



**Independent  
Evaluation Office**  
GLOBAL ENVIRONMENT FACILITY

# Evaluation of Knowledge Management in the GEF

MARCH 2018  
FULL REPORT





Global Environment Facility  
Independent Evaluation Office

# **Evaluation of Knowledge Management in the GEF**

March 2018

Evaluation Report No. 123

*This report was presented to the Council in November 2017.*

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ISBN: 978-1-64233-006-9

Cover: GEF Expanded Constituency Workshop, Trinidad and Tobago, March 2016, by GEF Secretariat.

# Contents

|  |            |
|--|------------|
| <b>Foreword</b> .....  | <b>iv</b>  |
| <b>Acknowledgments</b> .....   | <b>v</b>   |
| <b>Abbreviations</b> .....   | <b>vi</b>  |
| <b>Executive summary</b> .....   | <b>vii</b> |
| <b>1: Introduction and methodology</b> .....                           | <b>1</b>   |
| <b>2: Findings</b> .....   | <b>2</b>   |
| 2.1 Relevance to the GEF mandate and strategy. . . . .                 | 2          |
| 2.2 Effectiveness of KM's contribution to environmental benefits ..... | 4          |
| 2.3 The GEF as a provider of knowledge .....                           | 6          |
| 2.4 Efficiency of knowledge sharing and access in the GEF .....        | 9          |
| 2.5 KM in the GEF relative to similar organizations .                  | 10         |
| <b>3: Conclusions and recommendations</b> .....                        | <b>14</b>  |
| 3.1 Conclusions .....  | 14         |
| 3.2 Recommendations .....  | 15         |
| <b>Annexes</b>   |            |
| A: Interviewees .....  | 17         |
| B: Survey responses from country stakeholders .                        | 19         |
| C: Main KM features in comparator organizations                        | 24         |
| <b>References</b> .....  | <b>27</b>  |

## Boxes

|   |    |
|---|----|
| 2.1 KM at the project level .....               | 3  |
| 2.2 GEF biodiversity mainstreaming and KM. .... | 10 |

## Figures

|   |    |
|---|----|
| 2.1 Mapping of citation frequency by key clusters and terms ..... | 6  |
| 2.2 Use of GEF-related documents and information sources .....    | 7  |
| 2.3 Knowledge products consulted since 2010 .....                 | 8  |
| 2.4 Usefulness of GEF KM products .....                           | 8  |
| 2.5 Participation in GEF events .....                             | 9  |
| 2.6 Making lessons from the GEF more accessible .                 | 11 |

## Tables

|  |    |
|--|----|
| 2.1 Comparing organizations by KM strategy .....                 | 11 |
| 2.2 Comparing organizations by KM leadership and structure ..... | 11 |
| 2.3 Comparing organizations by KM technology systems .....       | 12 |
| 2.4 Comparing organizations by resources dedicated to KM. ....   | 12 |
| 2.5 Comparing organizations by KM products and services .....    | 13 |
| 2.6 Comparing organizations by KM use .....                      | 13 |

# Foreword

The relevance of knowledge management to the Global Environment Facility (GEF) mandate has been increasingly recognized over the past 15 years. In 2004, the GEF Council endorsed knowledge management as a corporate-level task. As part of the GEF-3 to GEF-5 replenishment periods (June 2002 to June 2014), a knowledge management strategy and accompanying initiatives were launched. However, the Third, Fourth, and Fifth Overall Performance Studies of the GEF reported that the approach to knowledge management during this period was not comprehensive and had insufficient resources.

The Independent Evaluation Office (IEO) has taken a systematic look at the GEF knowledge management function in the period since the start of GEF-5 in 2009 to the present. The evaluation assessed the role of the GEF partnership as a knowledge broker and provider, the relevance and effectiveness of knowledge management and sharing across the GEF partnership, as well as the barriers to and opportunities for successful implementation. The aim was to identify any eventual

systemic issues that need to be addressed in planning for GEF-7. The evaluation was based on evidence from a wide array of sources, analyzed with a mixed-methods approach.

The evaluation's approach paper was approved in April 2017. In-office literature reviews and analyses, including a benchmarking exercise with five comparator organizations as well as interviews and an online survey, were conducted from April to July 2017. The evaluation was presented to the GEF Council at its November 2017 meeting, as part of the IEO's Semi-Annual Evaluation Report. The Council took note of the conclusions of the evaluation and endorsed the recommendations.



