitate the knowledge capture and learning role. The resources currently devoted by the country child projects to the institutional capacity-building activities are already allocated as per child project budgets that are finalized and CEO approved. They do not include the costs of participation by city representatives in the multiple international training and learning events organized by the GPSC, or the costs of cofinancing other local activities that may result from GPSC initiatives, such as data collection, development of local indicators, preparation of urban sustainability action plans, and more.

The Commodities IAP hub project (Adaptive Management and Learning for the Commodities IAP, GEF ID 9179) aims to "provide overall coordination of the Program to ensure coherence and consistency, as well as communications and partnership building." This component will foster substantial knowledge management at the global level to advance the supply-chain approach for beef, soy, and oil palm and include a global community of practice to share best practices and promote learning, as well as a global research impacts platform to develop a robust and policy-relevant evidence base on the effectiveness of different voluntary sustainability standards for deforestation-free commodities. The hub project will function based on a continuous iterative learning and knowledge-dissemination component, which is a unique aspect and underpinning of the Commodities IAP Program. Although the sites chosen to test whether the production of the relevant commodities will demonstrate sustainable approaches are limited, the Commodity IAP Program's focus is on exchange of lessons and learning across the commodities and countries. National and global platforms and partnerships are good initiatives, but there is a tenuous link between platforms and the GEBs. It should be clear how the platforms and their activities contribute to realizing GEB targets.

The objective of the Food Security IAP hub project (GEF ID 9140) is to "reinforce applied knowledge aspects of institutional frameworks, scaling up, and monitoring and assessment of integrated approaches to food security in each and across all country projects in Sub-Saharan Africa." It will support countries in the dryland regions across Sub-Saharan Africa to integrate environmental management into investments for improving smallholder agriculture and food value chains. The project will serve as the basis for aligning country-level engagement with regional and global priorities to harness opportunities for fostering sustainability and resilience. A coordination unit will be established in Nairobi and hosted by the World Agroforestry Center (ICRAF) for technical and administrative support. As for the other two IAPs, the knowledge platform will require a strong commitment and support by all participating entities to provide the services and benefits it has been designed for. A stronger evidence base on the benefits of platforms would be beneficial to the program to judge whether they provide the momentum necessary to alter perceptions and activities associated with sustainable commodities.

BROADER ADOPTION

FINDING 5: Broader adoption has been emphasized in the design of the IAP Programs.

Programs are designed to achieve broader-scale and longer-term results. IAPs are no exception.

The quality at entry review of country child projects' documentation showed that all child projects have a plan for sustaining project interventions beyond the project's time frame. Almost all child project documentation provides evidence of specific measures for planned broader adoption of outcomes by stakeholders, and evidence of replication at a comparable administrative or ecological scale, and evidence of measures for scaling up interventions into larger geographical areas. Evidence of measures to help catalyze market transformation is visible in all child projects of the Commodities IAP and 7 of the 13 child projects of the Food Security IAP. Market transformation is not a specific goal of the Cities IAP (table 2.2). Several specific examples are described in annexes C, D, and E.

Broader adoption was also the main reason for countries to take part in the IAP Programs. Survey respondents were asked to select three main motivations for participating in the IAP Programs, and 71 percent of respondents indicated that developing models for replication, scaling up, or mainstreaming this pilot in future (emerging) projects or programs was one of their three. All respondents to the survey agreed or strongly agreed that the child projects will help the country scale up good practices.

A focus on broader adoption in stakeholders' reasoning to engage in the IAP Programs and a focus on broader adoption in project design is good, but it does not necessarily guarantee broader adoption. The evaluation of programmatic approaches in the GEF found that 31 percent of child projects intended to promote broader adoption, but only 13 percent took some concrete actions toward this, and 6 percent implemented actual elements of broader adoption (GEF IEO 2018).

MONITORING AND EVALUATION

FINDING 6: IAPs show well-designed M&E strategies, with some exceptions.

Monitoring and evaluation (M&E), a historically weak area in GEF programs in terms of its capacity to demonstrate program additionality, has been considered in the design of the three IAP Programs. The quality at entry review of project documentation shows that all child projects have

TABLE 2.2 **Quality at entry review: Percentage and number of IAP child projects with evidence of broader adoption**

	Cities		Commodities		Food Security	
Evidence of broader adoption	%	No.	%	No.	%	No.
Specific measures for planned broader adoption of outcomes by stakeholders?	91.7	11	100.0	5	100.0	13
A plan for sustaining project interventions?	100.0	12	100.0	5	100.0	13
Evidence of mainstreaming information, lessons, or specific results into laws, policies, regulations, programs, etc.?	75.0	9	100.0	5	84.6	11
Measures for replication at a comparable administrative or ecological scale?	83.3	10	100.0	5	100.0	13
Measures for scaling up interventions into larger geographical areas?	83.3	10	100.0	5	100.0	13
Measures to help catalyze market transformation?	25.0	3	100.0	5	53.8	7
Total *n*		12		5		13

an M&E strategy or plan, and most child projects have a specific grant amount allocation to M&E activities (table 2.3). Almost all survey respondents agree that M&E baselines have been established for the child projects. Just over 70 percent of survey respondents agreed that capacities have been developed to carry out M&E-related tasks.

While over 90 percent of survey respondents agreed that appropriate multifocal tracking tools have been developed for the IAP Programs and related child projects, alignment between program/project results frameworks and tracking tools in terms of outcomes and indicators can improve. When aiming for certain program/project-level results, a monitoring system needs to be in place with indicators that are adequate to track progress toward these results across scales. This is especially the case for the Cities IAP, where the quality at entry review showed that only 2 of the 12 child projects show alignment between program/project results frameworks and tracking tools in terms of outcomes and indicators (table 2.3). As for the M&E burden to countries, 81 percent of survey respondents agreed or strongly agreed that the IAP Programs and child projects are not significantly more demanding in terms of M&E, compared with similar stand-alone GEF projects.

To overcome the operational complexity of past programmatic approaches, the GEF-6 Programming Directions document recommended that only the lead Agency in these IAP Programs would be expected to develop a limited set of outcome indicators to track achievements (GEF 2014c). These indicators were expected to substitute for the traditional tracking tools and offer a simplified framework to tracking multifocal area results and against which projects submitted for GEF eligibility will be reviewed. In fact, the tracking tools have not been replaced and are present as such in all child projects. Only the Food Security IAP attempted to develop a multifocal tracking tool at the program level. Key program-level GEB and socioeconomic indicators were identified in a draft version of that tracking tool. In practice, several problems were reported in applying these indicators in the child projects (annex F).

FINDING 7: In the absence of set standards for calculating GHG emissions in the GEF, there are inconsistencies in the role, expression, and measurement of GEB targets in the IAPs, which risks hampering program-level M&E.

All three IAP Programs provide targets toward GEBs that for most part align with focal area objectives covered, but data on GEB targets is scattered throughout program and project documents. The PFDs are not a reliable source for GEB targets, lacking at times targets that should be covered in line with a program's focal area objectives, lacking targets altogether (Commodities IAP), and underestimating (Cities IAP) or overestimating (Food Security IAP) GEB targets, compared

TABLE 2.3 **Quality at entry review: Percentage and number of IAP child projects with M&E elements**

	Cities		Commodities		Food Security	
M&E element	%	No.	%	No.	%	No.
Does the project have a M&E strategy or plan?	100.0	12	100.0	5	100.0	13
Does the project have a grant amount allocated to M&E?	83.3	10	100.0	5	84.6	11
Is there alignment between the program/project results frameworks and tracking tools in terms of outcomes and indicators?	16.7	2	60.0	3	46.2	6
Total *n*		12		5		13

with targets reported in child projects' requests for CEO endorsements. There are also discrepancies in targets set between projects' requests for CEO endorsement and those reported in projects' tracking tools. It is not clear whether the GEB targets, irrespective of the document in which they are mentioned, are meant as aspirational goals or as hard targets.

There are variations in child projects' methods of calculating direct and indirect carbon dioxide equivalent (CO_2e) mitigated (GEB 4). Different periods of influence are being used in calculations, and different indirect bottom-up methods and poorly substantiated indirect top-down causality factors are being used. While there is STAP guidance on calculating GHG benefits for specific sectors, there are no set standards within the GEF on methods of calculating CO_2e. Set GEB targets should be realistic, reachable, and relevant toward the program's focal area objectives. Even if these were meant as aspirational goals, there should be a unified approach in tracking progress toward such aspirations.

2.3 Process

This subsection includes a review of the efficiency of the program and project design and launch process; the selection of participating countries and cities; GEF and non-GEF partners' comparative advantages, roles, and coordination in the GEF partnership; the process of engagement with key stakeholders; and funding and financial incentives.

PERFORMANCE OF THE DESIGN AND LAUNCH PROCESS

FINDING 8: It took 26 months to bring all child projects to the stage of CEO endorsement from PFD Council approval, and the process required significant front-end outreach efforts across countries and agencies.

It took exactly four years from IAP Program concept to starting implementation of child projects. Engagement with a wide set of stakeholders at the design stage and the complexity of the IAP Programs partly explain the four-year time frame. Other factors include technically complex multifocal integrated program designs, budget issues, selection criteria, and processes for both Agencies and of countries/cities, subcontracting; among others. Importantly, a lot of work in the IAP Programs is front-loaded, taking place in advance of Council approval of the PFDs.

When looking at the efficiency of the IAP design process, it took 26 months to bring all 30 child projects to the stage of CEO endorsement from PFD Council approval in June 2015. According to current Council-approved procedures for programmatic approaches, two GEF project cycle standards apply to child projects that are part of the three IAP Programs: (1) the commitment deadline before which the GEF Agencies are required to submit child project documents for Secretariat review for CEO endorsement, which was set for each IAP individually,[1] and (2) the 18-month project cancellation deadline, at which time a first submission for CEO endorsement should be received for a project not to be canceled (table 2.4).[2]

On average, it took child projects 14–15 months to reach commitment deadlines (table 2.5). The Cities IAP performed best. Five of the 12 child projects were submitted on time, and average delays were small. The Commodities IAP had most delays. All five child projects were delayed; four were delayed by two months or less. In general, the average

[1] Work program inclusion of the PFD took place in June 2015 for all three IAP Programs.

[2] GEF (2015f). There is a lack of clarity as to whether the Council decision rendered the commitment deadline irrelevant for the IAP Programs and related child projects. This review assumes that both deadlines apply.

TABLE 2.4 IAP Program deadlines

IAP Program	Commitment deadline		Cancellation deadline	
	Date	Months[a]	Date	Months[a]
Cities	July 16	13	Dec. 16	18
Commodities	June 16	12	Dec. 16	18
Food security	June 16	12	Dec. 16	18

SOURCE: GEF Project Management Information System.

a. Number of months from PFD inclusion in the work program to the deadline date.

TABLE 2.5 Timing toward commitment deadlines

IAP Program	Time to reach commitment deadline (months)			No. of projects delayed
	Shortest	Longest	Avg.	
Cities	10	18	14	7 of 12
Commodities	13	18	15	5 of 5
Food security	8	19	14	9 of 13

SOURCE: GEF Project Management Information System.

delay toward the commitment deadline was small for child projects of programs of this complexity.

On average, it took child projects 21 months to reach CEO endorsement, counted from the date of Council approval of the relevant IAP Programs' PFDs (table 2.6).

Almost all child projects submitted child project documents for Secretariat review for CEO endorsement by 18 months, the official deadline for project cancellation. Two child projects of the Food Security IAP Program were submitted at 19 months, though not canceled (figure 2.1).[3]

TABLE 2.6 Timing toward CEO endorsement deadline

IAP Program	Time to reach CEO endorsement deadline (months)			No. of projects delayed
	Shortest	Longest	Avg.	
Cities	19	26	21	12 of 12
Commodities	20	22	21	5 of 5
Food security	11	25	21	8 of 13

SOURCE: GEF Project Management Information System.

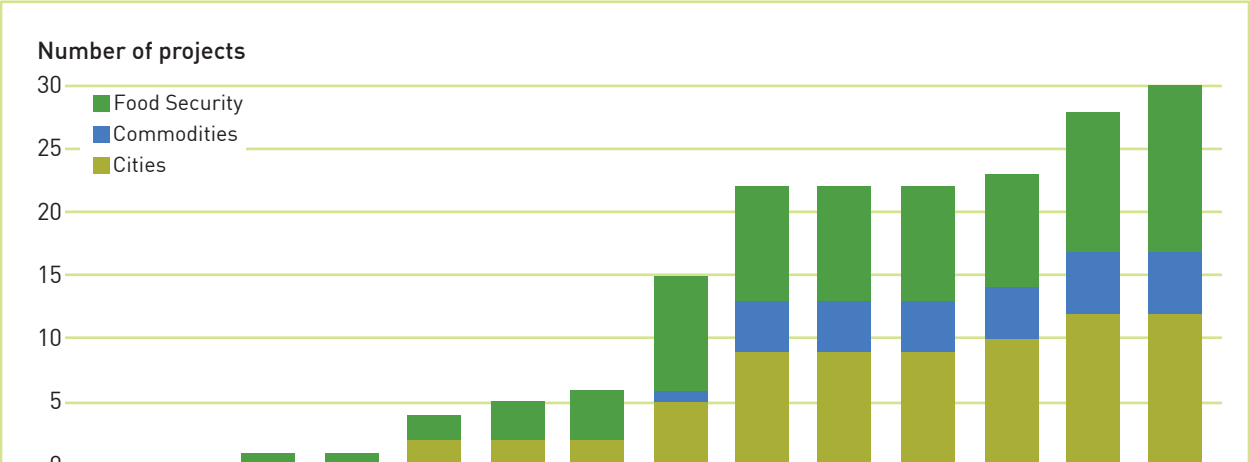
The three IAPs are new and complex programs—they are multifocal area, multicountry, and multi-GEF Agency endeavors. In addition, they all share a fourth dimension, the multiple scale: the ambition to work at local, landscape, national, and regional levels, which adds considerable challenges to the implementation of the three IAPs. To impart a comprehensive understanding of their intended scope and impact required additional up-front effort for outreach and education with agencies and countries. The additional effort was to be expected for new and complex programs.

The evaluation of programmatic approaches showed that complexity adversely affects efficiency and highlighted that, while complex programs may have better longer-term sustainability and better M&E design, they are substantially more difficult to execute than are simple ones (GEF IEO 2018). Some of the organizational complexity of the IAP Programs was perhaps avoidable—for example, the subcontracting of a large number of non-GEF knowledge partners as part of the hub projects, or child projects' budgeting toward hub project engagement. Minimizing the avoidable complexity would allow focusing on managing the needed technical/scientific complexity of these multifaceted endeavors, to decrease implementation delays and improve overall implementation efficiency.[4]

[3] The Secretariat interprets the 18-month deadline to mean that documents need to be received before 19 months, whereas the IEO sees the 18-month deadline as a requirement for documents to be submitted at 18 months exactly or earlier.

[4] Vidal and Marle (2008) indicate that 70 percent of identified complexity factors in development interventions are organizational.

FIGURE 2.1 Cumulative timing toward cancellation deadline



SOURCE: GEF Project Management Information System.

COUNTRY AND CITIES SELECTION

FINDING 9: Approaches for country selection varied across the three IAPs and were not always clear.

Different approaches were adopted for country selection. For the Commodities and Food Security IAP Programs, the selection of countries was based on sound criteria, but communication in the process was not sufficient. In the Cities IAP, the country selection process occurred via several informal, parallel consultations between GEF Secretariat, multilateral development banks, United Nations agencies, and national governments during the early project design phase. Participants agree that the Secretariat led critical decisions on which countries/cities to include in the program, often resulting from GEF higher management traveling and holding key meetings with decision makers, rather than based on a set of universal and agreed-upon criteria for the selection of countries/cities to be involved in each country. The PFD presents a set of child project selection criteria defined by the GEF Secretariat. These criteria were formalized only once the selection of project countries had already taken place. The evaluation team has found no evidence of the use of a set of universal and agreed-upon criteria for the selection of cities—including the type and number of cities to be involved in each country.[5] Interviews with key country stakeholders indicated that in-country city selection, while not being based on a universal and agreed-upon set of criteria, was often based on a careful consideration of levels of commitment, impact, potential, and readiness.

For the Commodities IAP, the Secretariat again led the process on the countries to be included, with proposals presented to the countries in the midst of designing the program. Based on the desire to include major commodities that cause deforestation, however, country coverage of the

[5] A background paper for the Sustainable Cities IAP Program's August 2014 consultative meeting proposed a universal set of 10 criteria for the selection of pilot cities and urban areas, but no evidence was found indicating that these criteria were used afterward in the actual selection of cities.

Commodities IAP is appropriate, as it includes primary producers of the targeted commodities. It is noted that the exclusion of consumer countries implies that the Commodities IAP lacks the ability to influence the primary markets of India and China, where, for example, most of the palm oil is consumed directly. The program is therefore seeking alternative measures to influence these markets. WWF-UNDP are planning work on the demand side with China, which will commence next year, and WWF is exploring opportunities for engagement in India.

Interviewed GEF Agencies questioned the appropriateness of the child project selection process and country choice in the Food Security IAP, which also was driven by the GEF Secretariat in this case. As noted by country-level interviewees, signing up countries requires a lot of competitive lobbying and the making of promises. Agencies stated that they incur high transaction costs persuading countries to sign up to a program. Reportedly, IFAD spent a considerable amount of time ensuring that its seven child projects were in the Food Security IAP, explaining that a lead Agency's investment in a programmatic approach makes sense only when it can obtain a reasonable portfolio.

Despite these criticisms, the process yielded a country selection that fulfills all the criteria established in the PFD of the Food Security IAP—namely, (1) agro-ecological coverage, (2) leverage and catalytic potential, and (3) government interest and institutional support. Boundaries were given by the targeted major agro-ecological geographies, mainly dryland ecosystems in Sub-Saharan Africa with long records of concerns about food security and environmental sustainability, located in the Sahel and eastern and southern African high- and lowlands. At the same time, the program builds on expressions of countries' interest and the experience of agencies active in, and outcomes envisaged by, "baseline projects"—that is, projects designed by the participating GEF Agencies with funds registered as the Food Security IAP Program's cofinancing that would have been implemented in participating countries irrespective of the IAP Program. It is noted that interviews revealed that the respective roles of the lead Agency and the GEF Secretariat in the Food Security IAP design and launch were unclear for too long. Concerns were raised on the limited communications from the Secretariat, the incorporation of executing agencies into the hub project, country selection, administrative aspects, and opportunities for interaction among child projects. Despite these concerns, the GEF and all the agencies involved are motivated about implementing the program at the hub project, country, and field levels.

COMPARATIVE ADVANTAGE, ROLES, AND COORDINATION

For many GEF Agencies and executing partners involved in the IAP Programs, the most important role for the GEF Secretariat is that of a convener. In the Food Security IAP, for example, the GEF offers participating agencies, countries, and other interested parties a unique opportunity to develop a regional forum for coordination, common strategy development, specific technical and institutional assistance to countries through the hub project, and a strategic learning agenda. This will allow the GEF and its partners to take advantage of the economies of agglomeration associated with such close and dedicated networks. The GEF endeavors in the Food Security IAP to take a strategic approach to partnering and effective mainstreaming, moving out of the environmental niche and bridging the conservation–food security divide in broader resilience programs. The GEF also has experience taking an integrated and systems approach to tackling a broad range of issues with multiple benefits, in addition to a

proven record in funding demonstration and pilot activities. The GEF's engagement with financial intermediaries, enabling policy environments and institutional strengthening, also lends it comparative advantage.

The GEF took full advantage of its convening role by taking a proactive role in IAP design. Surveyed country stakeholders confirmed this increased Secretariat role in the IAP Programs. Eighty-eight percent of respondents indicated that with GEF-6, the Secretariat has engaged more with countries in designing projects and programs. Ninety-two percent of respondents agreed or strongly agreed that the Secretariat has actively promoted the IAP Programs and child projects in the country. Eighty-seven percent of respondents agreed or strongly agreed that the GEF Secretariat has directly engaged in dialogue with country decision makers in the selection of GEF Agencies for the IAP child projects, to encourage the participation of newer GEF Agencies. Ninety-three percent of respondents agreed or strongly agreed that good coordination and technical support were received from the GEF Secretariat during project design and launch. Interestingly, 91 percent of respondents agreed or strongly agreed that the amount of child project documentation needed at the planning and approval stages were equal to that of comparable stand-alone GEF projects.

GEF Agency roles in the three IAPs followed clear criteria, and selection was based on their respective comparative advantage. Ninety-five percent of survey respondents agreed or strongly agreed that the relevant GEF Agencies with a presence in the country have been involved in IAP Programs and child projects' design, based on their comparative advantage. Indeed, the three IAPs are characterized by a large range of GEF Agencies and executing partners. All of them are generally individually well qualified, but their number increases the multitude of institutional preferences and requires greater planning and coordination, as further discussed.

FINDING 10: There has been some competition for the lead Agency position, and the role of the consultations in the lead Agency selection process was not always clear.

The selection of the Cities IAP lead Agency was a complex process involving multiple conversations and negotiations between the GEF Secretariat and management of the World Bank's urban sector. Participating agencies mostly concur that the selection of the World Bank as the main implementing Agency was conducted in a non-transparent manner. The definition of the mandate of the World Bank as lead Agency for the Cities IAP, its accountability toward the GEF, and its authority, if any, over the other GEF Agencies in the collective pursuit of the accomplishment of the Cities IAP Program goals and expected outcomes were never defined clearly and remain so at the onset of the implementation phase. The current "partnership arrangement" is based primarily on the GEF and World Bank investing their credibility and reputation in the success of the Cities IAP, rather than on set rules defining the responsibility of each institution.

Irrespective of the process described above, the World Bank has a definite comparative advantage as GEF's lead Agency in the Cities IAP Program, given its overall profile, standing, and engagement both in urban development and in the pursuit of sustainable development and climate action. Three clear comparative advantages emerge from the Cities IAP partnership: (1) its ambition to work with subnational governments to connect cities to the wider global SDGs, (2) the development of the GPSC to leverage the collective experience and knowledge of global sustainable and resilient cities networks, and (3) the partnership's ability to bring international financial institutions to the

table and align money with sustainable city projects. Comparative advantages of GEF Agencies involved in the Cities IAP are discussed in detail in annex D.

The self-selection of the five GEF Agencies in the Commodities IAP (UNDP, CI, WWF, World Bank/IFC, and the UNEP Finance Initiative) considered their experience in the subject matter, their country presence, and their credibility with other stakeholders. As told to evaluators, the responsibility of the lead Agency, UNDP, was established early in the project and agreed to by the other Agencies. In-country arrangements for project execution involve national ministries (or equivalent) of agriculture, forestry, and environment, and ministries associated with the operational and political focal points in the four countries. The GEF's convening power has allowed the Commodities IAP to put in place collaborations and networks that envision it being able to play a catalytic role, particularly in leveraging private sector engagement while generating GEBs across different focal areas. Collaborative partnerships within the program are a conduit for driving sectorwide transformation and provide a testing ground for emerging models or concepts. This is the premise on which the design is based; the aim is to create a beacon effect that can spur broader adoption of the integrated approach and to incorporate scientific findings.

In the Food Security IAP, the lead Agency, IFAD, offers not only cofinancing and leverage but also technical and organizational experience and institutional capacity. This is fully agreed upon by the other GEF Agencies involved in the program. IFAD's division in charge of the Food Security IAP, the Environment and Climate Division, brings along very recent and ongoing experience with the Adaptation for Smallholder Agriculture Programme, a $366 million investment in 40 Sub-Saharan Africa countries, begun in 2012, aimed at operationalizing climate change adaptation with rural clients. IFAD cooperates with the Consultative Group for International Agriculture Research (CGIAR) centers on climate change in value chains. However, IFAD cannot deliver the hub project directly, due to its internal procedures. For this reason, IFAD subcontracted with a number of GEF and non-GEF Agencies for specific tasks related to the hub project and asked ICRAF to host the coordinating unit of the hub project in its headquarters in Nairobi. In addition, to be closer to the ground in its supervisory and liaison work and to the program coordination unit in Nairobi, IFAD is placing a full-time staff person in its Addis Ababa office. ICRAF has limited experience in the management of GEF programs, however, and its performance in a coordinating role will need to be assessed at the midterm review.

ENGAGEMENT OF A BROADER CONSTITUENCY

FINDING 11: The three IAPs draw on the comparative strengths of several agencies and other experienced think tanks.

Part II of the Draft Programming Directions document of August 2013 contains a list of key activities associated with, and a preliminary list of institutions that can potentially be consulted for the design of the Cities IAP Program (GEF 2013). The May 2014 Programming Directions document also lists a series of international meetings where consultations were planned to take place (GEF 2014c). The level of engagement with subnational/city-level entities and CSOs is difficult to determine, but based on interviews with key stakeholders, it comes across as relatively modest at the design stage. The child projects in South Africa (GEF ID 9145) and in Latin America (Brazil, Mexico, and Paraguay, GEF IDs 9142, 9649, and 9127, respectively) demonstrate the most robust engagement with CSOs and local interest groups. These engagements provide learning lessons for peer-to-peer learning across countries via the GPSC.

Stakeholder engagement and partnership for the Commodities IAP Program was achieved through a two-pronged approach: one is a participatory design process, and the other is a stakeholder outreach process (GEF 2015b). The design phase of the IAP Program incorporates a participatory process that involves countries, GEF agencies and a wide range of stakeholders. The Commodities IAP has undertaken extensive external stakeholder consultations and outreach to industry and private and public organizations to gain a greater understanding of how business tackles deforestation. Further, given the different complexities and challenges in each commodity, separate commodity platforms and relevant roundtables are interwoven into the child projects to create collaborative partnerships. The stakeholder outreach process is reflected in the hub project, Adaptive Management and Learning for the Commodities IAP. The AML project also acts as a platform for discussions among key partners, such as the United Kingdom's Department for International Development, the Sustainable Trade Initiative (IDH), UN REDD+, Forest Trends, and others, to identify collective environmental impact targets. The trade-offs between broad stakeholder engagement and efficiency have not been well assessed, and although partnerships have emerged as a favored approach and are critical to the program, a wider set of stakeholders has the potential to make the program coordination cumbersome and challenging. The Commodities IAP child project focusing on production intends to engage over 135 entities, including governmental bodies, private sector nongovernmental organizations and CSOs, platforms and collaboration forums, and development partners. The transaction costs associated with coordinating stakeholder engagement during the design phase are undoubtedly high.

The Food Security IAP incorporated partners that are relatively new to agriculture (CI and UNIDO) in the GEF and external entities (ICRAF and the Alliance for a Green Revolution in Africa [AGRA], which had previously been engaged in GEF agricultural projects to a limited extent, subcontracted by IFAD and UNDP, respectively) as executing agencies. Many of these entities occupy positions of responsibility in the execution of important tasks through the hub project. ICRAF, CI, and AGRA participated in the consultations and accepted a definite role in the program in late 2016 to add specialized knowledge in the conservation and value-chain sides of household, community, and ecosystem resilience. By and large, GEF Agencies and executing partners are individually well qualified, but their number increases the multitude of institutional preferences and the complexity of planning, coordination, and arriving at common and synergistic approaches. This is compounded by the multicountry nature of the program, and by the multifocal and multiscale approach. Interviewed participants view the final hub management structure as overly complex and fragmented, with resources spread too thin to make a real difference (annex F).

Engagement of a broader constituency in the IAP Programs aims to go beyond GEF Agencies and executing agencies, particularly by involving the private sector. The GEF 2020 strategy document highlights the need to enhance engagement with the private sector as a key component of its Core Operational Principle to "mobilize local and global stakeholders" (GEF 2014a, 29). It recognizes that private enterprises, as "the dominant source of economic activity, must be encouraged to pursue commercially viable activities that also generate global environmental benefits"(GEF 2014a, 18). Almost 90 percent of survey respondents agreed or strongly agreed that special efforts were made to integrate private sector actors into aspects of the child projects.

Despite the emphasis on the private sector in the IAPs given in GEF-6 Programming Directions, the inclusion of the private sector is not visible in child projects' documentation reviewed. The Cities IAP's PFD gives modest attention to private sector involvement. No collaborative partnerships with the private sector are identified in the design and start-up beyond consultations with the World Business Council on Sustainable Development (GEF 2015d). The Côte d'Ivoire child project (GEF ID 9130) includes one component that focuses on industrial development. As expected, the request for CEO endorsement discusses private sector involvement in some detail, and two companies have been identified as private sector partners to carry out specific activities. The project documents of the China, Malaysia, and Mexico child projects (GEF IDs 9223, 9147, and 9649, respectively) discuss private sector engagement but do not go into detail. If projects envisage developing collaborative partnerships with private sector entities—whether formal, informal, or aspirational—such engagements need to be made explicit in the project documentation. The Commodities IAP was able to demonstrate these intended engagements to a greater extent through child project documentation in comparison with the other two IAPs.

The Commodities IAP also attempts to engage companies on their journeys and collaborate in ensuring that they can meet their supply-chain commitments. To that end, the program has leveraged strong private sector participation in the design. Private sector companies see benefit in being involved at an early stage of the Commodities IAP, but the absence of major palm oil consumers, such as India and China, and a major producer, Malaysia, is notable. Private sector cofinancing commitments have yet to materialize. Importantly, while multinational private sector companies have been actively involved in the design of the Commodities IAP, smaller private companies may need specialized attention for participation. Also, private sector local companies may have the willingness but not the capacity to undertake the obligations required under the IAP, although it is extremely important to involve them, as a bottom-up approach is essential for sustaining the program locally and across supply chains.