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# Acknowledgments

The evaluation was co-led by Carlo Carugi, Senior Evaluation Officer, and Kseniya Temnenko, Knowledge Management Officer, both of the Independent Evaluation Office (IEO) of the Global Environment Facility (GEF). Core evaluation team members were Glenn O’Neill and Matteo Borzoni, both consultants to the IEO. Jillian Dyszynski, also a consultant to the IEO, conducted benchmarking interviews with the Green Climate Fund.

The evaluation benefited from guidance and oversight provided by Juha Uitto, Director of the IEO, and 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 knowledge management as it pertains to GEF projects and programs provided information, data, and insights during interviews and meetings. Representatives from four comparable donor-funded partnership organizations—the Climate Investment Funds; Gavi, the Vaccine Alliance; the Global Partnership for Education; and the Green Climate Fund—responded to questions and provided information and data on knowledge management in their institutions. Country stakeholders responded to an online survey, and provided additional information and insights in open-ended form.

The GEF IEO is grateful to all these individuals and institutions for their contributions. Final responsibility for this report remains firmly with the Office.

# Abbreviations

|     |                                  |      |   |
|-----|----------------------------------|------|---|
| CEO | chief executive officer          | IEO  | Independent Evaluation Office           |
| CIF | Climate Investment Funds         | KM   | knowledge management                    |
| ECW | expanded constituency workshop   | PMIS | Project Management Information System   |
| GCF | Green Climate Fund               | STAP | Scientific and Technical Advisory Panel |
| GEF | Global Environment Facility      |      |   |
| GPE | Global Partnership for Education |      |   |

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 report presents the findings of an evaluation by the Independent Evaluation Office (IEO) to review the current role of the Global Environment Facility (GEF) as a knowledge broker and provider both within and beyond the GEF partnership. The objectives of this knowledge management (KM) evaluation are to assess the role of the GEF partnership as a knowledge broker and provider, the relevance and effectiveness of knowledge management and sharing across the GEF partnership, as well as the barriers to and opportunities for successful implementation. The evaluation applied a mixed-methods approach, encompassing an in-office literature review, perceptions gathering through central-level interviews/focus groups, and an online survey designed to gather country stakeholders' views. Specific methodological components of the evaluation included (1) a meta-analysis of KM-related evaluative evidence contained in 26 country-level evaluations and studies conducted by the IEO from 2005 to 2016, (2) a benchmarking exercise to compare the GEF KM function to that of similar international partnerships, and (3) a citation analysis to identify the number and typology of GEF lessons and experience used both within and outside the partnership.

Following are the key findings of this evaluation:

- **The relevance of KM for the GEF mandate has been increasingly recognized in the past 15 years, with resources and consequent initiatives launched.** A KM work stream was set up within the GEF Secretariat in September 2015, guided by a KM approach paper (GEF 2015). KM's relevance to achieving the GEF's goals has been demonstrated. Yet the priority given to KM at the policy level has yet to be fully matched by its actual implementation across the GEF partnership. The interviewed stakeholders recognized a series of activities launched since 2015 as useful, but areas with greater KM needs had been identified previously. These include standardizing the creation, storage, and access to GEF project and program documentation and the ability of the GEF partnership to collate, analyze, and share knowledge in a systematic manner at the corporate level. Although identified since 2005, these needs remain largely unmet.
- **During project implementation, knowledge is often generated that facilitates the achievement of environmental benefits primarily through monitoring systems, information sharing, and awareness raising.** Examples have been found where KM components in GEF-supported projects and programs have contributed to behavioral and policy changes that support environmental benefits across GEF focal areas. How effectively KM components contribute to environmental benefits depends on how accessible the knowledge and information produced by GEF investments are. To date, knowledge generated by GEF projects is

inconsistently integrated into the knowledge bases of the GEF Secretariat or the GEF Agencies and therefore is not consistently accessible to all interested parties.

■ **The GEF partnership was found to have the role of a knowledge provider within the broader international environmental community.**

The GEF is cited in some 2,500 academic articles for its approaches and lessons, as well as for its funding role. At the national level, all 26 countries examined by the meta-analysis had activities to share knowledge, and the majority of surveyed country-level stakeholders used the knowledge produced by different parts of the GEF partnership as an input to their own environmental projects, policies, and awareness campaigns. Convention secretariats are currently underserved by the GEF's knowledge and information systems, including the Project Management Information System (PMIS). The GEF has played less of a role as a knowledge broker in linking—that is, being a link between those who create and use knowledge by systematically organizing and sharing knowledge produced by different parts of the partnership.

■ **The knowledge generated and shared by GEF projects is useful but needs common taxonomies, knowledge-sharing approaches, and consistent integration into repositories to increase access by all interested parties.**

Consistent approaches to knowledge sharing beyond the national level were not observable. Good examples of knowledge sharing are noted in some focal areas, particularly in international waters and biodiversity. In cross-cutting areas, the GEF Gender Partnership is slowly developing into a platform for building a wider constituency on gender and the environment. Improved knowledge sharing is also seen in programs (compared to standalone projects)

and within the Integrated Approach Pilots. GEF Agencies differ in their ability to use knowledge generated by GEF projects and programs, depending mainly upon their own Agency-specific KM approaches and systems. The knowledge products produced by the GEF Secretariat are found to be lacking a consistent style, categorization, and taxonomy; stakeholders do not see the PMIS as an effective sharing tool mainly due to data incompleteness. Country-level stakeholders indicated more outreach and accessible information on/from GEF projects/programs were needed.

- **Compared to four similar partnership organizations, the GEF has placed less emphasis at the project/program level on developing technical solutions to manage knowledge and on applying a systematic approach to its knowledge products.** All four comparator organizations but the Green Climate Fund had a KM strategy in place. Overall, the secretariats/administrative units of these organizations focus on internal systems at the strategic level more than the GEF. The organizations are at different stages of implementing technological solutions, and they also face the challenges of having an overview of, and access to, all project-level documentation. Within the respective KM-dedicated resource envelopes, all four organizations carry out a range of knowledge-sharing activities, and some are more advanced in developing common knowledge products than the GEF.

The main conclusions are as follows:

- **The GEF partnership has made substantial progress in KM during the GEF's sixth replenishment period (GEF-6).** The GEF 2020 strategy emphasizes “strategically generating knowledge” as a priority for the future of the institution. Accordingly, a higher priority has

been given to KM during GEF-6. In line with GEF-6 policy recommendations to improve the uptake of lessons learned in GEF projects/programs, a dedicated KM work stream has been established within the Secretariat, and a KM approach paper was developed and is currently being implemented.

■ **Knowledge generated in the GEF partnership is being used and has influenced national environmental policies and practices.**

GEF-supported projects generate a substantial amount of knowledge in the form of technical and operational project-level documentation, as well as strategic and summary papers. There is evidence that this knowledge is being used and is influencing national environmental practices and policies. In focal areas such as international waters, evidence shows that lessons from the GEF are also having a broader influence in the academic literature.

■ **The GEF is more of a knowledge provider than a knowledge broker.** The knowledge produced in the GEF is being used, but not to its full extent. Limitations exist in terms of collating and analyzing knowledge and facilitating its access, transfer, and sharing across the partnership, and the GEF falls short in this knowledge broker role in comparison with other comparable donor-funded partnership organizations. However, the GEF is clearly improving in this area. Recent positive illustrations of this role include the biodiversity mainstreaming work, the regional knowledge days targeting country stakeholders, the Gender Partnership, the inclusion of KM requirements in project proposals, the GEF guidebook *The Art of Knowledge Exchange* (WBG and GEF 2017) and associated workshops, the GEF online search tool Kaleo, the new knowledge and learning page on the GEF website, and the integration of KM as a

specific project component of the Integrated Approach Pilots.

- **Systemic issues continue to be barriers to KM in the GEF.** Barriers to progress in KM are systemic in nature, longstanding, and have previously been identified by the GEF partnership in studies of the Secretariat and Scientific and Technical Advisory Panel, and by several major IEO evaluations. These issues are having an impact at both the project and global levels for KM. They include (1) the availability of an information management system to capture and provide access to project-level documentation from conception to conclusion that is accessible and user-friendly for GEF Agencies, countries, and project and program staff; (2) guidance on KM for GEF-supported projects and programs through the project life cycle, beyond basic documentation requirements, to ensure minimum standards of consistency and accessibility; and (3) the capacity within the Secretariat to connect with GEF Agency systems and platforms and to create an enabling environment for corporate-level learning, knowledge exchange, and collaboration across the GEF portfolio.