As for the Food Security IAP, its PFD is also particularly ambitious on the involvement of the private sector and CSOs, aiming at (1) setting up public-private partnerships to address access to input and output markets, (2) establishing payment for ecosystem services and other innovative funding mechanisms as good examples of governments and the private sector working together, and (3) increasing the channeling of private sector resources to pro-poor and pro-environment value chains. More specifically, design documents of seven child projects concretely refer to engagement with, and roles for, the private sector (Ethiopia, Kenya, Malawi, Nigeria, Senegal, Swaziland, and Uganda, GEF IDs 9135, 9139, 9138, 9143, 9134, 9133, and 9137, respectively). Of these, only Kenya, Malawi, and Uganda provide some details about the nature of engaging the private sector. In Kenya, the transfer of responsibilities for watershed management to a semiprivate water fund is an integral part of the child project. Malawi refers to private sector engagement in the context of the baseline IFAD project, which plans to involve CSOs and private sector service providers to pilot drip irrigation. A multistakeholder platform is planned in Uganda, with the hope that private sector participation will contribute to an environment-friendly organization of trade in input supplies, food crops, charcoal, and other value chains.

From the institutional partners' point of view, almost all survey respondents agree or strongly agree that their country has been able to bring together the various responsible ministries,

agencies, and other actors due to the IAP Programs. Specific measures are planned at the country level to further enhance cooperation across different ministries, agencies, and other stakeholders. Country-level buy-in of the intersectoral approach introduced by the IAP Programs is important, as it constitutes one of the main strategies for achieving impact at scale. Almost all child projects mention ownership and buy-in from in-country stakeholders in the project documentation.

FUNDING AND FINANCIAL INCENTIVES

FINDING 12: Set-aside funds provided incentives for countries to commit STAR resources to the program, but most of the financial resources to the IAP Programs were already committed.

The overall amount of financial resources allocated to the three IAP Programs is $3.75 billion, of which about $284 million is GEF grant financing and $3.47 billion is cofinancing (table 1.2). The GEF appears to have mobilized a vast amount of additional financial resources for the implementation of, or due to the existence of, the GEF projects being developed. An analysis of the financial allocations to the various country child projects, however, shows that GEF grants are complementary to other financial resources, most of which were already allocated to their intended purposes of food security improvements, integrated natural resource management, or urban infrastructure provision. While this is not a negative aspect, as the GEF successfully fulfilled its convening role in mobilizing additional financial resources, the GEF was not the primary initiator in funding these programs. For example, in the case of the Food Security IAP, 8 of the 12 child projects (7 by IFAD and 1 by the World Bank) were designed in parallel with the respective Agencies' loans that had already been programmed. This also indicates that a good part of the IAP Programs' interventions on food security improvements, integrated natural resource management, and urban infrastructure provision would also have taken place without the GEF, but efforts are now more integrated, with a strong emphasis on AML and knowledge exchange.

The biggest cofinancing source for all three IAP Programs are the governments of the participating countries, accounting for 65.4 percent of cofinancing. The Food Security IAP Program has the biggest share of GEF Agency contributions in relative terms, covering 31.5 percent of cofinancing, and overall GEF Agency contributions account for almost 22 percent of cofinancing. The two sources contributing the least are the private sector and the beneficiaries (table 2.7).

Looking at the type of cofinancing, the biggest amount of cofinancing is in the form of loans, accounting for 55 percent of all cofinancing. The second biggest type of cofinancing is in-kind contributions, accounting for 26 percent of all cofinancing. The Commodities IAP depends on in-kind contributions for almost 80 percent of all cofinancing. In-kind contributions account for 46 percent of all cofinancing for the Food Security IAP (table 2.8). It is noted that the Commodities IAP Program receives no private sector cofinancing, which is surprising given the nature of the program, and no loans.

In-kind contributions amount to $912 million, representing 26 percent of total cofinancing, but child project documents do not demonstrate how the related monetary values have been established, nor do they present a way to track in-kind contributions during project implementation. In most cases, the project budgets presented cover exclusively the detailed allocations of GEF grants; only limited explanation are given for how the cofinancing amounts will contribute to project implementation.

TABLE 2.7 IAP Program cofinancing by source

Source	Cities		Commodities		Food Security	
	Million $	%	Million $	%	Million $	%
GEF Agency	477.8	19.8	32.3	12.3	247.6	31.5
Donor agency	295.0	12.2	5.1	1.9	2.0	0.3
Government	1,615.1	66.8	177.8	67.5	475.5	60.5
Private sector	23.2	1.0	0.0	0.0	15.3	1.9
CSO	4.8	0.2	38.3	14.5	31.0	3.9
Beneficiaries	0.7	0.0	10.0	3.8	14.9	1.9
Total	2,416.6	100.0	263.5	100.0	786.2	100.0

SOURCE: GEF Project Management Information System.
NOTE: Based on child project financing data.

TABLE 2.8 IAP Program cofinancing by type

Cofinancing by type	Cities		Commodities		Food Security	
	Million $	%	Million $	%	Million $	%
Loan	1,739.7	72.0	0.0	0.0	179.9	22.9
Grant	340.5	14.1	53.0	20.1	235.6	30.0
In-kind	336.5	13.9	210.5	79.9	364.9	46.4
Guarantees	0.0	0.0	0.0	0.0	2.3	0.3
Unknown at this stage	0.0	0.0	0.0	0.0	3.5	0.4
Total	2,416.6	100.0	263.5	100.0	786.2	100.0

SOURCE: GEF Project Management Information System.
NOTE: Based on child project financing data.

While the GEF-6 Programming Directions document talks about "crowd-in private sector engagement to enhanced financial leverage" as a key feature of IAP activities (GEF 2014c, 175), the document is not clear whether that engagement and leveraging should translate into private sector cofinancing. In fact, it does not. Private sector cofinancing in the three IAP Programs is very limited (table 2.9). Of the $38.5 million in private sector cofinancing, 52 percent is in loans, 31 percent is grant money, and 17 percent is listed as in-kind contributions. Cities IAP child projects in Côte d'Ivoire, India, and Senegal (GEF IDs 9130, 9323, and 9123, respectively) receive private sector cofinancing. The Cities IAP Program's PFD

TABLE 2.9 IAP Program private sector cofinancing

IAP Program	Cofinancing (mil. $)		Private sector cofinancing as % of total
	Total	Private sector	
Cities	2,416.6	23.2	1.0
Commodities	263.5	0.0	0.0
Food security	786.2	15.3	1.9
Total	3,466.4	38.5	1.1

SOURCE: GEF Project Management Information System.
NOTE: Based on child project financing data.

anticipated private sector cofinancing in China and Mexico (GEF IDs 9223 and 9649, respectively), but there is no evidence that this materialized. No

evidence of private sector cofinancing was found in the Commodities IAP Program. Kenya and Swaziland (GEF IDs 9139 and 9133, respectively) are the only child projects of the Food Security IAP Program that secured private sector cofinancing, while the Malawi child project (GEF ID 9138) mentions a potential private sector investment that has not yet been secured.

Both the Cities IAP and the Food Security IAP Program link IAP set-aside support to the STAR allocations (table 2.10); countries can access IAP support from these two programs as a matching incentive with their own STAR resources if they agree to implement activities in line with the objectives set for these two programs (GEF 2014c). The GEF offered a dollar-to-dollar financial incentive for countries to sign up for these two IAP Programs—one dollar would have to come from the participating country's STAR allocation, while the other would come from a set-aside that the Council agreed to for the IAP.

Only the child projects in Burundi and Swaziland (GEF IDs 9178 and 9133, respectively), as part of the Food Security IAP, have fully flexible STAR allocations (GEF 2014d), meaning that they can shift programming resources across the three focal areas of biodiversity, climate change, and land degradation (GEF 2014b). The STAR allocations used toward the Food Security IAP child projects in these two countries is within the allocation for each focal area, meaning that for the Food Security IAP Program it is not necessary for Burundi and Swaziland to make use of their STAR flexibility. Besides, the quality at entry review of country child projects' documentation shows that only the IFAD project document of the Malawi child project (GEF ID 9138) under the Food Security IAP mentions the STAR allocation. This is surprising, given that 34 percent of survey respondents indicated that accessing funds beyond available STAR resources is one of their three main motivations for taking part in the IAP Programs.

While applicants were required to match the IAP allocations on a dollar-for-dollar basis out of their regular national STAR allocation, most countries ultimately opted to match at a higher ratio (GEF 2015c, 2015d). Two child projects under the Cities IAP, in Senegal and Côte d'Ivoire (GEF IDs 9123 and 9130, respectively), do not match their IAP allocations on a dollar-for-dollar basis. In the case of the Senegal project, the match is $2.9 million short. In the case of the project in Côte d'Ivoire, the difference is less than $25,000.

It's worth noting that despite the acknowledgment of the importance of urban resilience as part of the urban sustainability agenda, the Cities IAP could not draw any resources toward adaptation from the Least Developed Countries Fund and the Special Climate Change Fund. This was due in part to the unpredictable nature of replenishments for

TABLE 2.10 STAR allocations in Cities and Food Security IAP Programs

STAR by focal area	Cities	Food Security
Biodiversity (million $)	8.0	14.3
Climate change (million $)	81.3	11.3
Land degradation (million $)	1.0	31.1
Total (million $)	90.3	56.7
As % of total GEF financing for the IAP Program	65.8	53.3
As % of total STAR allocations available to participating countries	22.9	37.2

SOURCE: GEF Project Management Information System.

these two funds and to fund-specific processes for project selection that do not line up with the IAP Programs' processes and time frames. The evaluation team was not able to assess how many GEF Agencies submitted to the Least Developed Countries Fund or Special Climate Change Fund for cofinancing of their Cities IAP urban-resilience components as a stand-alone project, but the team learned that the Vietnam project led by the Asian Development Bank (GEF ID 9484) obtained a Special Climate Change Fund grant to support its resilience activities, awarded based on a separate funding application (GEF ID 6924).

The Commodities IAP Program is not reliant on STAR allocations. All funds come from IAP-dedicated focal area set-asides. Based on interviews, the associated global conventions appear to be comfortable with the amounts allocated toward this program given the relatively small percentage of total focal area funds. Should these amounts become more significant in future integrated programming, the conventions would expect to weigh in more explicitly at the design stage to ensure that guidance from the conventions is being adhered to in the context of integrated programs. As told to evaluators, as a global program focused on a supply chain that has multiple entry points, countries were reluctant to invest their STAR resources to fund global work, particularly that with a large knowledge-management, communities of practice, and partnership-strategy component—for example, consumer countries not wishing to dedicate STAR resources for the generation of GEBs in producer countries. Moreover, the GEF deemed it more strategic to use set-aside funds in countries along the supply chain and identify pinch points where GEF interventions could have the most impact. Countries' unwillingness or inability to use their STAR allocation for the Commodities IAP Program is related to other forestry programs that were using, or are planned to use, STAR. The project Strengthening Forest Area Planning and Management in Kalimantan (GEF ID 6965) in Indonesia achieves this purpose, although this is the only project/country that seems to have done so.

More countries showed interest than eventually could join the Food Security IAP Program. Financial incentives were not the main reason. Surveyed country stakeholder data indicates that the primary motivation for participation in the program through a child project was to develop models for replication (74 percent), followed by participation in regional initiatives (43 percent), and expanding funding resources for ongoing projects (43 percent). There is no evidence either that "inverse incentives" were at play for most of the countries through the set-asides—that is, that the additional funds may have been paramount in decisions to join and allocate country STAR funding to the program. GEF Agencies noted in interviews that several countries had a keen interest in South-South interactions and in gaining experience and track records in environmental and climate change programs to facilitate access to potential future environmental or climate change funding.

Assessing how much IAP set-asides have contributed or even maximized cofinancing and leverage for the child projects is complicated by the fact that, as described earlier, several other factors largely influenced country selection and cofinancing. The role of IFAD in the program as provider of loans is important. For child projects in countries implemented by other United Nations Agencies, cofinancing is high, but in three of four countries, almost all cofinancing is in-kind, provided mostly by governments through other projects. The exception is Uganda, where cofinancing consists of $45 million from a government grant and $13 million from UNDP.

2.4 Crosscutting issues

This subsection focuses on how much IAPs address gender and resilience.

GENDER

FINDING 13: Overall, gender has been considered in most child projects, and more than half have a gender mainstreaming strategy or plan in place.

The IAP approach focuses on gender mainstreaming mainly through analyses to identify and account for gender differences in needs, roles, and responsibilities, and opportunities for equal engagement of women and men. A quality at entry review of project documents assessed whether child projects across the three IAPs considered gender, planned or performed a gender analysis, and developed a gender strategy or action plan. The review found that most child projects aim for gender-specific objectives or activities. Project context descriptions for Cities IAP and Commodities IAP child projects, however, do not provide more gender information, and gender is equally absent in the partner descriptions for most child projects (table 2.11).

A gender analysis has been completed for most child projects for the Cities IAP and Food Security IAP (table 2.12).

The development of a gender mainstreaming strategy or plan is either planned or completed for most child projects. The Food Security IAP is scoring best on this indicator; 77 percent of child projects had developed a gender mainstreaming strategy or plan at CEO endorsement. For the Commodities IAP, a program-level gender mainstreaming strategy and action plan was developed, informing the actions that will be taken at the level of each child project. Furthermore, 60 percent of Commodities IAP child projects had developed a gender mainstreaming strategy or plan at CEO endorsement. For the Cities IAP Program, 42 percent of child projects had developed a gender mainstreaming strategy or plan at CEO endorsement (table 2.13).

Of the 30 child projects, only three were assessed as gender-blind in the quality at entry review. The Food Security IAP's child project in Ghana (GEF ID 9340) had no mention of gender. The Cities IAP's child project in China (GEF ID 9223) mentioned gender as part of lessons learned from previous projects but did not show that it applied any of these lessons to its own project's design, and the Cities IAP's child project in Mexico (GEF ID 9649) concluded that no gender equality and women's empowerment issues applied to the project. Twenty-three percent of projects were rated gender-aware, while most projects received gender-sensitive or gender-mainstreamed ratings (table 2.14).

Country stakeholders confirm these overall positive findings. Over 90 percent of survey respondents agreed or strongly agreed that special efforts have been made to analyze gender aspects in IAP Programs' child projects. Ninety-five percent of respondents agreed or strongly agreed that women will participate in the child projects as beneficiaries with specific targets set, and therefore the projects include gender-specific indicators.

Most Cities IAP child projects limit the gender discussion to the gender analysis or one activity. Exceptions are the Vietnam child project's (GEF ID 9484) commitment to a gender-focused loans program, and the Senegal child project's (GEF ID 9123) recruitment of female entrepreneurs and female-run businesses. Three child projects (Brazil, South Africa, and Senegal, GEF IDs 9142, 9145, and 9123, respectively) commit to hiring a gender specialist. All projects, except Mexico and China (GEF IDs 9649 and 9223, respectively), have included gender results and disaggregated data in the results framework and set targets for female

TABLE 2.11 Percentage of IAP child projects' project documentation with gender consideration

IAP Program	In context description	In partner description	In project description	In objectives/activities
Cities	25.0	16.7	58.3	91.7
Commodities	40.0	0.0	100.0	80.0
Food Security	84.6	15.4	92.3	100.0

TABLE 2.12 Quality at entry review: Percentage and number of IAP child projects intending gender analysis

	Cities		Commodities		Food Security	
Status of gender analysis	%	No.	%	No.	%	No.
No mention of a gender analysis	25.0	3	20.0	1	23.1	3
Gender analysis is planned	0.0	0	40.0	2	0.0	0
Gender analysis is completed but not shared	58.3	7	40.0	2	30.8	4
Gender analysis is completed and available	16.7	2	0.0	0	46.2	6
Total *n*		12		5		13

TABLE 2.13 Quality at entry review: Percentage and number of IAP child projects with gender mainstreaming strategy or plan

	Cities		Commodities		Food Security	
Status of mainstreaming strategy or plan	%	No.	%	No.	%	No.
No mention of a mainstreaming strategy or plan	25.0	3	0.0	0	7.7	1
Development of a mainstreaming strategy or plan is planned	33.3	4	40.0	2	15.4	2
Mainstreaming strategy or plan is completed but not shared	8.3	1	0.0	0	38.5	5
Mainstreaming strategy or plan is completed and available	33.3	4	60.0	3	38.5	5
Total *n*		12		5		13

TABLE 2.14 Quality at entry review gender ratings: Percentage and number of IAP child projects

	Cities		Commodities		Food Security	
Gender rating	%	No.	%	No.	%	No.
Gender-blind	16.7	2	0.0	0	7.7	1
Gender-aware	16.7	2	20.0	1	30.8	4
Gender-sensitive	33.3	4	20.0	1	23.1	3
Gender-mainstreamed	33.3	4	60.0	3	38.5	5
Total *n*		12		5		13

participation in training. Women's organizations are not included in coordination or technical advisory groups. There is discussion in the gender analyses of including women in decision-making roles in the projects, but there are no firm commitments to doing so in the project coordination plans.

The Commodities IAP expects to monitor (1) inclusion of women-led farms in supply chains, (2) representation of women in training and capacity-building efforts, and (3) achievement of equitable workload balance, but there is little evidence in program or child project design of the methodology to be used to calculate the equitable workload balance indicator. At the project level, gender issues are considered to varying degrees. All child projects mentioned gender analysis or one gender-related activity. The Enabling Transactions—Market Shift to Deforestation Free Beef, Palm Oil and Soy child project (GEF ID 9696) incorporates specific project activities that have been developed to target women. The Generating Responsible Demand Project child project (GEF ID 9182) aims to conduct a special consumer campaign for Indonesia based on gender-balanced focus groups. The AML child project, the production child project, and the Brazil child project (GEF IDs 9179, 9180, and 9617, respectively) have included disaggregated indicators and targets in their project results frameworks. Inclusion of women in decision-making roles/governing bodies was mentioned in the production and AML child projects.

The quality at entry review provides strong evidence that the Food Security IAP Program has everything in place to deliver on gender mainstreaming. A full-time gender expert will be recruited in the hub project to promote the program gender agenda across its child projects, with clear terms of reference. In 10 of the 13 child projects, a gender analysis was completed at design, and a gender mainstreaming strategy has been developed for 7 child projects. Plans for developing a gender mainstreaming strategy exists for four additional child projects. All project documents contain gender-specific objectives and activities, and almost all of them deal with gender questions in the context and project description sections. Three child projects do not appear to have involved gender experts in project design, and no immediate record could be found in the project documents about women being directly involved in project design. Notably, with the exceptions of the child projects in Burundi and Uganda (GEF IDs 9178 and 9137, respectively), child projects do not contain any gender-disaggregated or gender-specific indicators in the M&E tracking tool. This primarily reflects the fact that the draft tracking tool proposed by the GEF Secretariat does not contain any gender-specific indicators.

There are many country-specific examples in the Food Security IAP of attention paid to gender. GEF resources in the Niger child project (GEF ID 9136) are planned to support women's associations for gardening and low-carbon technologies, including the use of solar pumps. In the Malawi child project (GEF ID 9138), village natural resource management committees will consist of up to 75 percent women. The child project provides funds for strengthening leadership by women through these committees. Women are also going to be strongly represented in the catchment management committees. The Ethiopian child project (GEF ID 9135) plans to "establish women as leaders in environmental protection" (GEF 2016b, 36). This objective is backed up by a detailed set of activities.

2.5 Resilience

FINDING 14: Resilience considerations—in terms of risk management, as a cobenefit, or integrated into a multiple benefits framework—are embedded in the IAP Programs.

Resilience is described as an integrating concept in almost all child projects' requests for CEO endorsement (table 2.15).

Resilience was assessed against three core components: resilience in a static system/engineering sense, (2) resilience as incremental change, and (3) resilience as transformational change (Béné et al. 2012; Béné et al. 2017). While these three components normally interact, the assessment looked at which was the overarching component in each child project. Resilience as transformational change was found to be the overarching component (table 2.16).

Resilience was not generally found as a stand-alone item in project cost projections or results frameworks indicators. This is explained by the fact that resilience is considered integrated into a multiple benefits framework and with the main component being transformational change. Overall, the evaluation found that the GEF does not have its own standardized framework or guidelines for addressing resilience. Thus, the issue is left to individual Agencies, which rely on their frameworks for the integration of, for example, adaptation, and depend on their definition of resilience, which could either be formulated more broadly or focus specifically on climate resilience.

Over 90 percent of survey respondents agreed or strongly agreed that child projects have made special efforts to analyze resilience of households and ecosystems, and the projects include resilience indicators and targets at the household and ecosystem level, but only 30 percent of child project documents mention the Resilience, Adaptation Pathways, and Transformation Assessment (RAPTA) framework and related guidelines (GEF STAP 2016b). Developed by STAP with help from a research team from the Australian government's Commonwealth Scientific and Industrial Research Organization, RAPTA was meant to be used as a blueprint for designing and implementing child projects by applying adaptation and transformation principles to maintain household, community, and ecosystem resilience in the face of climate change and environmental degradation. Only few child projects tested it, as discussed in the following paragraphs.

TABLE 2.15 **Consideration of resilience in percentage and number of IAP child projects**

	Cities		Commodities		Food Security	
How is resilience considered?	%	No.	%	No.	%	No.
Resilience as risk management	0.0	0	20.0	1	0.0	0
Resilience as specific cobenefit	0.0	0	0.0	0	0.0	0
Resilience integrated into a multiple benefits framework	100.0	12	80.0	4	100.0	13
Total *n*		12		5		13

TABLE 2.16 **Core components of resilience in percentage and number of IAP child projects**

	Cities		Commodities		Food Security	
Key element of resilience as concept	%	No.	%	No.	%	No.
Resilience in a static system sense	0.0	0	20.0	1	0.0	0
Resilience as incremental change	16.7	2	0.	0	15.4	2
Resilience as transformational change	83.3	10	80.0	4	84.6	11
Total *n*		12		5		13

Resilience is used as core concept in the South Africa, Vietnam, and Senegal child projects (GEF IDs 9145, 9484, and 9123, respectively). Vietnam is the only project explicitly mentioning the RAPTA guidelines and STAP publications in project documentation as influencing their approach to resilience. Resilience is prominent in the Brazil and Malaysia child projects (GEF IDs 9142 and 9147, respectively). The RAPTA framework is referenced in the remaining Cities IAP child projects but not engaged with in the elaboration of the projects. The child projects' focus is almost exclusively on climate resilience. Additionally, Malaysia frames resilience as a by-product of green economic growth, and South Africa frames it in terms of socioeconomic development and biodiversity in urban food production.

Climate change and associated extreme events significantly affect agricultural production, leading to pressure to expand production and reducing support for setting aside forests of high conservation value and for sustainably sourced commodities, undermining the ability of the Commodities IAP to achieve expected impacts. The Commodities IAP Program has undertaken an analysis of risks at the level of each child project and for the program as a whole. Risk adaptation measures for the risks are proposed, although resilience does not appear to be a central feature of the Commodities IAP. While there is a recognition of the issues and trade-offs affecting resilience of landscapes, and recognition of the risk of a prolonged commodity downturn resulting in low margins and reduced corporate investments in sustainable commodities, short-term shocks have not been extensively considered in the design. On the latter element, there is an assumption that commodity price volatility can be mitigated by the more cost-effective production resulting from good agricultural practices, which will make producers more resilient to price fluctuations and, therefore, more bankable.

The Food Security IAP aimed to pilot the RAPTA tool and has done so to various degrees in four country child projects. RAPTA was tested in the Ethiopia child project (GEF ID 9135) and, less systematically, in the Kenya child project (GEF ID 9139), and it was only mentioned in project documentation of Uganda (GEF ID 9137) and Nigeria (GEF ID 9143) and the hub project (GEF ID 9140). A major objective in the Food Security IAP is to better define and address resilience of households and communities from an ecosystem-services perspective. While the RAPTA guidelines are strong in theory and conceptualization, they ended up being insufficiently practical and applicable across child projects during design. The guidelines were tested in the Ethiopia child project (GEF ID 9135). While they helped beneficiaries and project designers searching for food security solutions to widen their views beyond agriculture and to look for alternative ways to take pressure off natural resources, they were too complex to be used to identify priority actions in project design. RAPTA was not widely used across the Food Security IAP's child projects for three reasons: (1) it arrived relatively late, (2) it lacked a menu of specific indicators for use across the child projects depending on the different contexts, and (3) it lacked financial support for the assessments. Based on interviews with key stakeholders, it is clear that international support from the RAPTA team is needed for RAPTA implementation and that it would cost about $30,000 per application.

Considering RAPTA too broad and complex, FAO deployed in its two child projects its own resilience assessment tool, the Self-Evaluation and Holistic Assessment of Climate Resilience of Farmers and Pastoralists (Choptiani et al. 2015). Other forms of resilience analysis were carried out during design in other countries, and in one way or the other, most projects address natural resource and ecosystem services protection for resilience, or interventions arrived at to enhance household and ecosystem resilience.

3: Conclusions and recommendations

3.1 Conclusions

Integrated programming to tackle the main drivers of environmental degradation through the IAPs enables addressing the objectives of multiple conventions while allowing participating countries to address national environmental priorities. All child projects of the IAPs responded to the multilateral environmental agreements and convention decisions referenced in the GEF-6 Programming Directions. The initiatives were mainly in support of biodiversity, land degradation, sustainable forest management, and climate change adaptation. Although the IAPs could respond across the focal areas, each convention has different demands and mandates, so the mediation and sidelining of some objectives occurred, and opportunities for stronger integration of focal areas were missed. The degree to which programs aligned with national environmental priorities helped to increase program ownership at the country level, through adequate entry points. The GEF ensured that the IAPs were relevant to the participating countries while meeting the requirements of the conventions.

The IAPs have pursued an innovative and flexible design to address the drivers of environmental degradation but show a wide variety of indicators and tracking tools, hindering aggregation within each IAP and for the three IAPs altogether. The introduction of specific knowledge platforms and networks for cross-learning among child projects is a new approach for the GEF and one of the main features being piloted in the three IAP Programs. National/global platforms and partnerships are certainly useful initiatives, but keeping the active interest of a wide range of participants from different countries is very demanding. Midterm reviews would help assess the benefits of these platforms and determine whether they can provide the support and momentum needed to influence activities and perceptions. Additionality of programs over projects through better alignment of result indicators between child projects and programs is still to be demonstrated. Alignment between program/project results frameworks and tracking tools in terms of outcomes and indicators does not show an even picture across the three IAP Programs. Specifically, tracking tools, indicators, and metrics for GEB target setting based on country context vary widely across child projects. With a focus on holistic programming and systems transformation, the GEF Secretariat will need to consider new methods for demonstrating progress to outcomes.

The IAPs draw on comparative advantages of a variety of GEF Agencies and specialized think tanks, but the involvement of several agencies and institutions in each IAP has added to the programs' organizational complexity. The IAPs involve multiple actors and multiple scales working at the local, landscape, national, and regional levels. The variety and specialized knowledge of executing partners has brought richness in knowledge and expertise, but complex programs are

more difficult to execute than simple ones. The time required to launch them properly should be factored into design and implementation.

While in general a positive picture emerges from this review of the IAPs' design and launch process, both were affected by insufficient clarity in terms of rules of engagement between agencies, the selection processes, and the role of the Secretariat and insufficient communications between some participating GEF Agencies and countries on technical design. The Secretariat provided strong and early leadership in the design and launch of these programs, which was necessary given the amount of coordination needed in a short time in an international institution based on partnership, but the processes used for selecting countries, cities, and agencies were not always clear. Periods of uncertainty and poor communication between GEF and countries and executing agencies led to design and start-up challenges. Participants perceived that critical decisions on which countries and cities to include in the program were led by the Secretariat, rather than by a set of universal and agreed-upon criteria that each country would be involved in.

3.2 Recommendations

Assess the value addition of the knowledge platforms in a midterm review, to ensure that they generate the necessary traction and provide overall support to program implementation. For many interviewed stakeholders, the most important innovative feature in the IAPs is the hub project–supported knowledge platforms, which are viewed as forums for learning about innovations, exchanging ideas, and showcasing child projects. The knowledge platforms will require a strong commitment and support by all participating entities to provide the services and benefits they have been designed for. Their contribution toward overall program objectives should be assessed to ensure that they generate the envisioned additionality and support to program implementation.

Standardize the indicators, tracking tools, and metrics across the IAPs to demonstrate program additionality through M&E. Indicators, tracking tools, and metrics should be made uniform to enable aggregation within each IAP and for the three IAPs altogether. This should be done to demonstrate clearly the additionality brought by these pilot initiatives.

Assess the role of GEB targets, clarifying whether they are meant as aspirational goals or as hard targets, and they will be measured at the program level. A review of the IAPs should take place to assess issues of additionality, effectiveness, and efficiency at the midterm stage of the IAP Programs. Given a lack of clarity as to whether GEB targets are aspirational or hard targets, the review should clarify the role of GEB targets and explain how the GEF aims to assess GEB goals at the program level.

Annex A: Project overviews

TABLE A.1 **Cities IAP project specifics**

GEF ID	Project title	GEF Agency	Country	Focal area	Focal area objectives/ programs	Status	Type	Modal-ity
9077	Cities-IAP: Sustainable Cities Integrated Approach Pilot	WB-ADB, AfDB, DBSA, IDB, UNDP, UNEP, UNIDO	Global	MF	Cities IAP CCM-1/1 CCM-2/3 BD-1/1 BD-4/9 CW-1/2	Council approved/PFD clearance	Parent	Full size
9123	Cities-IAP: Sustainable Cities Management Initiative	WB-UNIDO	Senegal	MF	Cities IAP CCM-2/3 CW-1/3	CEO endorsed	Child	Full size
9127	Asunción Green City of the Americas – Pathways to Sustainability	UNDP	Paraguay	MF	Cities IAP CCM-1/1 CCM-2/3 BD-1/1 BD-4/9 CW-1/2	CEO endorsed	Child	Full size
9130	Cities-IAP: Abidjan Integrated Sustainable Urban Development	AfDB-UNIDO	Côte d'Ivoire	MF	Cities IAP CCM-1/1 CCM-2/3	Agency approved	Child	Full size
9142	Cities-IAP: Promoting Sustainable Cities in Brazil through Integrated Urban Planning and Innovative Technologies Investment	UNEP	Brazil	MF	Cities IAP CCM-2/3 BD-4/9	CEO endorsed	Child	Full size
9145	Cities-IAP: Building a Resilient and Resource Efficient Johannesburg: Increased Access to Urban Services and Improved Quality of Life	UNEP-DBSA	South Africa	CC	Cities IAP CCM-2/3	CEO endorsed	Child	Full size
9147	Sustainable-City Development in Malaysia	UNIDO	Malaysia	MF	Cities IAP CCM-1/1	Agency approved	Child	Full size
9162	Sustainable Cities IAP - Global Platform for Sustainable Cities	WB	Global	MF	Cities IAP	CEO endorsed	Child	Full size
9223	Sustainable Cities IAP – China Child Project	WB	China	MF	Cities IAP CCM-2/3	CEO endorsed	Child	Full size
9323	Sustainable Cities, Integrated Approach Pilot in India	UNIDO	India	MF	Cities IAP CCM-2/3	Agency approved	Child	Full size
9484	Cities-IAP: Sustainable Cities Integrated Approach Pilot	ADB	Vietnam	MF	Cities IAP CCM-2/3 BD-4/9	CEO endorsed	Child	Full size

GEF ID	Project title	GEF Agency	Country	Focal area	Focal area objectives/ programs	Status	Type	Modal-ity
9649	Enhancing Mexico´s Environmental Sustainability in Regional Hubs	IDB	Mexico	MF	Cities IAP CCM-1/1	Program manager recommended	Child	Full size
9666	Urban Networking to Complement and Extend the Reach of the Sustainable Cities IAP	WB	Global	CC	CCM-2/3	CEO approved	Stand-alone	Medium size
9698	National Platform for Sustainable Cities and Climate Change	IDB	Peru	MF	Cities IAP CCM-2/3 BD-4/9	Program manager recommended	Child	Full size

SOURCE: GEF Project Management Information System.

NOTE: *GEF Agencies:* ADB = Asian Development Bank; AfDB = African Development Bank; DBSA = Development Bank of Southern Africa; WB = World Bank. *Focal area and focal area objectives/programs:* BD = biodiversity; CC = climate change; CCM = climate change mitigation; CW = chemicals and waste; MF = multifocal.

TABLE A.2 Cities IAP project financials

GEF ID	Project title	GEF amount ($)	IAP com-ponent ($)	Cofinanc-ing ($)	Total proj-ect cost ($)	Agency fees ($)
9077	Sustainable Cities Integrated Approach Pilot	137,822,072	53,880,680	1,478,647,433	1,616,469,505	12,403,984
9123	Sustainable Cities Management Initiative	8,715,597	6,880,734	51,780,000	60,495,597	784,403
9127	Asunción Green City of the Americas – Pathways to Sustainability	7,493,120	1,809,862	240,340,000	247,833,120	674,381
9130	Abidjan Integrated Sustainable Urban Development	5,254,587	2,752,293	33,101,367	38,355,954	472,913
9142	Promoting Sustainable Cities in Brazil through Integrated Urban Planning and Innovative Technologies Investment	22,635,780	4,587,156	195,650,658	218,286,438	2,037,220
9145	Building a Resilient and Resource Efficient Johannesburg: Increased Access to Urban Services and Improved Quality of Life	8,093,171	3,596,965	124,439,330	132,532,501	728,385
9147	Sustainable-City Development in Malaysia	2,752,293	917,431	20,230,000	22,982,293	247,707
9162	Sustainable Cities IAP - Global Platform for Sustainable Cities	9,024,312	9,024,312	5,400,000	14,424,312	812,188
9223	Sustainable Cities IAP – China Child Project	32,727,523	9,174,312	1,084,000,000	1,116,727,523	2,945,477
9323	Sustainable Cities, Integrated Approach Pilot in India	12,110,092	3,139,653	113,953,705	126,063,797	1,089,908
9484	Sustainable Cities Integrated Approach Pilot	8,256,881	3,669,725	148,472,900	156,729,781	743,119
9649	Enhancing Mexico´s Environmental Sustainability in Regional Hubs	13,761,468	4,587,156	98,300,000	112,061,468	1,238,532
9666	Urban Networking to Complement and Extend the Reach of the Sustainable Cities IAP	2,000,000	0	2,000,000	4,000,000	190,000
9698	National Platform for Sustainable Cities and Climate Change	6,422,019	3,211,009	300,979,496	307,401,515	577,981

SOURCE: GEF Project Management Information System.

TABLE A.3 Commodities IAP project specifics

GEF ID	Project title	GEF Agency	Country	Focal area	Focal area objectives/ programs	Status	Type	Modality
9072	Comm-IAP: Taking Deforestation Out of Commodity Supply Chains	UNDP–World Bank, WWF, CI, IDB, UNEP	Global	MF	BD-4/9 CC-2/4 SFM-1/1	Council approved	Parent	Full size
9179	Adaptive Management and Learning for the Commodities IAP	UNDP	Global	MF	BD-4/9 CC-2/4 SFM-1/1	Agency approved	Child	Full size
9180	Support to Reduced Deforestation Commodity Production	UNDP	Global	MF	BD-4/9 CC-2/4 SFM-1/1, 2, 3	CEO endorsed	Child	Full size
9182	Generating Responsible Demand for Reduced-Deforestation Commodities	WWF	Global	MF	BD-4/9 CC-2/4 SFM-1/1, 2	Agency approved	Child	Full size
9617	Brazil: Taking Deforestation out of Soy Supply Chain	UNDP	Brazil	MF	BD-4/9 CC-2/4 SFM-1/1, 2, 3	CEO endorsed	Child	Full size
9696	Enabling Transactions - Market Shift to Deforestation Free Beef, Palm Oil and Soy	World Bank/IFC	Global	MF	CC-2/4	CEO endorsed	Child	Full size

SOURCE: GEF Project Management Information System.

NOTE: BD = biodiversity, CC = climate change, MF = multifocal, SFM = sustainable forest management.

TABLE A.4 Commodities IAP project financials

GEF ID	Project title	GEF amount ($)	IAP component ($)	Cofinancing ($)	Total project cost ($)	Agency fees ($)
9072	Comm-IAP: Taking Deforestation Out of Commodity Supply Chains	40,332,518	40,332,518	443,200,000	483,532,518	3,629,926
9179	Adaptive Management and Learning for the Commodities IAP	3,978,441	3,978,441	5,266,887	9,245,328	358,060
9180	Support to Reduced Deforestation Commodity Production	14,584,403	14,584,403	164,700,268	179,284,671	1,312,596
9182	Generating Responsible Demand for Reduced-Deforestation Commodities	8,748,060	8,748,060	42,334,902	51,082,962	787,325
9617	Brazil: Taking Deforestation out of Soy Supply Chain	6,600,000	6,600,000	28,204,678	34,804,678	594,000
9696	Enabling Transactions - Market Shift to Deforestation Free Beef, Palm Oil and Soy	6,405,101	6,405,101	22,958,419	29,363,520	576,459

SOURCE: GEF Project Management Information System.

TABLE A.5 Food Security IAP project specifics

GEF ID	Project title	GEF Agency	Country	Focal area	Focal area objectives/ programs	Status	Type	Modality
9070	Food-IAP: Fostering Sustainability and Resilience for Food Security in Sub-Saharan Africa - An Integrated Approach	IFAD-UNEP, FAO, UNDP, World Bank, CI, UNIDO	Regional	MF	BD-3/7 BD-4/9 CC-2/4 LD-1/1, 2 LD-3/4 LD-4/5	Council approved	Parent	Full size
9132	Reversing Land Degradation Trends and Increasing Food Security in Degraded Ecosystems of Semi-Arid Areas of Central Tanzania	IFAD	Tanzania	MF	BD-4/9 CC-2/4 LD-1/1 LD-3/4 LD-4/5	Submission pending	Child	Full size
9133	Climate-Smart Agriculture for Climate-Resilient Livelihoods	IFAD	Swaziland	MF	BD-4/9 CC-2/3 LD-1/1, 2 LD-3/4 LD-4/5	CEO endorsed	Child	Full size
9134	Agricultural Value Chains Support Project	IFAD-UNIDO	Senegal	MF	CC-2/4 LD-1/1, 2 LD-3/4 LD-4/5	Agency approved	Child	Full size
9135	Integrated Landscape Management to Enhance Food Security and Ecosystem Resilience	UNDP	Ethiopia	MF	BD-3/7 LD-3/4	CEO endorsed	Child	Full size
9136	Smallholder Agricultural Development Programme	IFAD	Niger	MF	LD-1/1 LD-3/4 LD-4/5	Agency approved	Child	Full size
9137	Fostering Sustainability and Resilience for Food Security in Karamoja sub region	UNDP-FAO	Uganda	MF	BD-4/9 LD-1/1 LD-3/4 LD-4/5	CEO endorsed	Child	Full size
9138	Enhancing the Resilience of Agro-Ecological Systems	IFAD	Malawi	MF	BD-3/7 BD-4/9 CC-2/4 LD-1/1 LD-3/4 LD-4/5	CEO endorsed	Child	Full size
9139	Establishment of the Upper Tana Nairobi Water Fund	IFAD	Kenya	MF	BD-4/9 CC-2/4 LD-1/1, 2 LD-4/5	Agency approved	Child	Full size
9140	Cross-Cutting/Regional Hub Project	IFAD	Regional	MF	BD-4/9 CC-2/4 LD-4/5	CEO endorsed	Child	Full size
9141	Fostering Participatory Natural Resource Management Project	IFAD	Burkina Faso	MF	LD-1/1, 2 LD-3/4 LD-4/5	Agency approved	Child	Full size
9143	Fostering Sustainability and Resilience for Food Security in Nigeria	UNDP	Nigeria	MF	LD-1/1, 2 LD-3/4 LD-4/5	Submission pending	Child	Full size
9178	Support for Sustainable Food Production and Enhancement of Food Security and Climate Resilience in Burundi's Highlands	FAO	Burundi	MF	BD-4/9 LD-1/1, 2 LD-3/4 LD-4/5	CEO endorsed	Child	Full size

GEF ID	Project title	GEF Agency	Country	Focal area	Focal area objectives/ programs	Status	Type	Modal-ity
9340	Sustainable Landscape Management Project in Northern Ghana	World Bank	Ghana	MF	BD-1/1 BD-4/9 CC-2/4 LD-1/2 LD-3/4	Agency approved	Child	Full size

SOURCE: GEF Project Management Information System.

NOTE: BD = biodiversity, CC = climate change, LD = land degradation, MF = multifocal.

TABLE A.6 Food Security IAP project financials

GEF ID	Project title	GEF amount ($)	IAP compo-nent ($)	Cofinancing ($)	Total project cost ($)	Agency fees ($)
9070	Food-IAP: Fostering Sustain-ability and Resilience for Food Security in Sub-Saharan Africa - An Integrated Approach	106,359,290	106,359,290	805,361,640	911,720,930	9,572,336
9132	Reversing Land Degradation Trends and Increasing Food Security in Degraded Ecosys-tems of Semi-Arid Areas of Central Tanzania	7,155,963	3,577,982	52,961,800	60,117,763	644,037
9133	Climate-Smart Agriculture for Climate-Resilient Livelihoods	7,211,009	3,605,505	48,000,000	55,211,009	648,991
9134	Agricultural Value Chains Sup-port Project	7,219,450	3,669,724	28,544,133	35,763,583	649,752
9135	Integrated Landscape Manage-ment to Enhance Food Security and Ecosystem Resilience	10,239,450	3,669,725	144,965,431	155,204,881	921,551
9136	Smallholder Agricultural Devel-opment Programme	7,636,422	3,669,724	60,320,000	67,956,422	687,277
9137	Fostering Sustainability and Resilience for Food Security in Karamoja Subregion	7,139,450	3,569,726	58,000,000	65,139,450	642,550
9138	Enhancing the Resilience of Agro-Ecological Systems	7,155,963	3,577,982	87,397,000	94,552,963	644,037
9139	Establishment of the Upper Tana Nairobi Water Fund	7,201,834	3,600,917	61,050,330	68,252,164	648,166
9140	Cross-Cutting/Regional Hub Project	10,825,688	10,825,688	85,057,850	95,883,538	974,312
9141	Fostering Participatory Natural Resource Management Project	7,269,448	3,669,724	35,900,000	43,169,448	654,250
9143	Fostering Sustainability and Resilience for Food Security in Nigeria	7,139,450	3,669,725	57,000,000	64,139,450	642,550
9178	Support for Sustainable Food Production and Enhancement of Food Security and Climate Resil-ience in Burundi's Highlands	7,396,330	3,573,725	45,050,728	52,447,058	665,670
9340	Sustainable Landscape Manage-ment Project in Northern Ghana	12,768,832	3,669,725	22,000,000	34,768,832	1,149,195

SOURCE: GEF Project Management Information System.

Annex B: Program results frameworks

TABLE B.1 Cities IAP Program results framework

Program component	Program outcome	Measured by
Program objective: Promote among participating cities an approach to urban sustainability that is guided by evidence-based, multidimensional, and broadly inclusive planning processes that balance economic, social, and environmental resource considerations		
1. Enhancing integrated sustainable urban planning and management	1.1 Increased scope and depth of integrated urban sustainability management policies and processes, including institutionalization within the local governance structure	Number of pilot project cities exhibiting increased scope and depth of integrated urban sustainability planning management policies and processes
		Number of pilot project cities that have formally integrated comprehensive, multidimensional urban sustainability planning management policies into local governmental processes
	1.2 National polices and strategies create more favorable conditions for local action to address global and local environmental concerns	Number of pilot project cities with increased institutionalization of integrated urban sustainability management policies and processes
2. Monitoring local and globally relevant performance frameworks for improved performance	2.1 Core performance framework for local and GEBs implemented at the local level	Number of pilot project cities that have adopted core performance framework for local and GEBs implemented at the local level
	2.2 Improved local and global environmental sustainability	GHG emissions mitigated, in tCO_2e
3. Catalyzing investments in sustainable cities	3.1 Increase in investment flows to sustainable cities initiatives from national governments, subnational governments, development partners, and the private sector	Increase from national governments ($)
		Increase from subnational governments ($)
		Increase from the private sector ($)
		Total funding leveraged for all IAP cities from all funding sources ($)
	3.2 Increase in the number of innovative financing mechanisms and approaches	Number of innovative financing mechanisms and approaches adopted
	3.3 Enhanced ability at the local level to leverage long-term financing for sustainability initiatives	Number of pilot project cites with enhanced capacity for financial management
4. Enhancing partnerships for sustainable cities at local, national, and global levels (through knowledge management, capacity building, global coordination)	4.1 Contribution of IAP to global discourse on sustainable urban management enhanced (including within the context of multilateral environmental conventions)	Number of institutions and city-based networks engaged with IAP at the global level as partners
		Increased number of references to IAP in workshops, events, and publications generated by third parties
		Number of presentations by IAP city representatives at regional or global sustainable city conferences

SOURCE: GEF Project Management Information System.

TABLE B.2 Commodities IAP Program results framework

Program component	Program outcome	Measured by
Program objective: Reduce the global impacts of agriculture commodities expansion on greenhouse gas emissions and biodiversity by meeting the growing demand of palm oil, soy, and beef through supplies that do not lead to deforestation		
1. Support to Production Project (GEF ID 9180): Enable supply and production in the right ways and in the right areas and locations while conserving the forest and reducing deforestation in the targeted landscapes	1.1 Improved policy, regulations, coordination, and enforcement capacity of national and local governments in four producing countries	No indicators provided in PFD
	1.2 Increased supply of commodities produced in landscapes targeted for reduced deforestation and replicated across supply chains	No indicators provided in PFD
2. Generating Responsible Demand Project (GEF ID 9182): Strengthen the enabling environment and public and private sector demand for reduced-deforestation commodities in priority markets	2.1 Buyers and traders in domestic and global markets increasing purchases of reduced-deforestation commodities	No indicators provided in PFD
	2.2 Improved Policy Frameworks at the national and local levels to drive demand for reduced-deforestation commodities in three major markets	No indicators provided in PFD
3. Enabling Transactions Project (GEF ID 9696): Design and pilot financial and risk-management instruments that extend financing to reduced-deforestation commodity production and reduce financing for unsustainable practices	3.1 Commercial transactions totaling a minimum of $100 million of new investment per year	No indicators provided in PFD
	3.2 Increased financing benefiting smallholders investing in reduced-deforestation practices	No indicators provided in PFD
	3.3 Reduced finance for commodity production leading to deforestation	No indicators provided in PFD
4. Adaptive Management and Learning Project (GEF ID 9179): Strengthen global capacity and integrated nature of the program to effectively leverage demand, transactions, and support to production to implement the program in a synergetic way for greater impacts and replication	4.1 Integrated reports, information, and programming lead to timely decision making and integrated action that deliver reduced-deforestation commodities	No indicators provided in PFD

SOURCE: GEF Project Management Information System.

TABLE B.3 Food Security IAP Program results framework

Program component	Program outcomes	Measured by
Program objective: Support countries in target geographies for integrating priorities to safeguard and maintain ecosystem services into investments improving smallholder agriculture and food value chains (target: 12 countries, 10 million ha of production landscapes, 2–3 million beneficiary households)		
1. Institutional frameworks for influencing sustainability and resilience	1.1 Multistakeholder and multiscale frameworks in support of policy and institutional reform to facilitate the scaling up of INRM in place (LD-4, Program 5; BD-4, Program 9)	Functioning national-level multistakeholder frameworks in place in at least 10 countries; at least 5 at local/landscape scale for integrated management in the targeted geographies; at least 3 at regional scale for AML
		South-South exchanges to multiple scales (local to regional)
		Gender- and youth-sensitive decision-support tools and participatory processes applied (number and type)
	1.2 Supportive policies and incentives in place to support smallholder agriculture and diverse and inclusive food value chains (LD-4, Program 5; BD-4, Program 9)	Value chains integrate sustainable production systems approaches, including consideration of post-harvest losses (number and type)
		Supportive policies and incentives for integrated approaches at national level (number and types)
		Strengthened involvement of CSOs, farmer cooperatives, and the private sector in pro-poor and pro-environment value chains to help smallholder farmers to scale up good practices in INRM (number and type)
2. Scaling up integrated approaches for sustainability and resilience	2.1 Increased land area and agro-ecosystems under INRM and sustainable land management, including sustainable soil and water management, diversified production systems, and integrated crop-livestock systems (LD-1, Program 1, Program 2; LD-3, Program 4; BD-3, Program 7; CCM-2, Program 4)	3 million ha under sustainable land and water management
		3 million ha under diversified production
		4 million ha of agropastoral systems under integrated management
		15%–25% increase in number of crop varieties and animal breeds in the production system
		Greenhouse gas emissions avoided and carbon sequestered (10–20 million tCO_2e)
	2.2 Increase in investment flows to INRM from national governments, development partners, the private sector, and innovative funding mechanisms and approaches (LD-3, Program 4; BD-4, Program 9)	X million increase from governments; Y million in increase from development partners
		X million in increase from the local private sector; Y number of innovative funding mechanisms/schemes in place (e.g., Payments for Ecosystem Services, public-private partnerships)
3. Monitoring and assessment of ecosystem services, GEBs, and resilience	3.1 Capacity and institutions in place to monitor ecosystem services and resilience to enable more informed decision making on agriculture and food security at multiple scales (LD-4, Program 5; CCM-2, Program 4; BD-3, Program 7)	Multiscale monitoring of ecosystem services and GEBs established in all participating countries (number and types at local, national, and regional levels)
		Institutional and technical capacity strengthened for multiscale monitoring and assessment of ecosystem services and GEBs (number, types)
		Integrated, open access data and information systems in place for enhancement of information accessibility (number, types)
	3.2 Framework in place for multiscale assessment, monitoring, and integration of resilience in production landscapes (LD-4, Program 5; CCM-2, Program 4; BD-3, Program 7)	Framework for monitoring of resilience established for each target geography
		Institutional and technical capacity in place to incorporate appropriate tools and practices for monitoring resilience at multiple scales in all participating countries

SOURCE: GEF Project Management Information System.

NOTE: BD = biodiversity; CCM = climate change mitigation; INRM = integrated natural resource management; LD = land degradation.

Annex C: Global environmental benefit targets

TABLE C.1 Cities IAP GEB targets

Corporate result	Replenishment target	Program target	Child project target (total)
GEB 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 ha	0 ha	128,695 ha
GEB 2. Sustainable land management (SLM) in production systems (agriculture, rangelands, and forest landscapes)	120 million ha under SLM	0 ha	80 ha
GEB 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 ecosystems security and conjunctive management of surface and groundwater in at least 10 freshwater basins	0 freshwater basins	0 freshwater basins
	20% of globally overexploited fisheries (by volume) moved to more sustainable levels	0% of fisheries, by volume	0% of fisheries, by volume
GEB 4. Support to transformational shifts toward a low-emission and resilient development path	750 million tCO_2e mitigated (include both direct and indirect)	100,118,756 tCO_2e	According to project endorsement requests: Min. 649,763,289 tCO_2e Max. 659,322,289 tCO_2e According to project tracking tools: Min. 644,471,657 $ttCO_2e$ Max. 679,408,346 tCO_2e
GEB 5. Increase in phase-out, disposal, and reduction of releases of persistent organic pollutants (POPs), ozone-depleting substances (ODS), mercury, and other chemicals of global concern	Disposal of 80,000 tons of POPs (PCB, obsolete pesticides)	0 t^3	13.7 g 0 t^3 Teq
	Reduction of 1,000 tons of mercury	0 t^3	
	Phaseout of 303.44 tons of ODS (HCFCs)	0 t^3	
GEB 6. Enhance capacity of countries to implement multilateral environmental agreements (MEAs) and mainstream into national and subnational policy, planning, financial, and legal frameworks	Development and sectoral planning frameworks integrate measurable targets drawn from the MEAs in at least 10 countries	0 countries	0 countries
	Functional environmental information systems are established to support decision making in at least 10 countries	0 countries	0 countries

SOURCE: GEF Project Management Information System.

NOTE: Program targets are according to PFD; child project targets are according to project endorsement requests/tracking tools.

TABLE C.2 Commodities IAP GEB targets

Corporate result	Replenishment target	Program target	Child project target (total)
GEB 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 ha	0 ha	13,950,000 ha
GEB 2. Sustainable land management (SLM) in production systems (agriculture, rangelands, and forest landscapes)	120 million ha under SLM	0 ha	745,433 ha
GEB 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 ecosystems security and conjunctive management of surface and groundwater in at least 10 freshwater basins	0 freshwater basins	0 freshwater basins
	20% of globally overexploited fisheries (by volume) moved to more sustainable levels	0% of fisheries, by volume	0% of fisheries, by volume
GEB 4. Support to transformational shifts toward a low-emission and resilient development path	750 million tCO_2e mitigated (include both direct and indirect)	0 tCO_2e	According to project endorsement requests: Min. 67,404,049 tCO_2e Max. 72,404,049 tCO_2e According to project tracking tools: Min. 67,441,557 tCO_2e Max. 72,441,557 tCO_2e
GEB 5. Increase in phase-out, disposal, and reduction of releases of persistent organic pollutants (POPs), ozone-depleting substances (ODS), mercury, and other chemicals of global concern	Disposal of 80,000 tons of POPs (PCB, obsolete pesticides)	0 t[3]	0 gTeq
	Reduction of 1,000 tons of mercury	0 t[3]	
	Phaseout of 303.44 tons of ODS (HCFCs)	0 t[3]	
GEB 6. Enhance capacity of countries to implement multilateral environmental agreements (MEAs) and mainstream into national and subnational policy, planning, financial, and legal frameworks	Development and sectoral planning frameworks integrate measurable targets drawn from the MEAs in at least 10 countries	0 countries	0 countries
	Functional environmental information systems are established to support decision making in at least 10 countries	0 countries	0 countries

SOURCE: GEF Project Management Information System.

NOTE: Program targets are according to PFD; child project targets are according to project endorsement requests/tracking tools.

TABLE C.3 Food Security IAP GEB targets

Corporate result	Replenishment target	Program target	Child project target (total)
GEB 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 ha	5,000,000 ha	1,177,516 ha
GEB 2. Sustainable land management (SLM) in production systems (agriculture, rangelands, and forest landscapes)	120 million ha under SLM	5,000,000 ha	2,185,302 ha
GEB 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 ecosystems security and conjunctive management of surface and groundwater in at least 10 freshwater basins	0 freshwater basins	0 freshwater basins
	20% of globally overexploited fisheries (by volume) moved to more sustainable levels	0% of fisheries, by volume	0% of fisheries, by volume
GEB 4. Support to transformational shifts toward a low-emission and resilient development path	750 million tCO_2e mitigated (include both direct and indirect)	Min. 10,000,000 tCO_2e Max. 20,000,000 tCO_2e	According to project endorsement requests: Min. 52,010,578 tCO_2e Max. 59,702,076 tCO_2e According to project tracking tools: Min. 51,465,792 tCO_2e Max. 76,640,792 tCO_2e
GEB 5. Increase in phase-out, disposal and reduction of releases of persistent organic pollutants (POPs), ozone-depleting substances (ODS), mercury, and other chemicals of global concern	Disposal of 80,000 tons of POPs (PCB, obsolete pesticides)	0 t^3	0 gTeq
	Reduction of 1,000 tons of mercury	0 t^3	
	Phaseout of 303.44 tons of ODP (HCFCs)	0 t^3	
GEB 6. Enhance capacity of countries to implement multilateral environmental agreements (MEAs) and mainstream into national and subnational policy, planning, financial, and legal frameworks	Development and sectoral planning frameworks integrate measurable targets drawn from the MEAs in at least 10 countries	0 countries	0 countries
	Functional environmental information systems are established to support decision making in at least 10 countries	0 countries	0 countries

SOURCE: GEF Project Management Information System.

NOTE: Program targets are according to PFD; child project targets are according to project endorsement requests/tracking tools.

Annex D: Cities IAP Program findings

D.1 Integrative nature of the Cities IAP

ALIGNMENT OF PRIORITIES ACROSS SCALES

The GEF-6 Programming Directions argued the case for the Cities IAP inter alia on the basis that

> cities control policies and vital systems related to global environmental conditions, such as system-level management of infrastructure development, natural resource management, and setting environmental standards. Most cities have direct control over the transit system, roads, markets, waste management, water supply, wastewater treatment, building codes, and others. City leaders play an essential role in the multiple levels of governance of urban management, necessitating their direct engagement. They can be quicker in decision-making to respond to pressure and requests from the local constituency. (GEF 2014c, 180)

Universally, the requests for CEO endorsement of Cities IAP child projects describe efforts at the country level to enhance cooperation across ministries, agencies, and other stakeholders.[1] All child projects apply a shared governance mechanism through a coordinating body composed of a GEF Agency or Agencies, national ministries and governmental departments, and municipal or city government units. In some instances—Brazil, China, Côte d'Ivoire, India, and Senegal (GEF IDs 9142, 9223, 9130, 9323, and 9123, respectively)—the role of the executing agency is shared among more than one key stakeholder. GEF Agencies are always part of the project governance structure, and, apart from South Africa (GEF ID 9145), the same is true of national ministries. With few exceptions—Malaysia, Peru, and Senegal (GEF IDs 9147, 9698, and 9123, respectively)—city and municipal governments are also assigned a role in the project governance structure. The private sector, CSOs, and nongovernmental organizations are included as stakeholders but are not included in project management bodies. They are universally considered for consultation, sometimes considered as beneficiaries and sometimes given roles as observers or technical advisers.

To varying degrees, all requests for CEO endorsement—and in the case of China, the CEO endorsement stage draft project paper (World Bank 2016b)—address common priorities in strategies and programs at multiple scales. This is evident in the discussion of alignment of child projects with relevant existing programs—both GEF and non-GEF. Some of these programs are national in scope, and some are municipal; some are donor led, others government led.

Results of a survey conducted as part of this formative review, however, do not support the direct local control and decision-making assumption.

[1] In the case of China, the discussion is found not in the most recent request for CEO endorsement but in the project concept note of July 2015 and the CEO endorsement stage project paper of December 2016.

The survey asked respondents to indicate at what level of government the responsibility for various government functions rests.[2] Many of the respondents identify multiple levels of responsibility for city infrastructure planning and design, implementation, and maintenance. The data revealed that, when moving from planning and design to implementation to maintenance, the identified level of responsibility becomes slightly more localized (table D.1).

TABLE D.1 **Distribution of responsibility for government functions, by level of jurisdiction (%)**

Level	Planning and design	Implementation	Maintenance
National/ provincial/state	51.7	45.3	39.6
District/ metropolitan	29.0	32.1	32.2
City and subcity	19.3	22.6	28.2
Total	100.0	100.0	100.0

Most responses indicate that land use, solid waste, and green spaces and parks are a city and municipal responsibility. Most responses identify water delivery as a provincial/state responsibility. Wastewater, roads and waterways, mass transit, and industrial land development are identified as multijurisdictional with a stronger locus of control with national governments. The survey was completed by a relatively small population of 65 targeted government officials, resulting in a sample of 26 completed surveys. Sixty-one percent of respondents identified themselves as working at the national level. Nevertheless, it does suggest that the assumption of local and direct control and agility may be oversimplified and does not portray actual urban decision-making conditions accurately.

In the related discussion of risks, the PFD recognizes that "the child projects will face traditional institutional challenges," including "inadequate decentralization policies" (GEF 2015d, 22). Analysis of the survey and key informant interview data, combined with the fact that the child projects are supervised through national ministries or agencies, suggests that this risk requires careful attention. As noted in the GEF-6 Programming Directions document, the advantage of cities is considered to be the local control of infrastructure and the associated agility of local government, yet the evidence suggests neither assumption can be taken for granted. The Cities IAP Program's focus is on planning and design, whereas the survey indicates that, in over 80 percent of survey responses, control resides with national or provincial/state governments. The risk of "inadequate decentralization" noted in the PFD is real.

Perceptions varied among Cities IAP stakeholders on the issue of coherence and integration in the Cities IAP compared with standard project approaches and previous programmatic approaches, depending on their level of seniority and on prior involvement with single focal area GEF projects. Those who have prior experience designing and managing GEF single focal area projects, and those who are more senior, were most clearly recognizing the integrative potential of the Cities IAP.

Alignment and synergies with GEBs and multilateral environmental agreements

The GEF-6 Programming Directions document argues the importance of the Cities IAP bringing attention to the supranational linkages. The document cites evidence and decisions from global

[2] Government functions analyzed were (1) planning and design, (2) implementation, and (3) maintenance toward urban land use, water delivery, waste water, solid waste, roads and waterways, mass transit/public transport, green spaces and parks, and industrial land development/industrial parks.

conventions, including the UNFCCC, the CBD, and the UNCCD, recognizing the importance of cities in achieving Convention goals.

The PFD anticipates that the Cities IAP will "create a strong network of cities that will act as global ambassadors for urban sustainability planning" and will result in "tangible benefits at both the local and global levels" (GEF 2015d, 7). The PFD's theory of change discussion includes a passage on the Cities IAP's "contribution to global discourse" and mentions alignment with the newly emerging Sustainable Development Goals (SDGs), the COP21 Paris Agreement, the Compact of Mayors, and the ICLEI Cities Biodiversity initiative in particular.

ADDITIONALITY

Regarding the Cities IAP, part 2 of the draft GEF-6 Programming Directions states that "the unifying thread of this Signature Program is that the urban context serves as a nexus of highly interconnected issues that are normally addressed under distinct focal areas of the GEF" (GEF 2013, 66). The document warns that without such an integrated cities program, there is the danger that "projects targeting a single sector may be considered easier to design and therefore prioritized" (GEF 2013, 66). The final GEF-6 Programming Directions document does not include this "unifying thread" passage (GEF 2014c).

Since 1992, when the first Rio Conference formulated the criteria for local Agenda 21 actions (UNCED 1992), the urban sustainability agenda has grown and diversified. Urban environmental management in developing countries focused initially on water supply and sanitation, solid waste management, and industrial pollution, defined as the original "brown agenda." Mitigation of GHG emissions and urban adaptation to the impacts of climate change were eventually incorporated into what the World Bank defined in 2004 as the "revised brown agenda" (Bigio and Dahiya 2004). Urban green growth has recently been promoted as the paradigm for decoupling economic development from local and global environmental externalities (OECD 2013). The multiple aspects of the urban sustainability agenda have recently been included in the SDGs—more specifically, SDG 11, "sustainable cities and communities" (ECOSOC 2016). Habitat III, the October 2016 Quito Conference, generated the so-called "new urban agenda," which presents the following as one of its three interlinked principles: Ensure [urban] environmental sustainability by promoting clean energy and sustainable use of land and resources in urban development, by protecting ecosystems and biodiversity, including adopting healthy lifestyles in harmony with nature, by promoting sustainable consumption and production patterns, by building urban resilience, by reducing disaster risks and by mitigating and adapting to climate change (UN 2016). The Cities IAP positions itself in a crowded space of urban sustainability–focused interventions, but rather than competing, it attempts to provide a comprehensive and inclusive approach and to link up with as many relevant initiatives as possible.

With respect to innovation, the GEF-6 Programming Directions document notes that "cities are incubators of innovation and present unique opportunities to generate and disseminate technological, social, and cultural ideas" (GEF 2014c, 173) and that the "GEF, as a pioneer of innovation through grant financing, is well suited to support the testing and demonstration of models of integrated urban management, with a strong potential for impact per dollar invested" (GEF 2014c, 175). Key stakeholders interviewed concurred with this potential for the Cities IAP. An interviewee from the GEF made the point that the innovation is "to work with, not in, cities." And working directly with subnational governments for the implementation

of Cities IAP child projects in participating cities is an important innovation for the GEF. While the national GEF focal point remains anchored in a national ministry, often the environment ministry, the urban focus of the Cities IAP has shifted the policy dialogue toward ministries of urban development, encouraging metropolitan and urban authorities to define contents, outputs, and outcomes of the GEF grants. More cautionary, an interviewee from the World Bank felt strongly that while the potential exists for innovation, the "program underestimates the complexity of the city level." Another key stakeholder echoed the concern over the risk of "inadequate decentralization," stating "that money flows through the central government before it reaches the cities, which slows momentum."

D.2 Analysis of partners and the wider constituency

COMPARATIVE ADVANTAGES, ROLES, AND COORDINATION

The proactive role that the GEF played in program formulation prior to PFD approval continued during the child project preparation phase. The Secretariat provided significant support from June 2015, when the program was approved, to December 2016, by when GEF Agencies submitted requests for CEO endorsement on behalf of all countries. During this period, GEF Agencies submitted for and obtained their project preparation grants, prepared the child projects in consultation with national and local stakeholders, submitted draft project documents to the GEF Secretariat, received written comments, and resubmitted accordingly (and sometimes repeatedly). By now, almost all have received CEO approval, and three are operational.

GEF Agencies have had different experiences in interacting with the GEF Secretariat during the design and launch of the Cities IAP. Some complained about the tardiness of the issuance of requests for project proposals to GEF Agencies, and about the fact that the criteria for country participation and city selection remained undefined. The choice of the World Bank as the main implementing Agency left some of the other GEF Agencies frustrated. They claimed that the Cities IAP became a conduit for the World Bank to promote more loans in participating countries and that the size of the grant allocation to the China child project, to be implemented by the World Bank, is due to its overall role in the program.

GEF SECRETARIAT

The GEF has specialized technical capacity and a relative comparative advantage in addressing urban sustainability issues. This is demonstrated by the breadth and depth of GEF support over the decades to multiple projects aimed at integrating global benefits in the sectors and focal areas currently addressed by the Cities IAP. Over time, the GEF has financed 250 multifocal area projects and programs whose importance and size have increased progressively since GEF-1, for a total of $1.4 billion (GEF IEO 2017). Over 50 percent of the multifocal area projects have combined biodiversity protection with land degradation prevention, and nearly a third also included climate change benefits. This portfolio constitutes an important body of experience prior to the GEF-6 programming, when the three IAP Programs were launched.

The GEF also has prior experience working multi-institutionally and multiscale (local, national, regional) through its programmatic approaches (GEF IEO 2018). Such investments by the GEF have existed since the start but were formalized in 2008 by the Council, which approved the

concept of the PFD. In 2010, the Council stipulated two alternative modalities for the implementation of programmatic approaches: either by a single qualified GEF Agency, or with one lead Agency responsible for the program and multiple GEF Agencies implementing the child projects. The evaluation found that "child projects, implemented as part of programs, performed better than stand-alone projects on all dimensions" evaluated but that "complexity as measured by multi-country, multifocal, multi-Agency dimensions and project heterogeneity, is negatively correlated with outcomes." Complex programs underperformed relative to simpler programs or stand-alone projects on five dimensions: outcomes, M&E implementation, execution quality, effectiveness, and efficiency. Complex programs did outperform these comparators on implementation, sustainability, and M&E design (GEF IEO 2018).

THE WORLD BANK AS THE CITIES IAP PROGRAM'S LEAD AGENCY

The selection of the lead Agency was a complex process involving multiple conversations and negotiations between the GEF Secretariat and the management of the World Bank's urban sector. The GEF's interest in assigning such a role to the World Bank was initially met with some hesitation from the World Bank's side due to the uncertainty related to the scope of the mandate, and to the GEF's proactive parallel consultations with other Agencies regarding the selection of participating countries and cities for the child projects. GEF management and the Secretariat effectively conducted this dual-track process of negotiating with the potential lead Agency while identifying and negotiating with participating countries, cities, and other GEF Agencies. By so doing, the GEF remained very much in charge of program formulation.

There was some competition for the lead role coming from the other multilateral development banks (MDBs), which argued that they were just as qualified as the World Bank, or that the GEF was likely selecting the World Bank due to its proximity and fiduciary role over the GEF's operations. Participating agencies mostly concur that the selection of the World Bank as main implementing Agency was conducted in a nontransparent manner. Some GEF Agency representatives wondered if the World Bank's motives in taking on the lead role were related to creating additional opportunities for further loans to cities.

The definition of the mandate of the World Bank as lead Agency for the Cities IAP, its accountability toward the GEF, and its authority, if any, over the other GEF Agencies in the collective pursuit of the accomplishment of the Cities IAP Program goals and expected outcomes were never clearly defined and remain so at the onset of the implementation phase. The current "partnership arrangement" is based primarily on the GEF and the World Bank investing their credibility and reputation in the success of the Cities IAP, rather than on set rules defining the responsibility of each institution. It is clear to World Bank staff in charge of the GPSC, the Cities IAP coordination mechanism, that it has no mandate to force GEF Agencies to comply with its requests or to take part in the activities it promotes.

Irrespective of the process described above, the World Bank has a definite comparative advantage as the GEF's lead Agency in the Cities IAP Program, given its overall profile, standing, and engagement both in urban development and in the pursuit of sustainable development and climate action. In over 60 years of international work, the World Bank has consistently combined its policy advice to governments with the availability of financial support and the supervision of development operations to ensure best possible results.

The World Bank has built up a sizable portfolio, and policy work, in urban resilience, adaptation, and urban GHG mitigation (e.g., World Bank 2016a). Furthermore, the World Bank has maintained a high standard of knowledge generation and dissemination, and partners with other multilateral and bilateral agencies worldwide (Fuller and Romer 2014). Finally, the World Bank has been a GEF Agency since the GEF's creation and has a long-standing practice of combining its own financial resources, in the form of International Development Association credits[3] and International Bank for Reconstruction and Development loans allocated in favor of national and local development goals, with GEF grant money issued for the pursuit of GEBs.

MULTILATERAL DEVELOPMENT BANKS

Seven of the 11 Cities IAP country child projects are being implemented by four MDBs and one national development bank: IDB (in Mexico and Peru, GEF IDs 9649 and 9698, respectively), the African Development Bank (in Côte d'Ivoire, GEF ID 9130), the Asian Development Bank (in Vietnam, GEF ID 9484), the World Bank (China and Senegal, GEF IDs 9223 and 9123, respectively), and the Development Bank of Southern Africa (in South Africa, GEF ID 9145). In two of the projects, the development banks partner with UN agencies. The Asian Development Bank and IDB have very strong track records and comparative advantages in working on urban sustainability in their respective regions. Like the World Bank but at a regional scale, they have developed experience and expertise in working in all related sectors and in providing policy guidance, knowledge, and networking opportunities to national governments and the subnational governments of the cities involved in their programs.

UNITED NATIONS AGENCIES

Three UN agencies are implementing five country child projects under the Cities IAP. UNIDO is the GEF Agency leading and supporting the efforts in India and Malaysia (GEF IDs 9323 and 9147, respectively) and partners with the World Bank for the Senegal child project and with the African Development Bank in Côte d'Ivoire. UNEP is responsible for the implementation of the GEF grants to Brazil and South Africa (GEF IDs 9142 and 9145, respectively), the latter with the collaboration of the Development Bank of Southern Africa. UNDP is the lead Agency responsible for project implementation in Paraguay (GEF ID 9127). The comparative advantages of these agencies for the implementation of the Cities IAP child projects are summarized below.

UNIDO provides focused expertise on the industrial sector and clean industrial production and also addresses persistent organic pollutant abatement and the need to phase out the production and consumption of ozone-depleting substances. In the specific field of sustainable cities, UNIDO focuses its work on (1) climate-resilient industries hosted by cities, (2) climate-smart city service delivery, and (3) value-chain development for sustainable cities (UNIDO 2016). UNEP has a history of prior engagement in urban sustainability in the past decades, starting with the Sustainable Cities Programme (UNEP 2000), which it promoted jointly with UN-Habitat as of 1990. Under UNEP's resource efficiency window, the organization also runs a multistakeholder program called the Global Initiative for Resource Efficient Cities. UNDP as well has a history of engagement in urban development, which likely peaked in the 1990s with the

[3] The International Development Association is the part of the World Bank that helps the world's poorest countries by lending money on concessional terms. Credits have a 0 percent or very low interest charge, and repayments are stretched over 25–40 years, including a 5- to 10-year grace period.

Urban Management Programme, a joint undertaking of UNDP, UN-Habitat, and the World Bank (Mumtaz and Wegelin 2001). UNDP has developed a sustainable urbanization strategy (UNDP 2016), which outlines how UNDP supports countries and cities, building upon its past and current work on urbanization. UNDP's urban work covers three action areas: sustainable, inclusive, and resilient urban development.

Three clear comparative advantages are emerging from the Cities IAP partnership:

- Its ambition to work with subnational governments to connect cities to the wider global SDGs
- The development of the GPSC to leverage the collective experience and knowledge of global sustainable and resilient cities networks
- The partnership's ability to bring international financial institutions to the table and align money with sustainable city projects

Note that the STAP, which had provided substantive comments on the PFD, and especially on the proposed program coordination arrangements and its possible alternatives, was not requested by the GEF Secretariat to review the child projects. This is surprising, given the importance of STAP's original policy paper on sustainable urbanization toward the development of the Cities IAP concept (GEF STAP 2014), their report on knowledge management with IAP-specific recommendations (GEF STAP 2015), and the emphasis placed by Council members on STAP participation in child project development (GEF 2015e).

COLLABORATIVE PARTNERSHIPS

Multi-Agency implementation arrangements and initial program setup

In the Côte d'Ivoire and Senegal child projects (GEF IDs 9130 and 9123, respectively), UNIDO paired up with the World Bank and African Development Bank, respectively, to provide specific project contributions in its areas of expertise. In the South Africa child project, UNEP co-leads with the Development Bank of Southern Africa. Some interviewees felt that these joint grant implementation arrangements were more the doing of the GEF Secretariat than of the agencies themselves seeking to collaborate, and that they may cause some difficulties in grant implementation and reporting, given the very different nature of the partners. On the other hand, interviewed World Bank representatives working on these projects indicated that they were positively surprised by the level of expertise of their partner.

Two Cities IAP networking events, held in October 2015 in Paris and in March 2016 in Singapore, created opportunities for the consolidation of collaborative ties among participating cities and for the discussion of the role that the GPSC would play in the coordination of the program. Given that CEO approval of the various child projects, GPSC included, did not take place until end 2016, however, these efforts were not supported by the program's budgetary allocations; rather, they depended on key stakeholders' ability to mobilize the required financial resources. Some of the project preparation grants also contributed to financing the participation of national and city representatives.

The MDBs involved with the Cities IAP went through lengthy internal processes to identify, prepare, and then obtain their management or board's approvals of the GEF grants, which are in all cases to be implemented in conjunction with their operational loans. This was highlighted by some as a significant burden in terms of transaction costs for the MDBs, especially those that can easily access alternative grant resources for similar areas of work. For example, the Asian Development Bank's internally established trust

funds do not require board approval for allocations. This procedural constraint might be less significant for the UN agencies involved.

COUNTRY IMPLEMENTATION ARRANGEMENTS

Topics considered when selecting implementation agencies for their respective country child projects were, inter alia, the agencies' level of presence in the country, their engagement with national counterparts, their familiarity with the given country's institutional system and urban challenges, and their prior knowledge of the cities potentially participating in the program. The presence of GEF focal points, mostly located in the national environment ministries, entailed the collaboration between those institutions and line ministries in charge of urban development and infrastructure. The focus on cities and their active participation often translated into grant implementation arrangements that directly involve city government stakeholders from a variety of departments, given the integrative nature of the GEF-supported interventions, which cut across multiple sectors.

In reviewing implementation arrangements, however, the evaluation team identified some differences between the ones made for the six child projects led or co-led by MDBs and those made for the five child projects led by the UN agencies. In the case of the MDBs, the identification and preparation of large-scale investment operations in the selected cities were already ongoing jointly with the related analytical work, policy dialogue, and development of implementation arrangements and related procurement plans. The availability of GEF grants complementing the loan proceeds has been built into such arrangements and benefits from the high level of interest and mobilization of national and local authorities around the loan operations and expected outputs and outcomes. Given the overall oversight by the MDBs, GEF grant disbursements will mostly occur via "project management units" established for the implementation of the loans and benefit from all related fiduciary arrangements.

The MDBs perceive the GEF grants as opportunities to pilot more integrated and innovative approaches to sustainable urban development, urban transport, and other infrastructure operations that they are financing through their ordinary loans. Governments are often reluctant to borrow for project components that do not fit their perception of national investment priorities, and that is often the case for those that have global, instead of local, benefits. The blending of grant resources with loan proceeds reduces the financial interest rate of the investment and can represent an attractive feature for the borrowing government.

In the case of the country child projects led by the UN agencies, the GEF grants are mostly paired with national and local government resources, which will follow normal and separate public sector disbursement procedures. Implementation arrangements prepared in consultation with local counterparts are therefore specific to the GEF grant and often entail disbursement either via municipal bodies whose efficiency or fiduciary oversight could be suboptimal or via dedicated nonprofit organizations that will act as subcontractors to the UN agencies, while ensuring that the latter are compensated for project management.

This may account for the differing attitudes of the MDBs and of the UN agencies regarding the Cities IAP Program. The MDBs perceive their engagement as worthwhile but express some frustration around the high transaction costs, GEF's interference in the definition of the project components, and, in some cases, the mandatory inclusion of UN agencies in the projects. The UN agencies, on the other hand, express a high level of satisfaction with being part of the program, the GEF

Secretariat's efforts at promoting their work, and the opportunity to provide services in returns for fees.

D.3 Efficiency of the design and launch process

THE COUNTRY SELECTION PROCESS

The country selection process occurred via several informal, parallel consultations between the GEF Secretariat, MDBs, UN agencies, and national governments during the early project design phase following the May 2014 GEF General Assembly approval of the Cities IAP Program's inclusion in the GEF-6 Programming Directions. There is general agreement that the GEF Secretariat led critical decisions on which countries/cities to include in the program, often resulting from GEF higher management traveling and holding key meetings with decision makers. The Cities IAP Program's PFD reflects the decisions taken during that phase, states the list of participating countries and cities, and presents the following set of child projects selection criteria defined by the GEF Secretariat (GEF 2015d, 25):

- Commitment to a network-based approach and to engage in the global platform and knowledge-sharing platform
- Impact and replication potential within country and globally
- Readiness, with experience in planning and analysis, and with shovel-ready proposals
- Geographical distribution and status of urbanization
- Local- and national-level commitment to integrated urban management and policy

It should be noted that these criteria were formalized only once the selection of child projects had already taken place. The evaluation team has found no evidence of the use of a set of universal and agreed-upon criteria for the selection of *cities*—including the type and number of cities—to be involved in each country. A background paper for the August 2014 consultative meeting proposed a universal set of 10 criteria for the selection of pilot cities and urban areas, but the evaluation team found no evidence that these criteria had been used in actual city selection (GEF 2014e). City selection was presented in the PFD as the result of choices made by relevant national stakeholders as part of the design process of the individual child projects (GEF 2015d, 25). Interviews with key country stakeholders provided evidence that in-country city selection, while not being based on a universal and agreed-upon set of criteria, was often based on a careful consideration of levels of commitment, impact, potential, and readiness. Based on the information available, the evaluation team finds that, in retrospect, all participating cities are appropriate toward the Cities IAP.

Some interviewees were of the opinion that a universal set of criteria was not defensible, given the diversity in cities and their contexts. Others felt that the actual criteria on which, and the process by which, countries and cities were selected should have been more transparent. Interviewees questioned the basis for choosing or dropping some country candidates. Others commented that 11 child projects and 28 cities may be too many to handle all at once for a program that is experimenting with a new way of doing business.

Of the 11 countries taking part in the Cities IAP, 7 are upper middle income (Brazil, China, South Africa, Malaysia, Peru, Paraguay, and Mexico), 3 are lower middle income (India, Côte d'Ivoire, and Vietnam), and 1 is low income (Senegal), per World Bank classification. Brazil, India, China, and South

Africa are four of the five BRICS.[4] Côte d'Ivoire, Senegal, and Vietnam benefit from International Development Association credits, and, to some extent, so does India.

Out of the total 28 cities involved, 7 are capitals (Abidjan, Asunción, Beijing, Brasília, Dakar, Johannesburg, and Lima). Five child projects (Côte d'Ivoire, Malaysia, Paraguay, Peru, and South Africa) focus on a single city, one child project (Brazil) focuses on two cities, three child projects (Mexico, Senegal, and Vietnam) focus on three cities, one child project (India) focuses on five cities, and the China child projects focuses on seven cities.

Two regions—Middle East and North Africa, and Europe and Central Asia—are not covered by the Cities IAP. The evaluation team was not able to assess why the Cities IAP did not include countries in these two regions, but it certainly represents a choice of consequence, given the urban sustainability issues faced by cities in those regions and in terms of the future expansion of the urban sustainability work that the GEF wants to promote.

PROGRAM-TO-PROJECTS COHERENCE

A reversed approach—that is, identifying child project concepts first and developing the PFD as an overarching framework—was possible given that the essential features of the Cities IAP had already been defined through the GEF-6 Programming Directions, the STAP policy paper on sustainable urbanization, and the background paper prepared for the August 2014 consultations. The program results framework provides outcomes and indicators for the following four program components:

- Enhancing integrated sustainable urban planning and management
- Monitoring local and globally relevant performance frameworks for improved performance
- Catalyzing investments in sustainable cities
- Enhancing partnerships for sustainable cities at local, national, and global levels (through knowledge management, capacity building, global coordination)

The quality at entry review of the country child projects confirms the overall coherence of their stated outcomes, components, and project activities with the guidance provided by the PFD—with multiple variations on how the urban sustainability theme is framed in participating cities. In addition to support for institutional urban management, capacity building, and city networking present in all child projects, activities financed by the grants include the following: urban planning, urban resilience, water resource management, solar energy vehicles, ecosystem services, transit-oriented development, air quality management, bus rapid transit, nonmotorized transportation, persistent organic pollutant abatement, waste-to-energy, renewable energy, energy efficiency, information and communications technology, biodigesters, photovoltaic systems in public buildings, improved sanitation systems, biodiversity conservation, solid waste management, migratory birds protection, coastal adaptation and coastal zone management, environmental management, planning of industrial areas, hazardous waste, ecodistricts, social housing, food security, urban agriculture, low-carbon urban development, and public street-lighting systems.

[4] BRICS is the acronym for Brazil, Russia, India, China, and South Africa—five countries distinguished by their sizable, sometimes fast-growing economies and their significant influence on regional affairs. All five are G-20 members.

COFINANCING

Most of the child projects implemented by the MDBs have a strong focus on a single sector. Transit-oriented development and sustainable urban transport are a recurring theme for half of them (China, Côte d'Ivoire, and Peru, GEF IDs 9223, 9130, and 9698, respectively). The same theme is also at the core of the Paraguay project, which relies on an IDB urban transport loan, although it is implemented by UNDP, which presents the IDB loan as government financing. The Mexico child project (GEF ID 9649) is implemented by IDB, which, however, does not contribute any direct funding, as its emerging and sustainable cities initiative had previously supported the three participating cities. In all projects cofinanced by an MDB loan, the disbursement of the loan proceeds will likely be driving implementation of the grant activities as well. The GEF grant is understood to be a complementary resource that will allow experimentation, piloting, integration of new approaches, training, and knowledge management related to urban sustainability that would not otherwise be financed by the MDB loans.

Child projects implemented by the UN agencies have a much wider set of components and pursue a greater number of GEBs. They rely more on in-kind government contributions and on public sector investments for the implementation of their activities. These, however, are more subject to potential delays and budgetary reallocations—according to the relevant agencies—than MDB loans and therefore represent less secure sources of funding. There is evidence of private sector commitment as part of project cofinancing in three UN agency–implemented child projects (Côte d'Ivoire, India, and Senegal, GEF IDs 9130, 9323, and 9123, respectively), for an aggregate amount of $23 million, or 1 percent of total cofinancing. Private sector participation is intended for cleaner industrial production processes. UNIDO is the GEF Agency implementing these projects, on its own in India and in partnership with the African Development Bank in Côte d'Ivoire and with the World Bank in Senegal.

RESULTS-BASED MANAGEMENT AND M&E DESIGN

The variety of themes and activities discussed under "Program-to-projects coherence," above, is a testament to how broad the urban sustainability agenda can be. While each child project is pursuing a certain set of local sustainability goals, and will be held separately accountable for their achievement, the Cities IAP should be able to present aggregate and measurable results under three targeted focal areas—(1) climate change mitigation, (2) biodiversity conservation, and (3) chemicals and waste—and related GEB targets. The tracking tool requires each GEF Agency to report key baseline data on the following:

- **Urban context:** including population, economy, governance, geographic location and climate, access to water, sanitation, solid waste management, power, and transportation
- **Climate change mitigation:** requesting the assessment of eight key quantitative outcome indicators that the child projects intend to achieve in the participating cities
- **Chemicals and waste:** focusing on persistent organic pollution elimination or reduction via nine possible measures to be supported by the child projects
- **Biodiversity:** managing the human-biodiversity interface: landscape/seascape coverage, management practices applied, policy and regulatory frameworks

The PFD stated that all participating countries and cities would report on a common set of indicators

as part of an overarching integrated platform (GEF 2014c, 185) to be fleshed out during the project preparation phase (GEF 2015d, 14). The review of the child projects' requests for CEO endorsement shows that all report GHG abatement quantitative targets and additional target contributions to GEBs, if applicable. (See annex C.)

The child projects' requests for CEO endorsement also include the project results frameworks, which reflect the child projects' components and activities and should provide quantitative indicators (aligned with what is presented in the respective tracking tool) jointly with baseline data, end-of-project targets, sources of verification, and assumptions/risks. The coherence of project results frameworks across the portfolio, however, is limited. Only three country child projects (Côte d'Ivoire, India, and Malaysia, GEF IDs 9130, 9323, and 9147, respectively) make explicit reference to, and use of, the PFD's indicators. The Mexico and Peru child projects' project results frameworks (GEF IDs 9649 and 9698, respectively) do not present assumptions and risk. The Vietnam child project (GEF ID 9484) has no assumptions. The Côte d'Ivoire child project (GEF ID 9130) does include risk-mitigation measures. The China and Senegal child projects (GEF IDs 9223 and 9123, respectively) do not include project results frameworks at all. Provisions have been made within each project to support reporting requirements to the GEF.

The project results framework for the GPSC, the hub project, reflects the following three outcomes:

- Increased scope and depth in knowledge and capacity for measuring urban sustainability and integrated planning
- Increased knowledge on building financial capacity for urban sustainability
- Enhanced connectivity and partnerships for sustainable cities at the local, national, and global levels.

The four outputs under outcome number one are the following:

- Indicators for urban sustainability are developed and used by cities or use of geospatial data and analysis is enhanced.
- On-line urban dashboard is established, including geospatial data and city information for the participating cities.
- Latest technical knowledge, tools, and methods on integrated urban planning are synthesized and made available to decision makers.
- Participating cities' urban sustainability status is assessed, and action plans are developed (subject to agreement and collaboration by the participating cities).

The important mandate of measuring the urban sustainability of participating cities is now inscribed in the GPSC's work program 2017–18 (GEF 2017a). A draft urban sustainability framework has been prepared by the GPSC and circulated for internal comments. The World Bank points inter alia to the interest of participating cities in ways to benchmark their performance against that of other cities, which is possible only against a set of commonly adopted indicators and certified baseline data entry.

When consulted by the evaluation team, however, most agencies, MDBs, and UN agencies express concern that the implementation of the urban sustainability framework that is being proposed by the GPSC may become an additional burden on the agencies' teams and their city counterparts. Some define it as a difficult retrofit, especially as each project already has its own set of objectives and indicators identified during project preparation.

Now is the time when the agencies, having waited and finally obtained GEF approval, are eager to implement what has already been designed in the child projects, agreed to with the local counterparts, and financed. They are not eager to commit to additional mandates suggested by the GPSC and do not have additional allocations available in their project budgets. They expect to be supported by the GPSC in what they have to do, not to have to support the GPSC in what it has to do.

Some Agencies also express the concern that the urban sustainability framework may be too complex for some of the participating cities, which may not have the raw data to contribute or even the ability to generate it. Others refer to the dashboard that has been developed under the IDB emerging and sustainable cities initiative, and to the World Council on City Data, as existing sets of urban sustainability indicators, and question the need for the GPSC to develop its own. Even if the existing indicator sets were to be adopted, though, the additional burden of data collection by the cities and executing agencies would remain an issue. Some agencies hold the view that the urban sustainability framework would be a useful piece of work for future use in a potential second phase of the Cities IAP Program, but not in the short-term phase.

D.4 Mechanisms for broader adoption

The realization of the Cities IAP comparative advantages in large part hinges on the success of the hub project, the GPSC. Much work remains to be done to realize its potential. This includes creating a common framework across the Cities IAP child projects and the development of a baseline set of indicators and its role in capacity building.

The GPSC is designed to

> provide expertise and knowledge support for the development and adoption of an evidence-based, integrated approach toward resilient, inclusive and sustainable cities. The work is organized around three key pillars: spatial data/indicators, integrated planning and financing. (GEF 2017a, iv)

The GPSC has proposed and is implementing various programs in pursuit of its mandate, including the design of an urban dashboard, a yearly program meeting, a web portal and on-line platform, capacity-building and training events, and the development of a common set of indicators. The GPSC is managed by the World Bank, operates out of Singapore, and draws upon an expanding circle of experienced sustainable cities networks, partners, and institutions.[5] A resource team comprising the World Resources Institute, C40, and ICLEI was a late addition to the GPSC through a stand-alone medium-size project titled Urban Networking to Complement and Extend the Reach of the Sustainable Cities IAP. Its objective is "to strengthen the Global Platform for Sustainable Cities for more integrated and sustainable urban planning and development through city-to-city and network knowledge sharing." It was designed as an access point for cities to access expert assistance, to offer learning events, webinars, and linkages to global events, and to document knowledge management.

Evidence that the GEF has remained in charge of the program as much as the World Bank is also provided by the last-minute addition of a medium-size project grant. The GEF Secretariat allocated this $2 million grant, funded over and above the earmarked Cities IAP budget, jointly to the World Resources Institute, ICLEI, and C40, defined collectively as the resource team. The

[5] The GPSC is extending its network of partnerships to UN-Habitat, Cities Alliance, the Singapore government, the Nordic Council's initiatives on sustainable cities, the Japanese city of Yokohama, and others that can provide best practices and mobilize further expertise.

contracts for the three resource team members had not been processed by the end of June 2017.

INTERNATIONAL FINANCIAL INSTITUTIONS' COORDINATION FOR URBAN SUSTAINABILITY

The GEF Secretariat's emphasis on attracting more partners to take part in the GPSC coincides with the vision expressed by World Bank management, whereby the GPSC could become the collaborative hub of international financial institutions on the theme of sustainable urban development. The Quito Habitat 3 Conference in 2016, followed by the release of SDG 11 on sustainable cities and communities, was a first opportunity for greater coordination among international financial institutions in this area. More consultations have taken place at the International Monetary Fund/World Bank 2017 spring meetings, and further steps could eventually lead to a coalition of international financial institutions that would rely on the activities of the GPSC to create the conduit for supporting urban sustainability worldwide.

The commitment of both key partners in the program, the GEF and the World Bank, to start planning for the continuation of the Cities IAP with a 2025 time horizon is reassuring and speaks to the increasingly recognized importance of cities in working toward local and global sustainability for the planet. The collaborative agreement between the two institutions will presumably lead to a joint definition of the second phase of the Cities IAP. Meanwhile, the short-term challenge is for the Cities IAP Program to implement its current phase successfully and to achieve its intended outcomes across its entire portfolio of child projects.

INNOVATION THROUGH KNOWLEDGE CAPTURING AND LEARNING

There are significant expectations on the part of the GEF Agencies to get support from the GPSC. The international learning events organized by the GPSC in Paris and Singapore have seen the involvement of many representatives of the GEF Agencies and of participating cities, with stated satisfaction, and there are expectations for more engagement in terms of technical expertise, advisory services, learning events, and presentation of best practices.

INSTITUTIONAL CAPACITY BUILDING AND NATIONAL NETWORKING IN COUNTRY CHILD PROJECTS

Institutional capacity-building activities to ensure that urban sustainability gets mainstreamed in the modus operandi of the participating cities and national authorities are explicitly mentioned in all the country child projects' documentation. There is also evidence in the child project documents of activities that will support the creation or reinforcement of multisector coordination and planning mechanisms at the city level, to better integrate local and global sustainability considerations with urban planning and infrastructure development. In some projects (Côte d'Ivoire, India, Mexico, and Paraguay, GEF IDs 9130, 9323, 9649, and 9127, respectively), there are also references to working toward greater collaboration among multiple local jurisdictions for better metropolitan environmental planning that would be required for future urban sustainability plans.

The Brazil, China, Senegal, and Vietnam projects (GEF IDs 9142, 9223, 9123, and 9484, respectively) include components, expected outcomes, and indicators related to the uptake of the urban sustainability agenda by more cities than those directly participating in project implementation.

In some cases, national networks or associations of cities are identified as the vehicles for further dissemination. Across the portfolio, the expectation is that innovations generated and tested as part of the Cities IAP would become examples of urban sustainability approaches to be replicated and scaled up more broadly. For this reason, the coupling of pilot investments with knowledge products and training opportunities is an attractive package that promises wider impacts at the national scales.

THE ROLE OF THE GPSC IN KNOWLEDGE CAPTURING AND LEARNING

Many planned GPSC activities are designed to provide the connectivity between participating cities and related local and national institutions, including the urban dashboard, the yearly program meeting, the web portal and on-line platform, the capacity-building and training events, and the common set of indicators. Many factors favor the GPSC's plans to provide cities and institutions that are part of the Cities IAP with access to global experience: (1) its management by the World Bank, a global institution with multiple decades of urban sustainability engagement and a long list of staff who are on call to provide expertise on relevant aspects of the urban sustainability agenda; (2) its operation out of Singapore, whose government and research institutions are highly respected for their commitment to livable cities and related technical assistance; and (3) the expanding network of partners and institutions from which the GPSC can draw.

The review of the GPSC documentation points to a real concern, which has also been voiced by representatives of the GEF Agencies involved, concerning the expectation that country child projects contribute financial resources toward the implementation of joint activities promoted by the platform. The resources currently devoted by the country child projects to the institutional capacity-building activities are already allocated as per child project budgets that are finalized and CEO approved. They do not include the costs of participation by city representatives in the multiple international training and learning events organized by the GPSC, or the costs of cofinancing other local activities that may result from GPSC initiatives, such as data collection, development of local indicators, preparation of urban sustainability action plans, and more.

Despite the interest in the opportunities offered by the platform, GEF Agencies may find it difficult to take on the additional tasks and financial commitments resulting from GPSC activities while having to focus on the implementation of the projects as designed and committed to, in the limited time frame of grant implementation. Most prominent are the issues of financing international travel and subsistence costs for city representatives attending the international training sessions and program meetings every year, and of additional data collection for establishing a more coherent baseline for participating cities around additional sustainability indicators. Without any authority over the country child projects, whose agencies report to the GEF Secretariat directly, the GPSC is not able to require participation in its activities by the country child projects stakeholders beyond their voluntary adhesion. Agencies, on the other hand, expect to receive support from the platform that they see of service to their projects, and to have a say on its budget and activities, but they may be reluctant to adhere to its demands. This tension must be resolved for the satisfactory implementation of the program.

While urban sustainability encompasses a set of considerations that apply to cities worldwide, their specific priorities vary considerably with the level of national economic development. Child projects have been designed respecting such differences

and local developmental and sustainability priorities, but it will be important to keep such differences in mind in the development of common program activities to be provided by the GPSC. GEF Agencies in charge of the implementation of the projects in both Côte d'Ivoire and Senegal have flagged their concern that such activities may be mostly reflecting the institutional and technical capacity of upper middle-income countries, and that they risk being not adapted to the undoubtedly lower capacity of cities in Sub-Saharan Africa.

Annex E: Commodities IAP Program findings

E.1 Integrative nature of the Commodities IAP

ALIGNMENT OF PRIORITIES ACROSS SCALES

The pursuit of drivers of environmental degradation is one of the key strategic priorities as outlined under the GEF 2020 strategy. The Commodities IAP aligns well with this aim by focusing on one of the main drivers of environmental degradation—that is, agricultural production expansion. The IAP is designed to take a systemic approach to overcome single focal area silos and single-country, single-commodity, and single-activity focus to shift reliance to an integrated supply-chain approach covering multicountry, multistakeholder engagements and concerning multiple commodities. As such, it is focused on delivering integrated solutions through strategic partnerships with national and international actors and covering multiple focal areas.

The Commodities IAP Program contributes to the GEF's focal areas of climate change, with a focus on climate change mitigation and biodiversity, while recognizing that sustainable forest management (SFM) is a crosscutting issue.[1] The program targets focal area strategies that are already integrated in nature. By addressing the biodiversity strategy in production landscapes (BD-4 program 9), the program aims to sustain biodiversity in the production landscape, a result that will simultaneously secure the ecological integrity and sustainability of protected area systems (GEF 2014c). By targeting CCM-2 Program 4 (promote conservation and enhancement of carbon stocks in forest, and other land use, and support climate-smart agriculture), the Commodities IAP draws direct linkages with biodiversity, land degradation, and sustainable forest management, which integrates carbon consideration into the agricultural sector and forest management. The sustainable forest management strategy is also targeted by the Commodities IAP, which advocates an integrated approach at the landscape level. SFM-1 (Maintained Forest Resources: reduce the pressures on forests of high conservation value by addressing the drivers of deforestation) aims to develop synergy with the efforts on protected areas and the mainstreaming of biodiversity-relevant management technologies in the biodiversity focal area and the promotion of carbon stocks in the climate change focal area (GEF 2014c).

Perceptions among Commodities IAP stakeholders on the issue of alignment and integration in the IAP compared with standard project approaches and previous programmatic approaches were consistent. Most respondents stated that the supply-chain approach would lead to greater synergies across actors and institutions involved

[1] All child projects cover biodiversity, climate change, and sustainable forest management, except for the enabling transactions project, which covers only climate change.

with the projects at the subnational and national level (private global companies, local companies, local governments, provincial governments, state governments, and national ministries of agriculture, environment, and forestry). Integration is also expected to occur across policy domains, as relevant policies are expected to be enacted in the agriculture, forestry, and environmental sectors, to ensure that appropriate land is available for sustainable production. All requests for CEO endorsement of child projects described efforts at the country level to enhance cooperation across ministries, agencies, and other stakeholders.

Review of project documents and interviews with key informants reveal that the Commodities IAP child projects have made efforts to align with specific national government priorities. The projects enable and enhance compliance with existing initiatives in Brazil, Indonesia, and Paraguay, while providing an opportunity for Liberia, a relative newcomer in palm oil, to develop its sector sustainably while incorporating lessons from Indonesia. Most stakeholders (15 of 17) indicated in the online survey that the Commodities IAP Program and child projects will help maintain or enhance the alignment with country priorities, compared with other GEF projects in which they have been involved in the past.

In interviews, stakeholders shared the expectation that the existing Brazilian Forest Code,[2] which has been applied to the Amazon biome, can now be implemented more stringently in the MATOPIBA region (a region of project activities encompassing the states of Maranhão, Tocantins, Piauí, and Bahia) as a consequence of this Commodities IAP. Similarly, the program documents suggest links with the Indonesian National Palm Oil Platform and are expected to enhance compliance with the Indonesian Sustainable Palm Oil standard's mandatory certification system for all palm oil plantations in the country. While the UNDP Green Commodities Project (GEF ID 4860) in Paraguay helped to bring deforestation issues to the fore in the Atlantic Forest region of the country, the Commodities IAP will support Paraguay's national strategy to help the Chaco region develop a sustainable beef production, as it is experiencing high environmental degradation due to rapid clearing of forest lands associated with beef production. Hence, the Chaco region is a priority for Paraguay's national conservation efforts, supported through the Commodities IAP Program.

There is also alignment between the Commodities IAP Program and the Africa palm oil initiative of the Tropical Forest Alliance 2020. According to Liberia's Agenda for Transformation and the National Export Strategy 2014-2018, the government considers palm oil production one of the most important industries for the future. Liberia desires to realize the economic potential of investment and expansion of the palm oil sector holistically while maintaining forested areas with important climate and biodiversity values. Hence, Liberia has developed a set of national principles for the responsible development of the oil palm sector and an action plan to put these principles into practice. The Commodities project will address many of the actions listed in the action plan. For example, there is currently no nationally agreed-upon definition of high carbon stocks in Liberia. The Commodities IAP Program will help address this and other policy gaps. The program design indicates initiating activities in Grand Cape Mount, Bomi, Gbarpolu, and Bong counties, the four regions for palm oil development.

[2] The Brazilian Forest Code is a law, originally passed in 1965, requiring landowners in the Amazon to maintain 35–80 percent of their property under native vegetation.

ALIGNMENT AND SYNERGIES WITH GEBS AND MULTILATERAL ENVIRONMENTAL AGREEMENTS

The Commodities IAP Program is expected to generate substantial GEBs, including reduced deforestation from agricultural commodity production and associated carbon sequestration, biodiversity conservation, and sustainable forest management.

Only two of the five child projects have specified GEB targets—mainly, the production child project and the Brazil child project. This is not unexpected, as the remaining projects will have an indirect effect on GEBs but will not contribute directly, since they pertain to knowledge management, managing demand, and enabling financial transactions related to commodity purchases and trade. In general, the sum of the GEBs targeted by child projects are consistent with the targets set for the program level. The program-level CO_2e mitigation target has changed from 80 million tons, set when the PFD was cleared for work program inclusion in April 2015, to 117.5 million tons, as specified in the hub project's request for CEO endorsement in December 2016, which include 80.2 million tons direct CO_2e mitigation and 37.3 million tons indirect CO_2e mitigation. In the most recent Commodities IAP progress report to the GEF Council in May 2017, the target was modified to 100 million tons (direct and indirect CO_2e mitigation together). GEB targets, according to requests for CEO endorsement, are shared in annex C.

The Commodities IAP Program's focal areas align well with the objectives of the three Rio conventions. For the CBD, the Commodities IAP will contribute to Aichi Target 5 on reducing habitat loss and forest loss and target 7 on agriculture, aquaculture, and forestry. The program responds to the UNFCCC Decision 1/COP.16 on reducing emissions from deforestation and conservation of forest carbon stocks and UNCCD Decision 4/COP.8 on reinforcing sustainable forest management as a means of preventing soil erosion and flooding. The program will also meet the UN Forum on Forests global objective of reversing the loss of forest cover worldwide through sustainable forest management, including protection, restoration, afforestation, and reforestation, and increase efforts to prevent forest degradation.

Based on the online stakeholder survey results, 15 of 17 respondents say the Commodities IAP Program and its child projects maintain or enhance their abilities to report to multiple UN conventions. The objectives of the Demand child project, to prevent GHG emissions, deforestation, and threats to biodiversity, do align with multiple conventions. Feedback from some of the convention head offices did not reveal particular knowledge on the link between the Commodities IAP Program's objectives and the convention's objectives.

ADDITIONALITY

The GEF-6 Programming Directions document states that the integrated commodities approach marks a paradigm shift for the GEF's operational modalities by expanding a traditional national government–focused model to reflect on a wider range of actors involved in key commodities, including the private sector, which is involved in the majority of on-the-ground activities from forest conversion to financial services and encompasses smallholders to multinational companies (GEF 2014c, 188). This broader approach expands the GEF's sphere of influence to reach beyond governments.

By applying a supply-chain lens to the overall design, the Commodities IAP Program expects to engage all major actors to harness best practices and sustainability principles for production, generating responsible demand and enabling financial transactions. Furthermore, the introduction of an AML project, with its emphasis on knowledge exchange, monitoring, and learning throughout

the duration of the projects, represents a distinct departure from previous program/project formulations.

At design, innovation can be seen in the multicountry, multistakeholder engagement and through the establishment of steering committees at the global and national level and the inclusion of private sector advisory committees and working groups aimed at establishing platforms and involving financial institutions. The comprehensiveness of coverage, spanning from national policy to global financial institutions, renders the Commodities IAP Program unique. In particular, the program aims to reduce finance flows into commodity production driving deforestation while supporting a business case for sustainability alongside the development of blended and commercial financial products to support adoption of sustainable commodities. Innovation also lies in working with financial regulators to identify and promote financial system regulatory interventions that can contribute to reducing pressure on forests. While it is too early to comment on the outputs, the scope of the approach is unlike that of previous GEF programs.

The program also aims to establish national and regional platforms for learning, cooperation, and exchange among ministries, agencies, and all other key stakeholders. For example, in Liberia, the project will work through the existing palm oil technical working group. The project will also establish a landscape-level forum to ensure broad-level participation within specific landscapes.

Key stakeholders concurred that the Commodities IAP's supply-chain approach was the main differentiating factor contributing to innovation and the engagement across agencies. The same stakeholders, however, did question the risk introduced by working in such different geographies on similarly themed topics, given the vast differences in context between countries.

Based on a comparison with four similar GEF projects, the Commodities IAP Program's uniqueness can be seen in relation to the following:

- Its expansion into different geographies—that is, regions in countries not previously covered by similar GEF projects (Chaco in Paraguay, MATOPIBA in Brazil, and parts of Kalimantan, Indonesia)
- The inclusion of climate change as a focal area in commodities projects
- The active private sector engagement at design and anticipated throughout implementation

Because private sector companies are often involved in production and processing, they are a key consideration in the program, as are finance institutions. Improvement in the commodities sector often depends on working with the same groups of private sector and financial actors. Table E.1 presents a comparison between the Commodities IAP and the following four previous projects in the targeted countries and in similar focal areas:

- The Paraguay project, Mainstreaming Biodiversity Conservation and Sustainable Land Management into Production Practices in All Bioregions and Biomes (GEF ID 4860)
- The Indonesia project, Strengthening Forest Area Planning and Management in Kalimantan (GEF ID 6965)
- The Sustainable Cerrado Initiative (GEF ID 2641), in Brazil
- The global project covering Indonesia, Ghana, Ivory Coast, and Malaysia titled Biodiversity and Agricultural Commodities Program, Phase 1 (GEF ID 2618)

TABLE E.1 Comparison between the Commodities IAP and past projects

Item	Commodities IAP	Mainstreaming Biodiversity Conservation and SLM into Production Practices (GEF ID 4860)	Strengthening Forest Area Planning and Management in Kalimantan (GEF ID 6965)	Sustainable Cerrado Initiative (GEF ID 2641)	Biodiversity and Agricultural Commodities Program, Phase 1 (GEF ID 2618)
Countries	Brazil, Liberia, Paraguay, Indonesia	Paraguay	Indonesia	Brazil	Indonesia Malaysia, Côte d'Ivoire, Ghana
Specific regions	In Indonesia: Sintang in West Kalimantan, South Tapanuli in North Sumatra, and Pelalawan in Riau In Liberia: Grant Cape Mount, Bomi, Gbarpolu, and Bong In Paraguay: Boquerón and Agua Dulce In Brazil: Maranhão-Tocantins-Piauí-Bahia in MATOPIBA region	Three priority sites in Parana, Amambay, and Canindeyú in the Upper Parana Atlantic Forest ecoregion	Sintang and Ketapang in West Kalimantan; Kotarwaringan Barat in Central Kalimantan; and Mahulu district in East Kalimantan	Cerrado states, particularly Goias and Tocantins	n.a.
Focal areas	BD, SFM, CC	BD, LD	BD, LD	BD, LD	BD
Commodities	Palm oil, beef, soy	Soy, beef	Palm oil	Soy	Palm oil, cocoa, sugarcane, and soybeans
Duration	4 years	5 years	7 years	6 years	7 years
Activities	Production, demand, AML/knowledge management, financial institutions	Production, financial institutions	Production, AML/knowledge management	Production	Production, demand, financial institutions

NOTE: BD = biodiversity; CC = climate change; LD = land degradation; SFM = sustainable forest management; n.a. = not applicable.

E.2 Analysis of partners and the wider constituency

COMPARATIVE ADVANTAGES, ROLES, AND COORDINATION

The GEF has vast experience in developing sustainable agriculture, sustainable forest management, commodities, and restoration programs and a comparative advantage in tackling drivers of environmental degradation in a synergistic way. The GEF's convening power has allowed the Commodities IAP Program to put in place collaborations and networks that envision it being able to play a catalytic role, particularly in leveraging private sector engagement while generating GEBs across different focal areas. The GEF also has experience taking an integrated and systems approach to tackling a broad range of issues with multiple benefits, and a proven record in funding demonstration and pilot activities. The GEF's engagement with financial intermediaries, enabling policy environments and institutional strengthening, also lends it comparative advantage.

Factors considered when choosing the five selected implementing agencies—UNDP, CI, WWF, the World Bank/IFC, and the UNEP Finance Initiative—were their experience in the subject matter, their country presence, and their credibility with other stakeholders. As told to evaluators, the responsibility of the lead Agency, UNDP, was established early on in the project and agreed to by the other Agencies.

UNDP has extensive experience with governments in all of Paraguay, Brazil, Indonesia, and Liberia and was considered a reliable partner that has weathered storms—for example, having a presence even during the height of the conflict in Liberia. UNDP also has credibility, having worked in a similar project preventing deforestation in Paraguay that, according to interviewees, has changed the mind-set of the country regarding agriculture. (The project is Mainstreaming Biodiversity Conservation and Sustainable Land Management into Production Practices in All Bioregions and Biomes, GEF ID 4860.) UNDP has also demonstrated experience in establishing national commodity platforms in two of the three target countries (Indonesia and Paraguay) and is bringing in CI, which has worked on palm oil extensively as a major implementer.

As CSOs, WWF and CI have been deeply enmeshed in the topic of conservation and agricultural commodities. CI has a long history of commodities work in Latin America and in working with the private sector and with palm oil in Liberia, making it a qualified partner. CI also has extensive experience in Brazil and was requested by the government to be the main implementing Agency based on their track record and ease of transaction working with one Agency. Both WWF and CI also have relevant experience working with private sector firms for market transformation and are credited with transformative work on improving standards, increasing supply-chain transparency with local offices in Liberia, Brazil, Indonesia, and Paraguay. IFC, which is leading the enabling transactions project, has experience transforming the emerging and developed market-banking landscape through promotion of environmental and social standards and has successfully concluded another similar commodities program, Biodiversity and Agricultural Commodities Program, Phase 1. The UNEP Finance Initiative, an executing partner, is a specialized arm of UNEP with extensive networks with financial institutions and has worked on deforestation issues with the REDD+ agenda and has a successful history of providing a platform to financial institutions on sustainability issues.

IDB is listed in the PFD as an implementing partner, but it ultimately dropped out, as it would have outsourced the work to the Nature Conservancy.

FAO also had expressed interest based on farmer training and farmer support and expertise in forestry, but it did not move forward. While these agencies may have been good potential partners, their absence does not seem to have detracted from the program.

In-country arrangements for project execution involve national ministries (or equivalent) of agriculture, forestry, and environment, and ministries associated with the operational and political focal points in the four countries.

ENGAGEMENT OF A BROADER CONSTITUENCY

Collaborative partnerships within the Commodities IAP Program are a conduit for driving sectorwide transformation and provide a testing ground for emerging models or concepts. This is the premise on which the design is based; the aim is to create a beacon effect that can spur broader adoption of the integrated approach and to incorporate scientific findings.

A main collaborative partnership concerns the arrangements among the implementing/executing agencies themselves. Five main Agencies (UNDP, CI, WWF, World Bank/IFC, and the UNEP Finance Initiative) are working through a consortium and have taken on different responsibilities either unilaterally or in collaboration with one another on different projects. The partnership contributes to the design of comprehensive program, which took into account the expertise of the different agencies.

In reviewing implementation arrangements, the evaluation team identified some differences between the arrangements made for child projects led or co-led by UNDP and one led by CI for the Brazil soy project. Following Council approval of the PFD, the government of Brazil requested an explicit focus on soy, bringing together substantive aspects of production, demand, and enabling transactions under one single child project. This is in contrast to UNDP's work in partnership with multiple agencies as executing partners, with various responsibilities assigned to each. For the Brazil soy project, CI has the bulk of the execution responsibility. As told to evaluators, the reason for this arrangement was Brazil's desire to reduce transaction costs and complexity associated with multiple agencies. The government indicated at the outset of the design of their project that they would prefer only one executing agency.

COLLABORATIVE PARTNERSHIPS

Stakeholder engagement and collaborative partnerships for the Commodities IAP Program were achieved through a two-pronged approach: One is the participatory design process, and the other is a stakeholder outreach process (GEF 2017b).

The design phase of the Commodities IAP Program incorporated a participatory process, with countries, GEF Agencies, and a wide range of stakeholders involved. The Commodities IAP has undertaken extensive external stakeholder consultations and outreach to private and public industry organizations to gain a greater understanding of how business tackles deforestation. Further, given the different complexities and challenges in each commodity, separate commodity platforms and relevant roundtables are interwoven into the child projects to create collaborative partnerships.

An analysis of the program's partnership framework reveals that the program design appears to follow STAP recommendations that partnerships should be based on technical expertise and complementarity among partners and agencies to justify the transaction costs associated with multi-Agency programs and projects (GEF STAP 2017). The Commodities IAP Program has

classified partners into engaged stakeholders and active stakeholders, depending on degree and stage of involvement. The definition of roles (expert, influencer, implementer, donor, or tool contributor) and the delineation of global program partners (more than two countries) and child project partner are important design elements that adhere to the STAP recommendations.

The stakeholder outreach process is reflected in the hub project, titled Adaptive Management and Learning for the Commodities IAP (GEF ID 9179). The AML project also acts as a platform for discussions among key partners, such as the United Kingdom's Department for International Development, the Sustainable Trade Initiative (IDH), UN REDD+, and Forest Trends, among others, to identify collective environmental impact targets. To help coordinate efforts, the AML project has a budget of approximately $9 million, representing approximately 3 percent of the total budget allocated. This appears to be a large absolute amount, but metrics to judge benefits should be clearly enunciated and tracked. Given the numerous partnership coordination requirements assigned to this project, the adequacy of the budget may also be constrained.

Partnerships at the global and regional levels are also being formed with the Department for International Development, which is funding the Investments in the Forests and Sustainable Land-Use Program to translate corporate commitments on supply-chain sustainability into action in West Africa and Southeast Asia. Engagement at the program and country levels is also being pursued with the United States Agency for International Development, which is already supporting work in Paraguay's Chaco region to reduce deforestation, promote sustainable production, and work with supply-chain actors. Another key global-level partner with which the Commodities IAP Program will coordinate is Tropical Forest Alliance 2020, which is a global public-private partnership in which partners take voluntary actions, individually and in combination, to reduce the tropical deforestation associated with the sourcing of commodities. Per the program, all partners will be invited to participate in the global community of practice to be established during program implementation.

Although partnerships have emerged as a favored approach and are critical to the IAP Program, a wider set of stakeholders involved in the program has the potential to make the process cumbersome and challenging. The production child project (GEF ID 9180) alone intends to engage over 135 entities—including governmental bodies, private sector entities, nongovernmental organizations, and CSOs—platforms and collaboration forums, and development partners. As mentioned in the May 2017 progress report, the transaction costs associated with coordinating stakeholder engagement during the design phase is undoubtedly high (GEF 2017b). As acknowledged by STAP in its information document *Science of Integrated Approaches to Natural Resource Management* (GEF STAP 2017), the program would wish to be aware of the trade-offs between wide stakeholder engagement and efficiency.

PARTNERSHIPS WITH THE PRIVATE SECTOR

The private sector is increasingly featuring as an important partner in GEF projects. This is especially true of the Commodities IAP Program, as it is geared toward a supply-chain transformation, and these supply chains are those of private sector firms, such as traders and consumer goods companies. The private sector is becoming increasingly active in responsible commodity sourcing, driven by corporate social responsibility goals and pressure from their investors and consumers. Many consumer goods companies, along with the commodity traders that supply them, have

committed to remove deforestation from their supply chains. In 2014, the New York Declaration on Forests[3] was signed by 37 governments, 53 multinational companies, 16 groups representing indigenous communities, 63 nongovernmental organizations, and others. The declaration pledges to halve the rate of deforestation by 2020 and end deforestation by 2030. Though voluntary and nonbinding, this and other commitments motivate engagement in the Commodities IAP. For example, in December 2015, the British retailer Marks and Spencer and the Dutch-British transnational consumer goods company Unilever signed a pledge to prioritize the development of sustainable palm oil, beef, paper, and other commodities as part of a major public-private partnership aimed at tackling deforestation.

Yet progress toward commitments can be slow, since the task is complex (particularly in commodity supply chains such as palm oil and soy) and tackling it requires considerable organizational will and expertise. A recent Greenpeace scorecard on progress toward cutting deforestation in the palm oil supply chain highlighted that

> companies have yet to take control of their supply chains and are unable to say with any confidence that the palm oil they use is not driving the destruction of rainforests, threatening endangered species or contributing to social conflicts in Indonesia. (Greenpeace 2016, 2)

Additionally, Greenpeace points out that many companies have yet to start obtaining independent third-party verification to demonstrate that their palm oil is produced by companies operating in compliance with their own "no deforestation" policies.

The Commodities IAP Program is attempting to engage companies on their journeys and collaborate in ensuring that they can meet their supply-chain commitments. To that end, the program has leveraged strong private sector participation in the design. Private sector interviewees confirmed the relevance of the selected commodities and geographies of the Commodities IAP. The program suggested a strong private sector commitment, as evident in the proposed cofinancing of $380 million of the initial total project cost of $483 million through the child projects in the form of loans and equity. Updated child project documents (requests for CEO endorsement), however, suggest that the private sector financing has yet to be realized. Further, the cofinancing amounts from all child projects do not add up to the initial figures in the parent project, showing a shortfall of about $180 million in cofinancing. The lack of private sector cofinancing, though just one indicator of private sector engagement, speaks to the difficulty in involving private sector entities in GEF projects.

The production project (GEF ID 9180) has benefited greatly from input at the global and local level from the private sector during the preparation of the projects through a program advisory committee comprising representatives of the private sector (for example, the American multinational confectionery, food, and beverage company Mondelez International), including the banking sector (for example, the Spanish banking group Banco Santander) and other technical partners who have provided constructive feedback on emerging consumer trends.

Private sector companies see benefit in being involved at an early stage of the Commodities IAP Program. Producers particularly are interested

[3] The New York Declaration on Forests is a voluntary and nonbinding international declaration that grew out of dialogue among governments, companies, and civil society spurred by the secretary-general's Climate Summit 2014. Signers pledge to take action to halt global deforestation.

in applying more efficient methods for the use of resources. The program would be well advised to demonstrate and articulate continuously a value proposition to ensure active sustained engagement of the private sector through all stages.

The Demand child project has also identified and defined relevant roles for private and public sector stakeholders and sought input directly from the private sector or associations, such as Tropical Forest Alliance 2020, the global consumer goods forum, and various commodity roundtables, throughout the design of the project. Given the multiplicity of private sector entities, the child project design has incorporated flexibility to shift focus between countries as supply chains shift, by using the commodity platforms as feedback loops for changes in supply and demand. While the private sector strategy is fairly comprehensive in its reach, minutes of key meetings should be documented and shared widely to enable iterative learning while the project is being implemented.

In interviews, private sector actors mentioned clear incentives for their companies to engage in the Commodities IAP Program. A case in point is the expected data enhancement in Paraguay, begun with UNDP's green commodities program, which will enable companies to be direct beneficiaries of improved technological information. This, in turn, can help them to identify appropriate land for cattle grazing for beef producers. Furthermore, growers in the supply chain have increased their awareness of international markets and the demand for certification and deforestation-free products.

Similarly, interviewees from the Brazilian private sector anticipate that improved data and land classification efforts through the Commodities IAP Program will enable easier compliance with the Brazilian Forestry Law as it rolls out across all regions in the country. Differentiation of Brazilian soy as more sustainable was also perceived as an asset and is expected to be marketed, as the design of the Brazil soy child project includes a soy traders' platform that is expected to engage interested traders that have so far been untapped, according to interviews with the Sociedade Rural Brasileira, a rural producers association. Additionally, the Southeast Asian Learning Exchange is an example of innovation and engagement of government and private sector palm oil traders and buyers through the demand child project.

According to interviews with stakeholders, sustained private sector engagement in project initiatives will need to demonstrate short-, medium-, and long-term benefits to the private sector from participating in the design workshops and implementation stakeholder meetings. Further, small-scale holders in local jurisdictions need capacity-building support to be able to incorporate new agricultural practices, while local government officials also need support to respond to the increasing demands of an expanding stakeholder base. The program design appears to consider these aspects, but it is too early to state whether the correct provisions are in place for these sustained engagements.

Noteworthy for the Commodities IAP Program is that collective action through forums such as Tropical Forest Alliance 2020 spurs individual company actions, as 95 percent of participants in such groups commit to group initiatives to combat deforestation. Similarly, 98 percent of signatories to the New York Declaration on Forests have committed to reduce deforestation, so these group industry efforts appear to build peer pressure to sustain deforestation efforts. Such collective efforts should therefore be encouraged as sustaining mechanisms for altering industry standards around important challenges such as deforestation.

The enabling transactions child project is a unique attempt to encourage sustainable financing from financial institutions active in emerging markets for agro-specific sustainable commodity financing. The child project's design incorporates the following three critical private sector elements:

- Governments need to be supported to establish incentive structures (fiscal and public policies) if they wish to initiate new modes of operation by the financial and private sector.
- Dialogue between financiers and producers is critical to achieve a transformation, as neither party has sufficient incentive to undertake all dimensions of the transition on its own.
- As public funding will remain constrained, the private sector will have to generate up to $700 billion by 2020 to potentially close the gap in climate financing, including investment in forestry management.

It will be necessary to strategically combine public financing, regulation, and private market participation into efficient and effective public-private partnerships. The enabling transactions child project appropriately focuses on the strategic relationship between public and private finance to mobilize large-scale private finance and achieve supply-chain sustainability objectives over the long term. Integration with the REDD+ agenda broadly and REDD+ finance specifically will be a key area of focus, given the potential for both upfront funding to pay for reform and implementation, and results-based payments under the terms outlined in the Warsaw Framework for REDD+, a framework to support developing nations reduce GHG emissions from deforestation and forest degradation. This child project will also identify other potential sources of concessional or grant-based financing that could be used to develop blended finance packages that accelerate the adoption of sustainable practices.

While the Commodities IAP Program and its child projects have, overall, incorporated private sector companies into the design, principally for the demand component, the absence of major palm oil consumers (such as India and China) and a major producer (Malaysia) is notable. Discussions with UNDP and the GEF Secretariat indicate that attempts were made to include these countries, but that the timing was perhaps not opportune and significant delays would have occurred if these consumers were to be included, and that the security situation in Malaysia's Sarawak region precluded its inclusion. The exclusion of consumers, however, implies that the Commodities IAP lacks the ability to influence the primary markets of India and China, where most of the palm oil is consumed directly, and is therefore seeking alternative measures to influence these markets. To partially remedy this situation, a workshop is planned in China in late 2017 to disseminate information and elicit support for the concept. Further enhancements of the design will focus on building further outreach efforts into these markets, since they are not formally in the demand or production child projects of the Commodities IAP Program.

E.3 Efficiency of the design and launch process

THE COUNTRY SELECTION PROCESS

Although agricultural commodities are grown in many places across the world, soy, beef, and palm oil are of particular importance for the GEF partnership due to the magnitude and significance of their impact resulting from the location and rate of expansion of the areas dedicated to their production. Collectively, these three commodities contribute substantially to deforestation, representing about 76 percent of global deforestation in 2008 (Brack, Glover, and Wellesley 2016).

Using the lens of tackling major commodities that cause deforestation, country coverage of the Commodities IAP Program is appropriate, as it includes primary producers. For instance, Paraguay is emerging as the fourth largest beef producer in the world, while Indonesia and Malaysia account for about 80 percent of global palm oil production. With global demand increasing, West Africa has emerged as a new frontier for industrial palm oil production. Seven oil palm–growing African nations, including Liberia, pledged commitments to protect tropical forests by shifting palm oil production. Soy production is dominated by the United States, Brazil, and Argentina, which together represented about 80 percent of total global market in 2013.

With this information as the backdrop, the design of the Commodities IAP Program benefited from several planning workshops held over a 10-month period from June 2015 to April 2016 to inform the final design of the Commodities IAP Program and included the GEF Secretariat, the STAP, and a steering committee (represented by the GEF Secretariat and leads from all the implementing agencies) prior to the detailed design of the Commodities IAP child projects. The goal of these meetings was to articulate clearly the value proposition of the Commodities IAP in the context of many existing initiatives in the sector and to reach common understanding of the design phase. A common agreement of the following three main strategies of the program were agreed upon by all parties: (1) putting more degraded lands into commodity production, (2) stopping new conversion of land, and (3) seeking buyers' commitments.

While the GEF Secretariat was instrumental in selecting the final list of target countries within the Commodities IAP Program, these workshops helped to solicit feedback in-country from major producing or consuming countries (Brazil and Indonesia). The workshops involved relevant private sector parties who dominate commodity supply chains (including eight global traders and a global consumer goods forum representing palm oil and soy) and important innovative research providers, such as the Stockholm Environment Institute.

PROGRAM-TO-PROJECTS COHERENCE

The Commodities IAP Program is designed to take an integrated supply-chain approach that involves all stages of the supply chain across multiple countries and landscapes through a multi-Agency arrangement. The theory of change for this program builds on the premise that the increased adoption of agricultural commodity production practices that are less destructive of forests is contingent on four factors: (1) enabling land-use policies promoting agricultural and degraded lands and reducing use of high-conservation-value and high-carbon-stock forests; (2) increased producer capacity to adopt good agricultural practices and improve yields; (3) increased financial flows and economic incentives to support these good agricultural practices in appropriate locations; and (4) consumer market awareness and demand for reduced-deforestation supply are critical to promote more sustainable production. Hence, the program is organized into four major components that will be delivered by separate child projects: support to production, generating responsible demand, enabling financial transactions, and AML. The Brazil soy child project has elements of all these components.

The AML project is expected to be instrumental in ensuring cohesiveness in the Commodities IAP Program by having program-level M&E, engagement of partnership, and a knowledge-management and communications strategy. This hub project is designed to ensure that the M&E, coordination, and technical sequencing of efforts by the implementing

agencies and additional partners deliver on the interrelated outcomes. The hub project is expected to be instrumental in ensuring cohesiveness in the program.

The Brazil child project was added to the Commodities IAP Program after Council approval. While the projects in the other three participating countries (Indonesia, Liberia, and Paraguay) are divided along the three sectors of the supply chains, it was decided that the Brazil child project would include all sectors of the soy supply chain in one project (GEF 2016c), mirroring the design of the Commodities IAP Program in the sense that it resembles a smaller-scale Commodities IAP specifically focused on soy.

Many of the strategies and activities in the IAP's child projects relate to or rely on voluntary sustainability standards and certification and mechanisms like them, which are important links among the child projects, providing a verifiable system for connecting reduced-deforestation production with companies demanding reduced deforestation products (GEF 2016a).

RESULTS-BASED MANAGEMENT AND M&E DESIGN

At the project level, the Commodities IAP tracking tools require each GEF Agency to report on the several indicators that are different from what is reported in the latest progress report on the IAP to Council in May 2017.

Overall, the design of the program and project results frameworks are aligned with one another, and the expected annual reporting on the indicators in the program-level results framework seems appropriate. M&E baselines have been established and show alignment across projects and the broader program. The AML project (GEF ID 9179) is expected to be instrumental in ensuring cohesiveness in the Commodities IAP by having program-level M&E. According to the results framework for the program, the program-level indicators expected to be monitored are the following:

- Level of coordination between finance, demand, and production stakeholders for soy, beef, and oil palm in the four IAP target countries
- Level of engagement of IAP with global commodity initiatives, key partners, and practitioners and producers from the IAP target countries
- Number of direct and indirect program beneficiaries disaggregated by gender based on the supply-chain approach
- Learning on gender mainstreaming through the IAP Program as it relates to commodity supply-chain actions (as measured by number of project documents, publications, training materials, and presentations that include a discussion of gender issues)

In recognition of the complexity of devising appropriate indicators, the STAP reviewed the Commodities IAP and recommended that certain environmental and economic indicators be tracked (GEF STAP 2016a). While the environmental indicators relating to biodiversity and climate change are incorporated in the design, no economic indicators for production efficiency have been included. Further, the STAP-recommended indicator to assess market stability (percentage of production and sales to various standards and certification schemes) has been incorporated partially in the demand child project, but only for sustainable palm oil.

E.4 Mechanisms for broader adoption

All Commodities IAP child projects have a broader adoption agenda, while the task of generating

lessons from the national platforms and communities of practice and knowledge pieces falls largely on the ALM project. The project design expects to differentiate the platforms under Commodities IAP as practitioner-oriented regional forums, compared with existing industry platforms (Consumer Goods Forum, Tropical Forest Alliance 2020, roundtables, etc.), which appear to be convening platforms, rather than knowledge exchanges.

Sustaining activities at the country level have been considered and are designed into the project activities—for example, linking the implementation of Brazil's forest code in targeted landscapes with a "whole supply-chain approach" for soy production. The linking of the soy production project in Brazil with the Commodities IAP production-linked activities helps ensure that long-lasting impact is realized on the soy supply chain. Similarly, in Indonesia, the specific focus on commodities sourced from the targeted landscapes, complemented by measures to enhance investment in reduced-deforestation commodities, is expected to support ongoing efforts by the government and relevant stakeholders to tip the palm oil supply chain toward practices that do not lead to deforestation. In Liberia, the program will support efforts by the government to position the country as a sustainable palm oil producer. The Commodities IAP Program will support the ongoing efforts to develop national principles for responsible palm oil by the TFA-2020 and address many of the policy gaps, such as the lack of a nationally agreed-upon definition of high-carbon-stock forests in Liberia.

As only a few traders dominate almost the entire beef industry in Paraguay, progress in stimulating increased demand from them for sustainably produced beef will have an impact in the Chaco region. The government of Paraguay (State of Boqueron) is looking at the project as a pilot that can be replicated in other areas. The establishment of the Chaco regional platform will enable continued dialogue and consensus among key stakeholders in the beef supply chain, including cooperatives and traders, which represent a key element of project sustainability. The development of a national interpretation of an international standard to incorporate sustainability criteria will also be an important achievement. The project is also expected to ensure sustainability through its strengthening of the enabling environment for land-use planning.

Given that the pilots will take place mainly in specific districts, project design allows for scaling up to reach provinces as demonstration of lessons begun in the districts. At the next level, scaling up will branch out to other provinces. In Brazil, the child project is expected to support the country's forest code with its rural environmental registry,[4] to enhance the registry of several thousand additional properties to prevent illegal deforestation of native forest into the future, rather than just within the project time frame.

The Commodities IAP also anticipates that the production projects (GEF IDs 9180 and 9617 in Brazil) will contribute to moving the overall structure of the global market for palm oil, soy, and beef toward reduced-deforestation products, leading to innovations in business and market practices favoring preferential sourcing of deforested products. There is an implicit assumption that

[4] In 2012, Brazil approved a new forest code, which created the Environmental Compliance Program. The program rescinds fines for illegal deforestation up to July 22, 2008, on the condition that the rural property is registered in the rural environmental registry. An electronic registry of rural properties and information about permanent preservation areas (áreas de preservação permanente, or so-called "legal reserves"), the registry forms the basis for monitoring and control and, hence, for combating illegal deforestation of native vegetation and for the environmental and economic planning of rural properties.

producers and knowledgeable buyers will remain aligned with these new practices, and that other analogous supply chains will eventually adopt these practices, too, leading to scale-up opportunities in the sector.

The design of the Demand child project hinges on applying global strategies to local contexts. A case in point is the consumer campaign in Indonesia targeting women who make purchasing decisions about palm oil, as well as supply-chain mapping to the Commodities IAP production sites and the publishing of supply-chain maps from origin to destination. Scaling up will be promoted in the demand child project by expanding some of these innovations through the proposed corporate and government learning and exchange programs to other commodities and contexts. The demand project also expects lessons to be exchanged between South East Asia and Latin America through organized platforms.

The enabling transactions child project project is intended to support the development of adequate blended and commercial financial products to catalyze adoption of sustainable commodity production and trade. An important element of the scaling up is expected to come from the financial regulators, who are expected to be instrumental in promoting regulatory interventions that will reduce pressure on forests. Changes in market practices by financial institutions and regulators are expected to lead to increased environmental, social, and governance awareness and sustainable commodity financing and, eventually, to the strengthening of complementarity between fiscal incentives governing the production of selected commodities in target countries and efforts to remove deforestation from supply chains.

A key market test to achieving broader adoption will be whether capital flows to reduced-deforestation commodities increase under the enabling transactions child project. The corollary—assessing if the project enabled reduced financial flows to unsustainable commodities—is harder to quantify and track, although the theory of change for this project is partly premised on this assumption.

Overall, the Commodities IAP Program design recognizes that market transformation in commodity supply chains is a redirection of capital from routine business to sustainable alternatives. Therefore, the design of the enabling transactions child project identifies the importance of overcoming significant barriers to realize market transformation—that is, lack of innovative financial instruments that incentivize risk taking, insufficient blended finance instruments, lack of mandatory deforestation risk analysis required by financial institutions, lack of emerging markets regulatory framework necessary to adopt such instruments. This is also borne out by reviews of the GEF's private sector portfolio that highlight the critical role of regulatory frameworks in catalyzing private sector investments.

BUY-IN BY TARGET GROUPS AT PROJECT, COUNTRY, AND REGIONAL LEVEL

The Commodities IAP Program was proposed as a concept during the design of programming for GEF-6 by the GEF Secretariat and gathered momentum through contributions by UNDP. The buy-in has been consistent at the Agency level. Respective roles were defined over time at design workshops held during the planning of the program.

For some GEF Agencies, the Commodities IAP Program represents an alignment of existing projects/program, albeit with distinctions or add-ons—for example, UNDP with its global green commodities program, which was launched in 2009 to convene commodity stakeholders to create

more enabling environments for sustainability commodity sectors to grow. Similarly, the Biodiversity Agriculture Commodities Program, a GEF-supported, IFC-implemented project, which ended in 2014, also worked on production aspects, better management, enabling environments, demand, and financial transactions concerning biodiversity loss in agricultural productive areas.

From a country perspective, Paraguay, Indonesia, and Liberia took well to the proposed program immediately, including regional stakeholders, such as the State of Boqueron in Paraguay and Kalimantan in Indonesia, to give their support to the terms proposed. The IAP Program's offer of set-aside funds for programming, additional to country allocations determined by STAR reserves, increased the attractiveness of the Commodities IAP. Furthermore, the Commodities IAP Program also aligns with existing activities centered around sustainable production of commodities—namely, national-level platforms that are in place in all four countries.

Interviewees shared that the Brazilian government was initially not completely in support of the program, fearing that it could be a trade barrier with limitations to soy production. With more discussion, however, this concern was assuaged, particularly with the help of some lobbying by the Sociedade Rural Brasileira and CI in Brazil, and the Ministry of Environment came out in favor of the approach with the stipulation that, for ease of transaction and to reduce complexity, Brazil would prefer one Agency, CI, to implement the project.

Concerning private sector actors, international commitments such as net-zero deforestation and corporate sustainability pledges on the part of large private sector actors are also a motivation for buy-in to the IAP, as the program represents an opportunity to work through platforms to help reach the stated goals.

INNOVATION THROUGH KNOWLEDGE CAPTURING AND LEARNING

One of the unique aspects and underpinnings of the Commodities IAP Program is a distinct project dedicated to knowledge capture and learning. The AML child project (GEF ID 9179) will function based on a continuous iterative-learning and knowledge-dissemination component. The need for such learning to support the Commodities IAP has been corroborated by the STAP's information document on integrated approaches to natural resources management, which states that "the evolving scientific understanding of factors influencing social, technical and institutional innovations should be harnessed and integrated into GEF's influencing models and theory of change, and be coupled with updated approaches for learning, adaptive management and scaling up" (GEF STAP 2017, 32).

The success of this project will be contingent on the timely capture of important implementation lessons and an efficient exchange of this information among commodity platforms, as a first step. The AML project will also facilitate knowledge exchange and learning through a global community of practice with tools for navigating a large evidence base and partnerships to enable sustainable action plans on important topics emanating from these global initiatives. It is expected that knowledge pieces will be disseminated through a number of ways, including via the Guardian sustainable business hub.

The AML project also plays a critical role in realizing the linkages between child projects to affect transformational change. The project has incorporated measures to catalyze market transformation by coordinating and integrating all the child projects and by facilitating adequate technical sequencing of activities and by ensuring adaptive

management and knowledge management for increased learning and scaling up.

While the commodity platforms represent an efficient means of knowledge exchange, early donor feedback suggests that there is a perception of a preponderance of platforms whose value and utility are yet to be seen. This makes it incumbent for the Commodities IAP Program to articulate continuously the incremental value attributable to platforms and to monitor contributions of these forums regularly so that this perception can be addressed through evidence-based responses.

Annex F: Food Security IAP Program findings

F.1 Integrative nature of the Food Security IAP

ALIGNMENT OF PRIORITIES ACROSS SCALES

The main objectives of the Food Security IAP, as outlined in chapter 1, suggest four main areas of interventions that are integrated in this programmatic approach:

- Focusing on integrated natural resource management and sustainable land management (SLM) as the center piece of the Food Security IAP; with an integrated, multifocal area approach that incorporates biodiversity, land degradation, and climate change; and working at community and landscape levels. The extent to which common approaches should be used or developed poses an important question for the IAP. Child projects are concentrated in two broad agro-ecological environments in Sub-Saharan Africa that ensure a certain extent of technical similarities.
- Building on an integrated approach to engage partners and stakeholders at multiple levels, to provide an enabling environment for scaling up of interventions, and to track environmental and socioeconomic benefits and AML from experiences.
- Involving multiple countries and partners, including various GEF Agencies and non-GEF executing agencies, to optimize mainstreaming, multidisciplinary approaches, peer learning, and scaling up.
- Analyzing and applying best food security options for small-scale farmers and others in rural communities in view of multisectoral and multilevel approaches and options, including value-chain development and non-farm alternative livelihoods.

Combining these four areas, the Food Security IAP aims at achieving a more holistic, integrated approach for addressing the food production and consumption drivers while at the same time mainstreaming a strong environmental perspective into the ongoing discussions about food security and resilience, and associated pathways out of poverty.

Country STAR allocations for specific focal areas were made at the beginning of the Food Security IAP Program's design process from each of the participating countries. All 12 child projects have land degradation objectives and outcomes. Eight of them also cover biodiversity, and six cover climate change. Five child projects cover all three focal areas in terms of their allocations (Ghana, Kenya, Malawi, Swaziland, and Tanzania, GEF IDs 9340, 9139, 9138, 9133, and 9132, respectively); three combine land degradation with biodiversity (Burundi, Ethiopia, and Uganda, GEF IDs 9178, 9135, and 9137, respectively); one combines land degradation with climate change (Senegal, GEF ID 9134), and three child projects address only land

degradation (Burkina Faso, Niger, and Nigeria, GEF IDs 9141, 9136, and 9143, respectively).

ALIGNMENT AND SYNERGIES WITH GEBS AND MULTILATERAL ENVIRONMENTAL AGREEMENTS

The Food Security IAP Program's PFD and child project results frameworks contain appropriate outcomes and indicators, designed to contribute to multiple GEBs across GEF focal areas. Specific quantitative targets for major GEB tracking tools of biodiversity, land degradation, and climate change are set in almost all child projects, but these targets vary widely across child projects. For example, the hectarage targeted for improved SLM varies from 2,250 ha in Senegal to 1 million ha in Kenya. The minimum and maximum carbon sequestration varies from 12,621 tCO_2e (Burkina Faso) to 45,411,136 tCO_2e (Ghana). Whether these values make sense, and whether these are smart and integrated indicators, whether they are common in the program or project specific, or whether they are just conforming to the general indicator(s) proposed in the tracking tool remain to be seen.

Key program-level GEB and socioeconomic indicators for the target geographies were identified by the GEF Secretariat in the proposed Food Security IAP multifocal tracking tool and communicated to GEF Agencies. Table F.1 shows how the indicators are summarized in the hub project.

In practice, several problems were identified in applying these indicators in the child projects. Problems included the context-specific definition of these indicators, the unfamiliarity of some of them (that is, carbon sequestration), the setting of realistic targets, the practicality of actual measurement tools to be used, and the extent to which reality on the ground allows carrying out reliable and meaningful measurements. Thus, individual child project tracking tools mostly apply a selection of relevant indicators from this menu. There was also some confusion due to the relatively late introduction of the proposed tracking tool during the start-up phase. Several agencies noted that the proposed tracking tool was insufficiently tailored to the Food Security IAP and was designed by extracting indicators and targets from the existing focal area–specific tracking tools.

Measuring GEBs in an integrated food security initiative in Sub-Saharan Africa is not an easy

TABLE F.1 **Food Security IAP key program-level indicators**

Key program-level indicator	Target
1. Land under integrated and sustainable management (ha)	10 million ha
2. GHG emissions avoided or reduced (tCO_2e)	10–20 million tCO_2e
3. Conservation of genetic diversity on farm	
3a. Number of varieties on farm and/or other metrics of biodiversity in production landscape (percentage increase)	15–25%
3b. Number of sector policies and regulatory frameworks that integrate biodiversity consideration	To be determined
4. Land cover (trends in Normalized Difference Vegetation Index)	10–20%
5. Beneficiary households (number)	2–3 million
6. Food security index (to be elaborated by FAO)	To be determined

task. A review of the M&E experience from the Strategic Investment Program for Sustainable Land Management in Sub-Saharan Africa (GEF ID 2757), generally referred to as TerrAfrica/SIP, showed that almost all its child projects faced difficulties in measuring GEBs (FAO 2016, 20). Meaningful baselines and targets were often not established, and the duration of most projects made it difficult to detect changes in the ecosystems where baselines had been done. The review indicated that M&E systems should be realistic and avoid being overcomplicated to be effective/feasible. ICRAF indicated that aligning global and landscape resilience indicators with local ones remains a major challenge, since countries have insufficient policies, instruments, and capital to manage landscapes in an integrated way that would be necessary to achieve measurable results at landscape scale. IFAD's experience in Niger and elsewhere showed that environmental indicators and tools, including for GEBs, need to be well adjusted, and often simplified, to correspond to national government and local capacities. Internet tracking tools designed in a Rome or Washington, D.C., head office may sometimes be too ambitious when many of the project areas are not even Internet-connected. Geographic information systems are often not available, and there are also major difficulties in basic spatial analysis. In several participating countries, even the hectares planted are often simply rough estimates.

The Food Security IAP Program is designed to work with each of the covered conventions in line with their specific objectives through an integrated approach. For UNCCD, the IAP directly contributes to implementing its 10-Year Strategic Plan (10YSP) 2008–2018. The Food Security IAP is expected to contribute to the operational objectives of the 10YSP on (1) policy framework; (2) science, technology, and knowledge; and (3) financing and technology transfer. All participating countries in the Food Security IAP have allocated STAR funding from the land degradation focal area. Furthermore, all 12 national child projects are consistent with countries' national action programs for combating desertification. With regard to the CBD, the Food Security IAP will contribute to the strategic plan for biodiversity 2011–2020 and the associated Aichi Target 7 on sustainable agriculture, aquaculture, and forestry. The Food Security IAP Program focuses in its contributions to the CBD program on agricultural biodiversity and its crosscutting initiative on food and nutrition, as well as the International Treaty on Plant Genetic Resources for Food and Agriculture. Child projects are consistent with their National Biodiversity Strategies and Action Plans, especially the 10 countries with STAR funding from the biodiversity focal area: Burundi, Ethiopia, Ghana, Malawi, Kenya, Niger, Nigeria, Swaziland, Tanzania, and Uganda.

The Food Security IAP Program also responds to UNFCCC priorities on issues related to agriculture—among them, the identification and assessment of agricultural practices and technologies to enhance sustainable productivity, food security, and resilience, considering the differences in agro-ecological zones and farming systems, such as different grassland and cropland practices and systems (UNFCCC 2014). Child projects are expected to respond to priorities identified in their national communications to UNFCCC, especially those with STAR funding from focal area strategic objective CCM-2, which include Burundi, Ghana, Kenya, Malawi, Niger, Nigeria, Senegal, Swaziland, Tanzania, and Uganda. These countries have prioritized reduction of emissions from land use, land-use change, and forestry, and deforestation and forest degradation. In addition, four child projects also respond to priorities in the National Adaptation Program of Action to meet urgent and immediate needs to adapt to climate change (Burkina Faso, Burundi, Malawi, and Senegal).

The UNFCCC Secretariat expressed reservations about the Food Security IAP Program. Interviewed partners found the whole IAP concept difficult to understand and failed to see why it is necessary. They see an inappropriate a priori bias in the GEF toward programmatic approaches. They believe that integrated approaches can be pursued in projects and do not require a program. Interviewed partners expressed reservations on whether the GEF is sufficiently clear on the differences between "integrated," "multifocal," and "programmatic" approaches and wish that these concepts could be explained to them better. The UNFCCC Secretariat is generally rather skeptical about what really drives integrated and multifocal approaches at the GEF. Staff members worry about these approaches are more resource-driven than technically or scientifically driven and are concerned that the approaches may not pay sufficient attention to specific realities and priority needs in the countries. Interviews with CBD Secretariat staff provided a less specific critique of the Food Security IAP Program but pointed to difficulties by partners in understanding how biodiversity is related to food security, land degradation, and climate change, and how to generate synergies across these areas. In their view, a much better planning process than the one followed for the Food Security IAP would be required for the GEF and for future individual programs. In contrast, the UNCCD Secretariat supports the GEF IAP approach to focal areas. They regard land as central to all environmental issues, including biodiversity and climate change, and favor common country reporting for the three conventions.

ADDITIONALITY

Innovation is broadly referred to in the PFD as taking various forms, including new technologies but also the adaptation or dissemination of well-known technologies to new geographic areas. Innovations also include new forms of assessments, moving beyond relying solely on measuring enhancements in agricultural production (that is, assessing resilience) and including value chains, nutrition, and alternative livelihoods, as well as migration and transcending system boundaries.

Formal coherence in the Food Security IAP is strong in terms of applying the same three components of the program theory of change to all child projects. This means that each child project makes a commitment to the multiscale partnership and institutional capacity-building goal of the Food Security IAP. Through the hub project, common program governance arrangements and management for synergy were agreed upon by all partners. Ways for institutional capacity building have been established at the program and child project levels, particularly for enabling policy environment and effective capturing of knowledge and learning. The theory of change of the Food Security IAP is also strong in terms of emphasizing broader adoption and putting into play policy platforms and mechanisms for innovations and changed behaviors of institutions, individuals, groups, and business leaders.

The hub project mirrors the same three components, but it was approved 23 months after Council approval of the PFD in June 2015. The approval came too late to inform on the best way to structure and design each of the three components and help come up with a common approach for M&E in child projects. Nevertheless, 11 of the 13 child projects make direct reference to the PFD's objectives, and 10 child projects apply the same component structure of the PFD. Exceptions are related to those cases in which child projects are designed to integrate with and/or build upon the potential outcomes achieved by baseline projects,[1]

[1] Baseline projects are projects designed by the participating GEF Agencies with funds registered as the Food

but this does not affect the basic intervention logic in terms of planned activities along the lines of the three components in the theory of change of the program.

Examples of innovative approaches and practices specifically listed in the PFD under innovation include: (1) Small-scale irrigation in Ethiopia, Nigeria, and Swaziland (GEF IDs 9135, 9143, and 9133, respectively); (2) Improved land-use planning, erosion, and watershed management to protect biodiversity and carbon stocks in Burkina Faso, Burundi, Ghana, Malawi, and Kenya (GEF IDs 9141, 9178, 9340, 9138, and 9139, respectively); (3) Sustainable land management and improved grazing management linked to market development and value chains in Ghana, Niger, Senegal, Swaziland, Tanzania, and Uganda (GEF IDs 9340, 9136, 9134, 9133, 9132, and 9137, respectively); and (4) Payments for ecosystem services in Kenya. Another innovative element mentioned is the "systematic assessment of agro-ecosystem resilience, adaptation, and transformation" that would be widely disseminated and shared.

Child projects include a range of technological and institutional innovations. In Burkina Faso (GEF ID 9141), the child project is developing a watershed landscape approach for more holistic ecosystem services and protection. This approach focuses on agricultural production basins, protecting with tree planting the cereal-producing land downstream and applying a mixed production/protection system upstream. The Malawi child project (GEF ID 9138) tries to move from micro- to macro-catchment areas. One of its main goals is bringing the irrigation team from the Ministry of Agriculture and the environment team from the Ministry of Environment to work together. The Swaziland child project (GEF ID 9133) is introducing an innovation fund for applied research on rainwater harvesting, home gardening, and bee keeping, and rotational grazing on common lands. Similarly, the Uganda child project (GEF ID 9137) intends to pilot new SLM/integrated natural resource management technologies that have so far not been introduced in the region targeted by the project, mainly on rainwater harvesting, rangeland rehabilitation, and value chains for traditional products. One of the most innovative parts in the Tanzania child project (GEF ID 9132) is institutional in nature. It foresees the setting up of intervillage natural resource management committees as forums of participatory management of shared national resources at landscape models. The UNIDO/IFAD–implemented child project in Senegal (GEF ID 9134) specifically developed a range of environmental value additions, introducing renewable energy technologies in post-harvesting processes to cover the whole agricultural value chain.

In many cases, the innovations proposed in the Food Security IAP child projects are closely linked to the baseline projects. Eight of the 12 child projects were designed in parallel with baseline projects or are closely related to them, and only four child projects were designed completely separately (Ethiopia, Uganda, Nigeria, and Burundi).

The Food Security IAP Program helps mainstreaming the environment in more production and/or market-oriented ministries. As seen earlier, this approach introduces new forms of inter-ministerial partnerships involving the environment ministry, where the GEF operational focal point usually sits, and agriculture, livestock, or forestry ministries, and partnerships with the private sector and CSOs. Interviewed stakeholders indicated that this approach is one of the main GEF contributions in the Food Security IAP in terms of innovations. The aim of such an approach is to

Security IAP Program's cofinancing that would have been implemented in participating countries irrespective of the IAP Program.

mainstream environmental issues more effectively in closely related productions sectors, such as agriculture, livestock, or forestry, and to offer a science and evidence-oriented platform for South-South dialogue and meetings of child project partners. A major contribution of the Senegal child project's value-chain component is to bring stakeholders together that otherwise would not have gotten involved in food security, such as the energy ministry. A government representative stated, "It is also good for our agencies that we learn to work together and harmonize some of our ideas and processes." One of the key aspects in the Ethiopia child project (GEF ID 9135) is fostering the linkages between agropastoral production system and alternative livelihood possibilities.

For many interviewed agencies, the most important innovative feature in the Food Security IAP Program is the hub project–supported knowledge platform for sharing experiences and learning. The platform is designed to serve the 12 child projects plus other projects or entities involved in climate-resilient food security initiatives that may wish to join. While there are several food security platforms in Sub-Saharan Africa, most of them are more advocacy- than knowledge-oriented. The GEF fills a gap by providing a platform model that allows the exchange of science-based information, develops new interventions around this knowledge, and brings together different public and private sector partners around tested approaches. According to one voice, the Food Security IAP hub project is no armchair academic work, but an opportunity to test things and learn from them. This happens through knowledge sharing and establishing communities of practice. The cross-regional approach allows for comparisons. Most of the key players are there. IFAD staff pointed out that the Food Security IAP knowledge platform was seen by Niger, Malawi, and Swaziland counterparts as a forum for learning about innovations, exchanging ideas, and showcasing their own projects. Furthermore, the hub project offers good opportunities for regional peer pressure for individual countries—in a positive sense—as one country is part of a bigger undertaking; this is already becoming visible in Tanzania, which does not wish to be left behind in the region. However, the knowledge platform will require a strong commitment and support by all participating entities to provide the services and benefits it has been designed for. There will need to be a strong evidence base for these benefits to assess whether they can provide the support and momentum needed to influence activities and perceptions associated with the program outcomes and sustainability.

F.2 Analysis of partners and the wider constituency

COMPARATIVE ADVANTAGES, ROLES, AND COORDINATION

The main objectives, focus, and design principles of the Food Security IAP Program are the results of a long evolutionary process and experience gained within the GEF. Several projects and programs mainstreamed environmental management in agriculture and food security over the years, particularly in GEF-4 and GEF-5. Programs include the TerrAfrica/SIP program (GEF ID 2757), the Great Green Wall initiative (GEF ID 4511) to operationalize climate change with rural clients, and others. Integrating biodiversity and climate change with desertification/land degradation in addressing agriculture and food production as a main driver of environmental degradation has a long tradition in the GEF (Tengberg and Valencia, 2017). This long history and the close work relationships developed with the GEF Agencies also provide the GEF with a strong head start compared with international institutions concerned with

similar environmental issues, such as the Green Climate Fund or the Climate Investment Funds.

According to interviewees, much of this experience is indeed embodied in the program, brought in through personal and institutional knowledge and involvement, and through some formal and, more often, informal processes. Food Security IAP designers have been around for some time and have been interacting closely during design, particularly those from the GEF and IFAD. For many involved GEF Agencies and other executing partners, the most important role for the GEF is that of a convener. The GEF offers participating agencies, countries, and other interested parties a unique opportunity to develop—through the Food Security IAP—a regional forum for coordination, common strategy development, specific technical and institutional assistance to countries (through the hub project), and a strategic learning agenda. This will allow the GEF and its partners to take advantage of the economies of agglomeration associated with such close and dedicated networks.

In the Food Security IAP Program, the GEF endeavors to take a strategic approach to partnering and effective mainstreaming, and to move out of the environmental niche and bridge the conservation-food security divide in broader resilience programs. This happens particularly through strengthening relevant ministries within countries through the child projects (usually the environment or forests ministry). This should help these groups to collaborate and advocate more strongly at the country level, building awareness and capacity for environmental and conservation mainstreaming through close collaboration with more production- and market-oriented ministries in the respective countries. These efforts to enhance cross-institutional and -sectoral linkages are one of the aspects of the Food Security IAP that are appreciated most by participating agencies and country stakeholders themselves. GEF partners in the Food Security IAP welcome this programmatic involvement by the GEF. Forty percent of respondents in the country stakeholders survey specifically appreciated the GEF's institutional experience.

IFAD AS THE FOOD SECURITY IAP PROGRAM'S LEAD AGENCY

IFAD offers not only cofinancing and leverage but also a lot of technical and organizational experience and institutional capacity. This is fully agreed upon by all GEF Agencies. Interviews in the Secretariat indicated that the World Bank was considered as an alternative for the lead Agency role. Apparently, there was resistance from GEF operational focal points, as they thought the World Bank was overly focused on the production, rather than the environmental and conservation, side. Furthermore, the World Bank took the lead in the Cities IAP Program. FAO would have been a credible alternative to IFAD, as it is a well-acknowledged technical leader in food security and the environment and has a large network of country offices in Africa. The drawback was that FAO would not have been able to provide as much cofinancing and associated leverage for scaling up as IFAD.

In addition to the factors mentioned above, IFAD's division in charge of the Food Security IAP, the environment and climate division, brings along very recent and ongoing experience with the Adaptation for Smallholder Agriculture Programme, a $366 million investment in 40 Sub-Saharan Africa countries, begun in 2012, aimed at operationalizing climate change adaptation with rural clients. Another advantage of IFAD is that it has a large stake and interest in value-chain development. IFAD already cooperates with CGIAR centers on climate change in value chains. Importantly, IFAD pays much attention to systematic scaling up and programmatic approaches in its current

(10th) replenishment cycle. Several tools were developed for scaling up, such as thematic notes for different scaling-up pathways, depending on interventions and settings. Principle pathways include other donors, mobilizing governments, the beneficiaries themselves, and the private sector. IFAD also has the lead on agriculture and rural development in a global community of practice on scaling up of Brookings Institution and the firm Management Systems International.

EXECUTING AGENCIES

UNDP is executing three child projects in Ethiopia, Nigeria, and Uganda (GEF IDs 9135, 9143, and 9137, respectively), the latter with FAO. UNDP promotes inclusive and green value chains, issues on which it has relevant experience. A special team in Addis Ababa will be deployed from the UNDP-sponsored African Facility for Inclusive Markets, which has championed the concept of inclusive agribusiness markets in Africa since 2012. In partnership with the East African Community, the Economic Community of West African States, and the Common Market for Eastern and Southern Africa, the facility has convened regional multistakeholder platforms in eastern, western, and southern Africa. One of the central goal of the African Facility for Inclusive Markets is to promote small and medium enterprises for agricultural services and value chains. It already cooperates with the New Partnership for Africa's Development, the Comprehensive Africa Agriculture Development Programme, the African Union, and the African Development Bank, and it has gained some experience in Nigeria and Ethiopia and brings in a large network of Sub-Saharan Africa partners.

As the largest UN agency for food and agriculture, FAO has broad and well-known experience in food security and strong technical experience with environmental and climate change issues. FAO is the GEF Agency of two child projects: in Uganda with UNDP, and in Burundi (GEF ID 9178). FAO also executes two hub project components: one on scaling up integrated approaches with UNDP, the other on institutional frameworks in collaboration with UNEP.

UNIDO was pleased to get involved in the Food Security IAP Program, although the Agency has limited experience in agricultural value chains. It successfully collaborated with IFAD in Morocco on value chains and builds on that experience in the Senegal child project. The parallel cooperation between UNIDO and the Senegalese government established in the IFAD baseline project had already been agreed upon by IFAD and UNIDO before the collaboration in the IAP child project. UNIDO brings a particular know-how into the Food Security IAP, in renewable energy technologies.

The World Bank was chosen by the government of Ghana as GEF Agency, as the World Bank is carrying out a long-running program in northern Ghana with a history of GEF support, including in the Great Green Wall initiative (GEF ID 4511). The World Bank's capacity to bring in environmental aspects in agriculture and other rural programs has been long demonstrated in previous GEF programs.

ENGAGEMENT OF A BROADER CONSTITUENCY

A large number of non-GEF agencies are involved in the execution of important tasks in the Food Security IAP through the hub project. In late 2016, the GEF Secretariat brought ICRAF, CI, and AGRA as executing agencies into the hub project. On one hand, these agencies certainly bring specialized knowledge in the conservation and value-chain sides of household, community, and ecosystem resilience. On the other hand, they add to the operational complexity of the program, with likely inefficiencies in implementation if not closely managed. In 2015, FAO and UNEP

expressed interest in coordinating the hub project. IFAD invited the FAO/UNEP team to submit a proposal for coordinating the hub project. At first, the GEF Secretariat itself had hinted at a possible IFAD-FAO/UNEP co-leadership of the program, with FAO/UNEP as main executing agencies of the hub. In the end, it preferred to involve CI, AGRA, and UNDP in the hub and ICRAF as coordinator, all under IFAD's purview as lead Agency. The comparative advantages of these executing agencies are discussed in the following paragraphs.

ICRAF hosts the program coordinating unit in Nairobi. According to key stakeholders interviewed, ICRAF was preferred by the GEF Secretariat to a team composed of FAO and UNEP. As a research center affiliated to CGIAR, ICRAF is in a key position to support the technical and research side of the Food Security IAP Program. The center is very experienced on environmental issues surrounding food production, as part of its core competency in forestry and agroforestry. It also has dealt extensively with alternative livelihoods in drylands agriculture. ICRAF has considerable experience in most countries where child projects are active (that is, in Kenya Lake Tana; Land Degradation Surveillance). ICRAF is also involved in a major consortium, the CGIAR Research Program on Forests, Trees and Agroforestry, which allowed it to bring in a stronger cofinancing ($18 million) than the one indicated by the FAO/UNEP team.

ICRAF works in coordination with and under the direct supervision of IFAD. Despite that, interviewees have questioned the appropriateness of ICRAF handling the key coordination role to ensure programmatic impact and coherence. ICRAF is a non-GEF agency mainly experienced in research programs, and it has limited experience in multipartner initiatives supported by the GEF involving multiple international donors and UN agencies, for which a technical role would have been more appropriate. FAO and UNEP's presence in the child project countries may have been better assured due to their country offices. Being involved in the implementation of two child projects and having execution tasks in two hub project components could have provided a more informed program coordination function.

CI and Bioversity International broaden the base of executing partners in the hub project with strong environmental credentials and international reputations. CI is also a GEF Agency. Bioversity International, a CGIAR center, strengthens the representation of agrobiodiversity in the program. These two agencies have been tasked with the monitoring and assessment component of the hub project, with CI taking the lead. AGRA has a relatively small assignment in the Food Security IAP. Working in collaboration with UNDP and the African Facility for Inclusive Markets, and building on its large history in value chains and staple food crops, AGRA promotes public-private partnerships for accessing input and output markets for farmers. AGRA's investments amount to a total of $100 million from sources such as the Bill & Melinda Gates Foundation and the Rockefeller Foundation. An important share of investments focuses on countries in the geographies targeted by the Food Security IAP Program, which bodes well for scaling up.

As described above, the Food Security IAP Program is characterized by a large range of GEF Agencies and executing partners. By and large, they are individually well qualified, but their number increases the multitude of institutional preferences and the complexity of planning, coordination, and arriving at common and synergistic approaches. This is compounded by the multicountry nature of the program as well as the multifocal and multiscale approach. The Food Security IAP also incorporated relatively new partners for GEF in agriculture and food security: CI and UNIDO as GEF Agencies, ICRAF and AGRA

as executing agencies subcontracted by IFAD and UNDP, respectively. Some of these new partners cover important positions, such as ICRAF (hub coordination) and CI (program M&E). Some participants in the Food Security IAP see the final hub management structure as overly complex and fragmented, with resources spread too thin to make a real difference.

F.3 Efficiency of the design and launch process

THE COUNTRY SELECTION PROCESS

A widely shared sense of discomfort with GEF Secretariat decision making during the launch phase emerged from interviews. The GEF Secretariat participated in the design workshops organized in 2015 in Nairobi and Addis Ababa and in several planning meetings held in 2016 in Rome. During these and other informal interactions, partners felt there was insufficient participatory discussion on how to structure the hub project in terms of choice of executing agencies and division of tasks, and how to select the child projects. Agencies would have preferred a more consultative process, in which the major decisions related to the hub project would have been taken more collegially. Furthermore, there was no public discussion on the maximum number of agencies to be involved, on how to ensure manageability during implementation, and on which technical inputs in child projects would be needed to enable the program responsiveness to the three conventions.

All the interviewed GEF Agencies critically commented on key aspects of the current GEF business model, questioning the appropriateness of the whole process of child project selection and country choice. Signing up countries requires a lot of competitive lobbying and promises being made in that process. Agencies claim that they incur high transaction costs to convince countries to sign up to a program, and that the outcome is not necessarily determined by strategic or technical considerations. IFAD reportedly spent a considerable amount of time to ensure its seven child projects in the Food Security IAP Program, and it indicated that international finance institutions would be much helped in taking on lead functions in programs if they had some assurance of GEF support in signing up countries. A lead Agency's investment in a programmatic approach makes sense only when it can obtain a reasonable portfolio.

Several agencies also pointed out that preparing programmatic approaches requires more financial investments from the GEF Agency than stand-alone projects. They involve kick-off meetings, biannual review meetings, and special coordination tasks. Coordination needs to be budgeted for. In terms of administrative processes, the rules of the game were not clear for a long time during the launch process, including the subcontracting modalities between the lead Agency and the various GEF and non-GEF executing partners in the hub project.

Country stakeholder perceptions on GEF Secretariat involvement in the launch were more positive. Twenty-six percent of survey respondents strongly agreed that the GEF Secretariat had actively promoted the IAPs and child projects in their country, and 22 percent believe that Secretariat engagement with countries in design was higher than in past projects and programs.

Country selection followed the criteria of the Food Security IAP Program's PFD: agro-ecological coverage, leverage, and catalytic potential, and government interest and institutional support. Boundaries were given by the targeted major agro-ecological geographies, mainly dryland ecosystems in Sub-Saharan Africa with long records

of concerns about food security and environmental sustainability, located in the Sahel and eastern and southern African high- and lowlands.

Also considered during country selection were practical aspects of ensuring the potential for scaling up in baseline projects and bringing in experience from other non-GEF environmentally oriented food security initiatives currently being implemented (that is, Niger, Burkina Faso, and Kenya). IFAD being the lead Agency, countries were preferred where IFAD could align child projects with relevant baseline projects in similar project cycle phases.

Despite concerns about insufficient transparency in country selection (including the selection of national executing agencies) voiced by several GEF Agencies involved, the selection fulfills most of the criteria set in the PFD. The only exception is the underrepresentation of the southern Africa drylands/mountainous areas. It must be acknowledged that the Food Security IAP Program's design was conducted while engaging with a broad constituency, including a wide range of relevant and experienced executing agencies.

There is favorable country buy-in into the Food Security IAP Program, as revealed by the country stakeholder online survey, which had substantial participation by country policy decision makers. Respondents strongly support and appreciate the Food Security IAP approach of bringing various ministries and stakeholders together, and of developing models for replication and scaling up from best integrated natural resource management practices. Fifty-six percent of all stakeholders strongly agree that through the child projects the country will be able to bring together the various responsible ministries, agencies, and other actors, and the same number strongly agrees that the child projects will help with scaling up of best practices. Belief in transformative innovations through the child projects in terms of approaches, institutional arrangements, and new technologies is somewhat lower; only about one third of respondents are confident that it will happen. In terms of comparing the Food Security IAP child projects with other past GEF projects they had been involved in, respondents clearly felt that the child projects have stronger synergies with other projects, a higher potential for knowledge exchange, and a stronger alignment with country priorities (table F.2).

GEF and IFAD are aware that the Food Security IAP Program's influence beyond national levels depends on working with African supranational institutions. Among them, the African Union and its Environment Action Plan; UN-Economic Commission for Africa; and Comprehensive African Agricultural Development Programme, initiated by the New Partnership for Africa's Development. An IFAD staff position will be based in Addis Ababa. Closeness to the African Union in Addis Ababa enhances the Food Security IAP's policy leverage and its regional collaborative partnerships, in addition to its ability to carry out IFAD's supervisory and fiduciary and quality-control responsibilities.

TIMING AND DELAYS

The Food Security IAP Program had been in the making for a while. Concrete ideas were presented by the GEF during a major International Food Policy Research Institute conference on building resilience for food and nutrition security in Addis Ababa in early 2014. The design phase of the Food Security IAP was officially launched with a workshop for participating countries and GEF Agencies in Nairobi in February 2015. The Food Security IAP Program's PFD and the lead Agency were approved by the GEF Council in June 2015. As of June 2017, 5 of 12 country child projects are ready to take off or have already started (Burkina Faso,

TABLE F.2 Stakeholder comparisons of Food Security IAP Program and child projects with past GEF projects

Program/project aspect	% of responses			
	Better	Same	Worse	Don't know
Synergies with other projects	80	20	0	0
Potential for knowledge exchange	80	20	0	0
Aligned with country priorities	71	29	0	0
Coordination with other projects in the IAP Program	69	29	0	3
Monitoring of results	60	34	0	6
Role of GEF Agencies in program design	49	40	0	11
Role of GEF Secretariat in program design	46	43	0	11
Efficiency of program project start-up	46	46	0	9
Ability to report to multiple UN conventions	43	37	3	17
Access to funding regardless of sources	40	40	3	17

SOURCE: Country stakeholder survey.

Kenya, Niger, Senegal, and Ghana). At this moment in time, the remaining seven country child projects (Malawi, Swaziland, Tanzania, Burundi, Ethiopia, Nigeria, and Uganda) and the hub project have been CEO endorsed.

The average time elapsed between approval of the Food Security IAP PFD and the country child projects (June 4, 2015) and the date of CEO endorsement was 21 months. The elapsed time ranged from 11 months for the Ghana child project to 25 months for the child projects in Nigeria and Tanzania. The hub project took 23 months. The average elapsed time was 22 months for FAO and UNDP (four child projects), 17 months for the IFAD country child projects (seven child projects), and 11 months for the World Bank's single child project in Ghana.

GEF Agencies indicated that the concurrent development of the hub project and the child projects had some advantages, particularly for the design of the hub, but was, in the end, suboptimal. Late development of the hub project also meant that sufficient interactions and thematic guidance for the child projects in terms of specific thematic interventions and on program M&E could not be provided. In addition, the communication and exchange of ideas between the child projects during design was limited. A one-day launch and information-exchange workshop was organized in September 2015 in Addis Ababa, Ethiopia, for participating agencies and project designers. No follow-up was given after the workshop. Thus, country teams and designers had little opportunity to communicate with each other.

RESULTS-BASED MANAGEMENT AND M&E DESIGN

All child projects contain an M&E strategy or plan, and almost all child projects allocate GEF grant funds to M&E. The exceptions are the child projects in Burkina Faso and Kenya, where M&E is planned to take place in the context of the baseline projects. All child projects do have some common and comparable indicators with the parent and hub project, but their specific formulation is

context- and child project–specific. Six of the 12 child projects were found to align outcomes and indicators rather well with the PFD and tracking tools (Burkina, Nigeria, Ethiopia, Senegal, Swaziland, and Tanzania). Except for the child project in Burkina Faso, all child projects show a certain degree of coherence between project and program-level indicators.

The development of aligned, meaningful, and realistic M&E tools and indicators across all child projects was somewhat handicapped since the designated M&E coordinators of the hub project (from CI and Bioversity International) were not in place at design. The hub and the child projects were largely designed in parallel and separately. M&E deficiencies in design were also specifically mentioned by surveyed country stakeholders. Surveyed stakeholders worry about the overall transparency and country involvement in the M&E of child projects, the practicality and scope of the proposed multifocal tracking tool—particularly as far as biodiversity and climate change are concerned—and the nature and timing of the baseline surveys. Surveyed stakeholders expressed the anticipation that M&E capacity building will follow once the hub project team is in place.

The GEF expects regular reports on the implementation of the Food Security IAP at the aggregate program level. However, the scope of program-level reporting, the required detailed content of individual child projects' implementation reports, and the standardization needed to allow for aggregation has not yet been agreed upon among stakeholders in the program. Without aggregate M&E reporting, it will be impossible to demonstrate the additionality of the program over a set of disconnected stand-alone projects.

F.4 Mechanisms for broader adoption

All child projects provide specific measures or plans for (1) sustaining project interventions, (2) replication at a comparable administrative or ecological scale, and (3) scaling up of interventions into larger geographical areas. Only the child projects in Niger and Swaziland do not refer directly to planned mainstreaming of knowledge and lessons into laws, regulations, and other programs. Seven of the 12 child projects provide measures to help catalyze market transformation (Nigeria, Kenya, Malawi, Uganda, Niger, Swaziland, and Tanzania). Project-level indicators show a high degree of attention and concern during design about the long-term and transformational impact of associated broader adoption mechanisms.

In many cases, incremental benefits in the child projects are defined in concrete measures that will support institutional engagement in the long term (information based on GEF CEO endorsed child project documents). Burundi will be relying on intersectoral bodies and an SLM learning alliance, and Ghana will introduce robust multistakeholder platforms at national, district, and community levels. A water fund platform and its management will be supported in Kenya, with a private sector water services delivery partner, plus influence on policy design and implementation for climate-smart agriculture. Tanzania plans to systematically promote village land use planning to develop climate change adaptation capacities, sustainable land and water management and biodiversity conservation practices. Uganda will fully integrate environment and climate concerns into development processes at subregional and local levels, planning forums, and the use of existing platforms. These examples demonstrate the range of valuable initiatives enabling broader adoption of outcomes taken by the child projects in the Food Security IAP.

Many of these activities are based on or are supporting the generation and dissemination of knowledge products in the Food Security IAP, often through knowledge platforms. Knowledge and learning are an integral part of the Food Security IAP, particularly through Program Components 1 ("Institutional frameworks for influencing sustainability and resilience") and 3 ("Monitoring and assessment of ecosystem services, global environmental benefits and resilience") (GEF 2015c, 2–3). As depicted in the theory of change of the hub project (IFAD 2016, 75), efforts at the country level are supported by partnerships with relevant innovative knowledge institutions and science policy platforms, as well as by a framework of bringing about behavioral change through enhanced awareness by individuals, groups, and business partners for investments in integrated natural resource management.

In terms of funds by component, the child projects on average allocate 73 percent of GEF funds to Component 2 of the IAP Program ("Scaling up integrated approaches for sustainability and resilience"), which is mainly related to scaling-up efforts. The remaining funds go to Components 1 and 3—15 percent and 12 percent, respectively. This is roughly in line with IFAD's experience, indicating the importance of maintaining an effective balance between on-the-ground investments with farmers and funds provided for the enabling environment, learning, and other complementary activities in its projects.[2] It was also pointed out by participants that there will be a certain inherent tension in the allocation of resources, due to the intention to plan for broader adoption and scaling up. This would suggest a stronger focus on Component 2, particularly in situations where the child project adds to or complements parallel baseline projects (IFAD and World Bank) with extensive farm-level work on which to build for scaling up. The GEF emphasizes—for the land degradation focal area—that GEF resources should be "directly channeled toward investment in on-the-ground implementation of SLM practices to generate multiple benefits at scale" (GEF 2014c, 137).

Sixty percent of the cofinancing in the Food Security IAP Program is provided by various government entities, including central, sectoral, and decentralized agencies, followed by GEF Agency baseline projects. The remainder is split among CSOs, the private sector, beneficiaries, and others. A large part of cofinance is in-kind, including from the government, CSOs, and beneficiaries. The World Bank child project in Ghana has a much lower cofinance ratio compared with the other child projects—2:1 versus 9:1, respectively. The highest cofinancing ratio can be found in the Ethiopia child project ($145 million, resulting in a cofinance ratio of 14:1), coming from a sector program managed by the Ministry of Environment consisting of several ongoing country-wide agriculture and climate initiatives. The overall cofinancing ratio for the Food Security IAP Program is 7:1. Cofinancing commitments, even when in-kind, offer an opportunity for partnering, scaling up, and influence for the Food Security IAP Program.

BUY-IN BY TARGET GROUPS AT PROJECT, COUNTRY, AND REGIONAL LEVEL

Overall, in CEO endorsed child project documents, a considerably higher share of resources has been allocated to land degradation than to biodiversity and climate change—55 percent compared with 25 percent for biodiversity and 20 percent for climate change, which is also visible in Food Security IAP Program's STAR allocations by focal area. This reflects the high priority placed on land

[2] For IFAD, it is common for about 80 percent of its resources to be used for activities on the ground and for 20 percent to go for the enabling environment.

degradation in national environmental policies in the Sub-Saharan Africa region. Perceptions from interviews revealed that in many child projects, the biodiversity and climate change aspects apparently came more as afterthoughts in project design. Some GEF Agencies also pointed out that when countries applied, not all priorities in the Food Security IAP Program were fully communicated—particularly its intended multifocal integrated approach. Lower biodiversity and climate change allocations indicate that many countries chose land degradation as their major entry point for their child project. This is in line with perceptions by the GEF Secretariat that land degradation has always been "in the nexus of GEBs." For a long time, the GEF promoted agrobiodiversity in climate-stressed areas—using tougher and more robust species—to decrease climate risks and increase resilience, but this approach risks sidelining biodiversity and climate change objectives during implementation.

From the GEF Agencies' point of view, focal area integration is a necessity. IFAD underlined that it has found it difficult in the past to keep land degradation, biodiversity, and climate change separate. In fact, all seven IFAD child projects cover multiple dimensions of agro-ecosystem health, such as soil properties, soil organic matters, carbon sequestration, biodiversity, water absorption, and infiltration rates.

In many child projects, the types of interventions promoted often address integrated root causes and are rather synergetic. For example, the planned improved rangeland management, fodder production, or increased tree cover will have an impact not only on soils and land regeneration (as in the child projects in Uganda and Burkina Faso) but also on adaptation to, and mitigation of, climate change and on the rehabilitation of plants, trees, and certain animal species. Regeneration of riparian areas (as in the child projects in Ghana, Tanzania, and Malawi) may contribute not only to enhanced water catchment and adaptation to climate change but also to increased biodiversity and pollination capacities. References to biodiversity and climate change triggered through the land degradation entry point include promoting agrobiodiversity with drought-resistant crops. In some cases, these extend to specific biodiversity interventions, such as the study of wild plant relatives, and including biodiversity fairs and demonstration gardens for farmers in the Burundi child project, where the diversity of crops grown is a major child project objective. Similarly, pond rehabilitation in the Niger child project, or mangrove swamp protection in the Senegal child project, indicate biodiversity-specific interventions associated with the whole farming system. In other cases, biodiversity and climate change are mentioned only superficially in child project design documents. When present, those mentions are often in terms of generic references to maintaining traditional crops and agrobiodiversity, drought- and pest-resilient crops, and climate- and water-smart agriculture. Overall, not all countries that allocate biodiversity and climate change funds are addressing these areas very strongly, and only a few of the countries with no or relatively low funding allocations for biodiversity and climate change in their child projects promote more specific interventions in these areas. See table F.3 for Food Security IAP's focal area shares by child project.

Most countries committed to implement the three conventions through their child projects, and there are concrete references to the conventions' major objectives in the child project design documents for 8 of the 12 child projects. Almost all surveyed country stakeholders are convinced that the Food Security IAP Program and its child projects will help their country to address the conventions at multiple levels (local, national, and regional).

In line with the above observations on the lower attention to biodiversity and climate change compared with land degradation, there are major differences among country stakeholders' assessments about how strongly the Food Security IAP directly addresses each specific convention. While 76 percent of them see strong support for land degradation in the Food Security IAP Program, 59 percent believe this is the case for climate change, 41 percent see strong support for sustainable forest management, and only 35 percent believes this is the case for biodiversity.

Almost all child projects contain specific measures planned at the country level through IAP Program Component 1 ("Institutional frameworks for influencing sustainability and resilience") to enhance cooperation across different ministries, government agencies, and other stakeholders. This is regarded as the strongest contribution by the Food Security IAP to help all three conventions mainstream their programs in the countries. Eighty-two percent of surveyed country stakeholders strongly agree that specific measures for in-country interministerial cooperation would contribute to re-enforcing implementation of the three conventions in an integrated way to maximize synergies and generate multiple GEBs.

TABLE F.3 Focal area shares by child project and synergies

Country and child project title	GEF Agency	Focal area coverage[a] LD BD CC	Synergy
Burkina Faso: Fostering Participatory Natural Resource Management Project	IFAD		▪ **BD:** Several references to support BD ▪ **CC:** Implicitly addressed in terms of adaptation (SLM) and, to a lesser extent, mitigation, such as upstream reforestation
Burundi: Support for Sustainable Food Production and Enhancement of Food Security and Climate Resilience in Burundi's Highlands	FAO		**BD:** Explicitly and extensively mentioned: ▪ Agrobiodiversity in terms of diversity of crops grown, including trees and livestock (Output 2.2.4) ▪ Promote agrobiodiversity through a study of wild plant relatives ▪ BD fairs and demonstration gardens to make diverse species/varieties available to farmers ▪ Concerning BD and agrobiodiversity, with potential to adapt to erratic rainfall and poor soils while contributing to better nutrition—fodder plant and weed species ▪ Opportunities for exploitation of neglected aspects of BD (local crop fruit varieties as foods, local animal breeds, leguminous fodder crops, agroforestry, market niches, medicines, biomass, etc.) ▪ Use of energy-efficient stoves ▪ Extensive information (including local names) was collected on trees naturally occurring on farms and relative uses, tree species used in agroforestry systems, crop species and varieties, and neglected and underutilized crops (orphan crops)
Ethiopia: Integrated Landscape Management to Enhance Food Security and Ecosystem Resilience	UNDP		▪ **BD:** Addressed only very generally; agrobiodiversity is touched on, but without much depth and focus, just one of many things ▪ **CC:** Not much on CC
Ghana: Sustainable Landscape Management Project in Northern Ghana	World Bank		▪ **BD:** Explicitly mentioned in terms of activities for the scaling up of BD management: – The program will expand BD-friendly activities within the Western Wildlife Corridor and Community Resource Management Areas. – Theory of change expresses BD goals specifically: (1) Maintain plant cover and incorporate more perennials "to improve the habitat for predators and parasitoids of crop pests" and to ensure "bioconnectivity for local biodiversity"; (2) Promote multicropping…; (3) Recycling of crop residues and livestock manure… ▪ **CC:** Coping with CC effects is implicitly there
Kenya: Establishment of the Upper Tana Nairobi Water Fund	IFAD		▪ **BD/CC:** Definitely; an integrated multifocal area approach was taken in this case; the main activities include SLM, riparian management, wetlands protection, reforestation, agroforestry practices, terracing of hill slopes, improved stoves, and biogas ▪ Youth employment in biophysical conservation and tree nurseries

Country and child project title	GEF Agency	Focal area coverage[a] LD BD CC	Synergy
Malawi: Enhancing the Resilience of Agro-Ecological Systems	IFAD		▪ **BD:** Rather perfunctorily dealt with: drought tolerance and pest resilience of indigenous crops and animal varieties; claims to be able to achieve 2,000 ha of conservation of genetic diversity ▪ **CC:** Implicitly: CC risk reduction mentioned in text – Reforestation and regeneration of vegetation cover (565 ha) – Mitigation: introduction of efficient cook stoves; sustainable charcoal supply, alternative energy project – Biomass energy production
Niger: Smallholder Agricultural Development Programme	IFAD		▪ **BD:** Explicitly mentioned in terms of pond rehabilitation (plus reference to Aichi BD 6, 9, and 11): conservation of BD through (1) creation of ponds in Ramsar sites and (2) developing passage corridors to eliminate invasive plant species. ▪ **CC:** Implicitly everywhere present in the Sahel: "All GEF activities support enhanced carbon-capture in the soil (re-greening, dune protection, live hedges, ponds)"
Nigeria: Integrated Landscape Management to Enhance Food Security and Ecosystem Resilience	UNDP		▪ **BD:** Not much reference to BD ▪ **CC:** Perfunctory, only indirectly in terms of climate-smart agriculture
Senegal: Agricultural Value Chains Support Project	IFAD-UNIDO		▪ **BD:** Definitely there in mangrove swamp protection; to some extent in better crop/livestock residual use integration (but not strongly emphasized) ▪ **CC:** Implicitly mentioned as climate variability; but particularly, and more explicitly, in terms of alternative energy source development (UNIDO technology in greening value chains)
Swaziland: Climate-Smart Agriculture for Climate-Resilient Livelihoods	IFAD		▪ **BD:** Implicitly addressed through various agroforestry- and agrobiodiversity-related activities, innovation fund; and by "fostering biodiversity through carbon sequestration" through LD, forestry, management approvals for grazing on communal land ▪ **CC:** Climate resilience (adaptation) explicitly dealt with—also under the impression of the severe drought in Swaziland
Tanzania: Reversing Land Degradation Trends and Increasing Food Security in Degraded Ecosystems of Semi-Arid Areas of Central Tanzania	IFAD		▪ **BD:** Explicitly mentioned in BD conservation and value chain development; business coaches would train, among others, on nontimber forest productions, wild fruits, medicinal plants, etc. ▪ **CC:** Introduction of ex ante carbon tool, developed by FAO, to be used to prioritize mitigation options in agriculture – "Conservation of habitats sustaining drylands; biodiversity will be an integrated activity" – Support for formal introduction of integrated village land use planning at various levels (as part of Component 1) is a key element of an integrated approach
Uganda: Fostering Sustainability and Resilience for Food Security in Karamoja Subregion	UNDP-FAO		▪ **BD/CC:** Implicit; many activities around integrated natural resource management, rangeland management, and fodder value chain; regeneration of soil cover implicitly recognizes BD and CC aspects; plus introduction of multifocal area M&E tools

NOTE: BD = biodiversity, CC = climate change, LD = land degradation.

a. Percentages refer to share of total GEF grant committed to the focal area in CEO endorsed document (Part I, Section A).

Annex G: Evaluation matrix

Key question/indicator/what to look for	Evaluation criteria	Level	Sources of information	Methodology	Responsibility
1. To what extent is the IAP integrated programming concept, as applied to the three IAPs, truly integrated, and does it differ from existing (non-) programmatic approaches?					
1.a. To what extent is the IAP integrated programming concept aligned with GEF-6 Programming Directions and the STAR resource allocation framework?			Program and project documents World Bank, Habitat, and Asian Development Bank documents	Desk analysis Project review protocol	IEO evaluator Senior consultants Research analyst
Objectives and priorities of the program and its child projects are aligned with one another	Relevance	Strategic			
Objectives and priorities of the program and its child projects are aligned with GEF-6 Programming Directions					
Origins and rationale of GEF-6 Programming Directions alignment regarding urban sustainability (Cities IAP)					
Objectives and priorities of the program and its child projects are aligned with STAR resource allocation framework					
Evidence of alignment of IAP Programs with the STAR resource allocation framework					
Evidence of STAR allocation–affected countries' willingness to participate in IAP Programs					
Evidence of coherence and integration in program design					
Profile of standard GEF project approaches in urban/commodities/food security interventions					
Approaches of other key international programs fostering urban sustainability/focusing on agricultural commodities and global deforestation/food security					
1.b. To what extent does the IAP integrated programming concept promote synergies between GEF focal areas?			Program and project documents	Desk analysis Project review protocol	IEO evaluator Senior consultants Research analyst
PFD and child project results frameworks contain outcome and impact indicators that contribute to results across GEF focal areas	Relevance	Strategic			
Focus on major drivers, in the PFD and child project documents, that promote synergies in delivering focal area strategies					
Focal area alignment in the PFD and child project documents					
Rationale for the selection of some GEF focal areas aligned with the three individual IAPs					
Rationale for non-inclusion of LDCF/SCCF (an adaptation component) as focal area in the three individual IAPs					

Key question/indicator/what to look for	Evaluation criteria	Level	Sources of information	Methodology	Responsibility
1.c. To what extent does the IAP integrated programming concept demonstrate alignment of priorities across scales (local/cityscape, national, and global)?			Program and project documents Key stakeholders of GEF, GEF Agencies, national and city government officials	Desk analysis Project review protocol Interviews	IEO evaluator Senior consultants Research analyst
Specific measures planned at the country level to enhance cooperation across ministries, agencies, and other stakeholders; strategies; and at multiple levels	Relevance	Strategic			
Stakeholder group includes agencies at multiple scales					
Common priorities found in strategies and programs of stakeholder agencies across multiple scales					
Planning documents acknowledge the need for alignment across scales					
Stakeholders can articulate common priorities and the mechanisms for alignment across scales					
Review of existing governance, power, and decision-making structures in the countries and specific locations/cities selected					
Do PFD and child project documents show sensitivity to the differences in existing governance, power, and decision-making structures in countries and specific locations/cities selected?					
1.d. To what extent does the IAP integrated programming concept provide additionality in terms of innovative approaches/processes/thinking and issues, compared with standard project approaches and previous programmatic approaches?			Program and project documents Key stakeholders of GEF, GEF Agencies, conventions	Desk analysis Project review protocol Interviews	IEO evaluator Senior consultants Research analyst
Perceptions on coherence and integration	Relevance	Strategic			
Frequency and quality of references to innovative approaches, processes, and thinking					
Evidence of innovative approaches, processes, and thinking in program design					
2. To what extent does the IAP integrated programming concept, as applied to the three IAPs, enable the GEF to fulfill its mandate vis-à-vis the conventions?					
2.a. To what extent does the IAP integrated programming concept demonstrate alignment with GEBs?			Program and project documents Key stakeholders GEF, GEF Agencies, conventions	Desk analysis Interviews	IEO evaluator Senior consultants
Program and child project results frameworks contain outcome and impact indicators that contribute to multiple GEBs across GEF focal areas	Relevance	Strategic			
Program and child project results frameworks contain GEB targets					
Level of complementarity between GEBs and (local) sustainability goals					
2.b. To what extent does the IAP integrated programming concept promote synergies between multilateral environmental agreements (MEAs)?			Program and project documents	Desk analysis Project review protocol Interviews	IEO evaluator Senior consultants Research analyst
Focus on major drivers, in the PFD and child project documents, that promote synergies in implementing MEAs	Relevance	Strategic			
Evidence of linkages through activities that are planned for sequential, synergistic associations and have cause-effect relationships for focal area strategies and implementing MEAs					
Concrete references in PFD and child project documents to the conventions' major objectives					

Key question/indicator/what to look for	Evaluation criteria	Level	Sources of information	Methodology	Responsibility
3. To what extent has the IAP integrated programming concept, as applied to the three IAPs, harnessed the comparative strengths, advantages, and unique selling points of the GEF Agencies, the STAP, the GEF Secretariat, and broader constituencies and partnerships?					
3.a. Part 1 - To what extent are Lead and Implementing Agencies chosen based on comparative advantage?			Program and project documents Sustainable cities/urban-focused documentation of GEF Agencies Key stakeholders GEF, GEF Agencies	Desk analysis Interviews	IEO evaluator Senior consultants Research analyst
Technical experience in the relevant themes: number and quality of relevant publications; length of work on the theme	Relevance	Strategic, process			
Lead and Implementing Agencies active in targeted ecosystems in Africa, Southeast Asia, and Latin America and the Caribbean: number of projects, length of engagement					
Resources and connections deployed for dialogue with governments and scaling up: leverage and catalytic potential; cofinancing funds, number of staff in the field					
Trusted by governments, regional institutions, and nongovernment agencies to mobilize and coordinate institutional support					
Lead and implementing agencies successfully worked with the GEF in other projects and programs before					
Good practice examples of World Bank leadership in coordination and partnerships: support through platforms, GPSC, capacity, and partnerships (Cities IAP)					
GEF facilitation of inter-Agency collaboration in child project design and preparation					
Start-up efficiency and innovation of child project agencies: project status and delays, compliance with partnership and administrative requirements (that is, reporting)					
World Bank's convening power across sectors and regions, its track record in urban sustainability investments (Cities IAP)					
Child project agencies' engagement in support of governments' operational needs for urban development (Cities IAP)					
Involvement of child project agencies in areas of urban and global sustainability relevant to Cities IAP (Cities IAP)					

Key question/indicator/what to look for	Evaluation criteria	Level	Sources of information	Methodology	Responsibility
3.b. To what extent is the GEF an opportune key partner with a comparative advantage for tackling urban sustainability issues/the drivers for deforestation/ the drivers for food insecurity and integrated natural resource management more holistically?			Program and project documents Key stakeholders of GEF, GEF Agencies, and STAP	Desk analysis Interviews	IEO evaluator Senior consultants
Does the GEF have specialized technical capacity and track record to work on urban-sustainability/ deforestation/food security issues?	Relevance	Strategic, process			
Does the GEF have specialized technical capacity and track record to work more holistically across different focal areas?					
Does the GEF have institutional experience to work multi-institutionally and multiscale (local/cityscape, national, regional)?					
Does the GEF bring in grants to generate critical mass to address problems that are not covered by others?					
Good practice examples of GEF secretariat coordination in designing and launching the IAP Programs					
STAP intellectual leadership and quality control over IAPs' program design and review					
The GEF's IAP financing to address global urban/ deforestation/food security issues with multiplier effects by pooling with other cofinancing sources					
3.c. How do the GEF and GEF Agencies engage with a broader constituency in IAP Program design and start-up?			Program and project documents Key stakeholders of GEF, GEF Agencies, private sector, and CSOs	Desk analysis Project review protocol Interviews	IEO evaluator Senior consultants Research analyst
Have (in)formal public-private partnerships been developed as part of the three IAPs?	Relevance	Strategic, process			
Has the private sector been engaged in the program and project design process?					
Have (in)formal partnerships been developed with CSOs as part of the three IAPs?					
Have CSOs been engaged with as part of the IAPs' design and start-up?					
Concrete references in PFD and child project documents to engagement with and roles for private sector partners					
Concrete references in PFD and child project documents to engagement with and roles for CSOs					
Private and civil society partners can articulate common priorities and the mechanisms to be employed to ensure multi- and cross-sectoral alignment					

Key question/indicator/what to look for	Evaluation criteria	Level	Sources of information	Methodology	Responsibility
3.d. To what extent does the GEF work in collaborative partnerships in IAP Program design and start-up?					
Design and start-up harnessed the comparative strengths of the Agencies, STAP, and the GEF Secretariat					
Program design to engage a broader constituency beyond the traditional entities					
Partnerships—extent to which the IAP works in concert with relevant external stakeholders germane to sustainable and supply and deforestation					
Number of stakeholders contributing to the design and implementation of the IAP	Relevance	Strategic, process	Program and project documents Sustainable cities/urban-focused documentation of GEF Agencies Key stakeholders of GEF, GEF Agencies, UN conventions, STAP, and private sector	Desk analysis Project review protocol Interviews	IEO evaluator Senior consultants Research analyst
How has the private sector been involved in the IAPs' design and start-up?					
Has the private sector been considered as a partner in urban development and infrastructure? (Cities IAP)					
Arrangements in PFD and child project documents and budgets for partnering, collective action, new supportive policies, and incentives, at program, project, country, and regional level					
4. To what extent have gender and resilience been taken into account in the three IAPs' design?					
4.a. Gender: Is there evidence of any gender analysis, gender-disaggregated or -sensitive indicators and targets in IAP Programs and child project documents, or proof of other measures to address gender differences and promote gender equality?					
PFD and child project documents contain gender in the (1) context description, (2) partner description, (3) project description, and/or (4) gender-specific objectives and activities?					
Program and child project results frameworks and tracking tools contain (1) gender-disaggregated indicators and/or (2) gender-specific indicators?					
Was a gender analysis or social assessment with gender component conducted at design?					
Do the PFD and child project documents include a gender mainstreaming strategy or plan?		Process, portfolio-program, and child project level	Program and project documents M&E planning documents Interviews with GEF, GEF Agencies, national and city government officials	Desk analysis Project review protocol Online survey Interviews	IEO evaluator Senior consultants Research analyst
Share of men and women involved in project design?					
Share of men and women targeted as direct beneficiaries?					
To what extent were gender experts included in the projects' design and start-up?					
Quality at entry gender rating for the programs and child projects					
Share of project cost for specific gender objectives or activities?					
Share of men and women identified in lead roles in program and project management					

Key question/indicator/what to look for	Evaluation criteria	Level	Sources of information	Methodology	Responsi-bility
4.b. Resilience: Is there evidence of any strategic resilience analysis or resilience indicators and targets in IAP Programs and child project documents?					
Resilience is used in the PFD and child project documents (1) as part of project risk management, (2) as a specific co-benefit, (3) resilience is integrated into a multiple benefits framework					
Resilience as used in the PFD and child project documents makes reference to (1) resilience in a more static system sense, (2) incremental adaptation, and (3) transformational changes					
Program and child project results frameworks and tracking tools contain resilience-focused indicators?					
Mention and/or use of RAPTA in PFD and child project documents					
Mention and/or use of alternative resilience guidelines or tools in PFD and child project documents					
Share of project cost for specific resilience objectives or activities?					
Perceptions on usefulness, difficulty, actual use, etc., of resilience concept(s) (if applied) with involved stakeholders					
Perceptions on usefulness, difficulty, actual use, etc., of resilience tools used with involved stakeholders					

Process, portfolio-program, and child project level

Program and project documents

M&E planning documents

Inter-views with GEF, GEF Agencies, national and city government officials

Desk analysis

Project review protocol

Online survey

Interviews

IEO evaluator

Senior consultants

Research analyst

Key question/indicator/what to look for	Evaluation criteria	Level	Sources of information	Methodology	Responsibility
5. How efficiently has the design and launch process of the three IAP Programs been, and what has been the buy-in by the target groups thus far?					
5.a. Is there evidence of coherence and child projects-to-program integration in IAP Programs' design?			Program and project documents Urban sustainability literature review Interviews with GEF, GEF Agencies, national and city government officials	Desk analysis Project review protocol Interviews	IEO evaluator Senior consultants Research analyst
Coherence in objectives and design established across projects: number of child projects aligned	Relevance, efficiency	Strategic, process			
Coherence of PFD regarding international urban sustainability policies and best practices (Cities IAP)					
Global crosscutting child project (hub) supports program integration through establishing three platforms: timing of platform establishment, demonstrated contributions during child project design, references to innovative ways in hub child project/platform design, content, and operation					
Role of IAP coordinator and AML manager under the AML project is well defined and demonstrates clear reporting lines within the Coordination Structure project (Commodities IAP)					
Alignment of objectives and priorities of PFD and country child projects and selection of participating cities (Cities IAP)					
Differences in objectives and intended outcomes in IAP child projects compared with (1) other project or program cofinanciers and (2) previous phase(s) of project or program with/without GEF contribution					
Relevance of country child projects to local and national urban sustainability priorities as identified by GEF Agencies (Cities IAP)					
Quality of implementation arrangements of country child projects and their likelihood of attaining projected outputs and outcomes					
Potential of the GPSC (hub project) as designed, launched, and organized to function as the coordination mechanism for the Cities IAP (Cities IAP)					
Potential of resource team to interface the Cities IAP with global communities of practice in urban sustainability (Cities IAP)					
5.b. Is there evidence of coherence and integration of M&E common standards and baselines in IAP Programs' and projects' results-based management and M&E design?			Program and project documents M&E planning documents	Desk analysis Project review protocol	IEO evaluator Senior consultants Research analyst
Programs and child projects have SMART indicators in results framework and tracking tools	Relevance	Strategic, process, portfolio-program, and child projects			
Common standards for program/project monitoring and reporting developed					
Extent to which M&E baselines have been established or are being planned for child projects					
M&E burden for parent vis-à-vis child projects					
Coherence of project results frameworks across the portfolio and with the hub projects' metrics					

Key question/indicator/what to look for	Evaluation criteria	Level	Sources of information	Methodology	Responsibility
5.c. IAP Programs' and projects' design modalities and costs					
Alignment, or the lack thereof, of cofinanciers conditionalities with child project objectives and intended outcomes	Efficiency, relevance	Strategic, process, portfolio-program, and child projects	Program and project documents Urban sustainability literature review Sustainable cities/ urban-focused documentation of GEF Agencies Interviews with GEF, GEF Agencies, and STAP	Desk analysis Project review protocol Interviews	IEO evaluator Senior consultants Research analyst
Program/project design was done in a consultative and participatory way					
PFD and child project design was sufficiently contextualized in specific country context					
Evidence of alignment of IAP Programs with the STAR resource allocation framework					
Evidence for the way that access to additional funding sources through STAR-affected country willingness to participate in IAP Programs as compared with previous GEF projects					
Program concept development from STAP background paper to PFD via the GEF Secretariat and World Bank collaboration (Cities IAP)					
Were PPG amounts for project preparation and other mobilization of technical capacities sufficient for the program and project design?					
5.d. To what extent was country selection based on relevance and established criteria?					
Is the selection of target countries and target cities (in the case of Cities IAP) based on relevance?	Relevance	Strategic, process, portfolio-program, and child projects	Program and project documents Urban sustainability literature review Sustainable cities/ urban-focused documentation of GEF Agencies Interviews with GEF and GEF Agencies	Desk analysis Project review protocol Interviews	IEO evaluator Senior consultants Research analyst
PFD and child project design documents articulate a definition of "relevance" for country/city selection. Or were the criteria for selection suitably established?					
To what extent do PFD and child project design documents articulate the case for selection based on relevance?					
To what extent were the selected cities the most appropriate, based on their relevance/need for more sustainable urban development? (Cities IAP)					
Number of child project documents that refer to MEAs					
Number of child project documents that refer to IAPs' expected key results					
Number of child project documents that refer to focal area strategies					
Number of cities that are members of global cities coalitions (Cities IAP)					
Number of child project documents that refer to Paris Agreement; the Sendai and Addis Ababa Agreements, and Habitat III (Cities IAP)					
Comparisons/ranking of development need found in program and project design documents					
Identified development need aligns with SDGs					
GEF Agency personnel can articulate and justify selection of cities based on comparative need with other cities' development needs (Cities IAP)					

Key question/indicator/what to look for	Evaluation criteria	Level	Sources of information	Methodology	Responsibility
5.e. Buy-in by target groups at project, country, and regional level					
Engagement, ownership, and buy-in are addressed in PFD and child project design documents	Relevance	Strategic, process, portfolio-program, and child projects	Program and project documents Interviews with GEF, GEF Agencies, national and city government officials	Desk analysis Project review protocol Online survey Interviews	IEO evaluator Senior consultants Research analyst
Kind of engagement, ownership, and buy-in articulated in PFD and child project design documents					
Perception of stakeholders on the consultation and participation processes, ownership, and buy-in in program and child project design by GEF Agencies					
Stakeholders' role in project planning, management, and delivery articulated in program and child project design documents					
Number and type of actions taken at this point at the project, country, and regional level—that is, designation of institutions, allocation of offices and staffs to child projects					
Stakeholders committing personnel to the program and projects					
Stakeholders committing cofinancing to the program and child projects					
Stakeholders integrating IAP Programs' and project information into their strategic and planning documents					
Type of personnel assigned to and engaged in IAP Programs and projects					
Stakeholders can articulate the nature of their involvement					
Stakeholders can articulate program vision, goals, and objectives					
6. Have funding sources been strategically allocated for integrated programming (that is, GEF set-aside funding, cofinancing leverage)?					
Are public-private partnerships (PPPs) being examined as options for further implementation? Are PPPs being examined as funding source for further future financing?	Relevance, efficiency	Process, portfolio-program, and child project level	Program and project documents Interviews with GEF, GEF Agencies, national and city government officials	Desk analysis Project review protocol Interviews	IEO evaluator Senior consultants Research analyst
Role and sector contributions of private sector cofinancing in country child projects					
Alignment of cofinanciers' priorities with child project objectives and intended outcomes					
GEF funding by programming direction as shown in PFD and child project documents					
Logic for GEF funding by programming direction					
Type of cofinanciers (GEF Agency, other multilateral non-GEF agency, bilateral aid agency, foundation/ trust fund, microfinance institute, CSO/(I)NGO, national government, local/city government, private sector, beneficiaries, other, namely…), by programming direction in PFD and child project documents					
Type of cofinancing modalities (in-kind, cash, grant, public investment, equity, concessional debt [25% grant component], loan, guarantee, or risk-sharing instrument), by programming direction in PFD and child project documents					
Benefits and limitation of used cofinancing modalities					

Key question/indicator/what to look for	Evaluation criteria	Level	Sources of information	Methodology	Responsibility
7. To what extent are there mechanisms for broader adoption (mainstreaming, scaling up, replication, market transformation), features that enable knowledge capture, and mechanisms for learning from previous projects?					
7.a. To what extent are there mechanisms for broader adoption (mainstreaming, scaling up, replication, market transformation)?			Program and project documents Urban sustainability literature review Interviews with GEF, GEF Agencies, national and city government officials	Desk analysis Project review protocol Interviews	IEO evaluator Senior consultants Research analyst
What is the envisaged role of the private sector in replication, scaling up, and further market transformation?	Relevance, efficiency				
Existing mechanisms for institutional capacity building mentioned in PFD and child project documents, covering enabling policy environment for broader adoption					
Existing mechanisms for scaling up mentioned in PFD and child project documents.					
PFD and child project design documents demonstrate that projects are drawing from lessons learned from previous and ongoing urban sustainability/commodities/food security projects					
Child projects promote further uptake by more cities nationally of urban sustainability approach as promoted by Cities IAP (Cities IAP)					
Consolidation of IAP Programs' approaches, in PFD, GEF-6 Programming Directions and linkages with GEF 2020 strategy, to ensure continuation beyond current commitments					
7.b. What are the design features enabling knowledge capture?			Program and project documents Sustainable cities/urban focused documentation of GEF Agencies Interviews with GEF, GEF Agencies, national and city government officials	Desk analysis Project review protocol Interviews	IEO evaluator Senior consultants Research analyst
Existing mechanisms for institutional capacity building in PFD and child project documents, covering effective knowledge and learning	Relevance, efficiency				
Mechanisms for informed decision making in PFD and child project documents					
Potential of hub projects and resource team (stand-alone resource project, Cities IAP-specific) to create opportunities for knowledge capture and dissemination among participating cities and beyond (Cities IAP)					
Potential of GEF Secretariat and GEF agencies for integrating lessons learned through IAP Programs in their operational practices					

Key question/indicator/what to look for	Evaluation criteria	Level	Sources of information	Methodology	Responsibility
7.c. How does the design ensure learning from previous projects incorporated in this project?			Program and project documents Sustainable cities/urban-focused documentation of GEF Agencies Interviews with GEF, GEF Agencies, national and city government officials	Desk analysis Project review protocol Interviews	IEO evaluator Senior consultants Research analyst
PFD and child project design documents include lessons learned from previous programmatic approaches	Relevance, efficiency				
Potential of hub projects, based on PFD and child project documentation and interviews with stakeholders, to provide access to global experience					
Potential of hub projects, based on PFD and child project documentation and interviews with stakeholders, to act as a conduit between country child projects, regional projects, global focus of IAP Programs and cities across participating countries					
Potential of resource team (stand-alone resource project), based on PFD and child project documentation and interviews with stakeholders, to draw from a global platform of cases, references, examples and best practices that feed into implementation (Cities IAP)					

Annex H: Key stakeholders consulted

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