Following are the main recommendations:

- **The GEF Secretariat should place a high priority on improving the quality and availability of project-level documentation from a KM perspective, including lessons learned during design and implementation.** To ensure minimum standards of consistency in KM across GEF Agencies and projects, clear guidance should be provided to Agencies on, for example, the typology of knowledge products to be generated during and after project implementation, and the capture and storage of such information. As the PMIS is currently under revision, efforts should be made to ensure that it becomes the key platform for

storing and sharing project-level documentation throughout the project life cycle. The revisions to this platform should be made in consultation with the GEF Agencies and other parts of the partnership to ensure access for GEF Agencies, project and program staff, and countries. The platform should facilitate easy uploading, downloading, and analysis of project and program documents from design through supervision and finally completion.

- **The GEF Secretariat and KM Advisory Group should develop a plan to connect across GEF Agency KM systems, generate knowledge products, and organize learning activities across focal areas, agencies, and cross-cutting themes.** The partnership

would benefit from a clear work plan on learning activities and knowledge products to be generated within and across focal areas in collaboration with GEF Agencies, along with a proposed resource envelope and enhanced internal capacity. Ideally, these products would draw on lessons from across the partnership, including from Agencies, the Scientific and Technical Advisory Panel, conventions, and countries, and would support strategic decision making and planning at the portfolio and corporate levels. Mechanisms to disseminate and share such knowledge products should also be clearly articulated in the plan.

# 1: Introduction and methodology

This report presents the findings of an evaluation conducted to assess the current role of the Global Environment Facility (GEF) as a knowledge broker and provider, both within the GEF partnership and beyond, in the international environmental community of practitioners. The aim of the evaluation was to assess whether any systemic issues pertaining to the relevance, effectiveness, and efficiency of the knowledge management (KM) function need to be addressed while planning for the GEF's seventh replenishment period (GEF-7).

The methodology used for the evaluation included the following major components:

- Semistructured interviews held with 33 members of the GEF partnership: 8 from the GEF Secretariat, 18 from 10 GEF Agencies, 4 from two convention secretariats, and 2 staff members and the chair of the Scientific and Technical Advisory Panel (STAP)
- An online survey conducted in English, French, and Spanish and administered to country-level stakeholders (GEF national focal points, country focal points of multilateral environmental conventions, representatives of civil society organizations, project partners and staff, and GEF Agencies country and regional staff), for which 736 responses were received, corresponding to a 28 percent response rate

- A citation analysis of academic literature conducted using Google Scholar and the Scopus database and covering the period since GEF establishment until June 2017
- A comparative study of KM systems, structures, and approaches based on relevant documentation and interviews with nine staff members from four comparable donor-funded partnership organizations: the Climate Investment Funds (CIF); Gavi, the Vaccine Alliance; the Global Partnership for Education (GPE); and the Green Climate Fund (GCF)
- A meta-analysis of KM-related evidence from 26 country-level evaluations conducted by the Independent Evaluation Office (IEO) from 2005 to 2016
- Document and literature review

A list of the persons interviewed can be found in [annex A](#). The complete responses to the online survey can be found in [annex B](#). The main KM features of the four comparable organizations can be found in [annex C](#). The citation analysis and meta-analysis reports are available as technical documents upon request.

## 2: Findings

Findings are structured in five main sections: (1) the relevance of KM to the GEF mandate and strategy, (2) the effectiveness of GEF-supported KM contributions to global environmental benefits, (3) the GEF's role as a provider of knowledge both within and beyond the GEF partnership, (4) the efficiency of knowledge sharing and access in the GEF, and (5) a comparison of the KM function in the GEF partnership with that of similar donor-funded partnership organizations.

### 2.1 Relevance to the GEF mandate and strategy

The relevance of KM to the GEF mandate has been increasingly recognized in the past 15 years. The starting point was the proposal in 2003 of the internal GEF Monitoring and Evaluation Unit to establish a KM strategy. This led the GEF Council to endorse KM as a corporate-level task together with an initial \$0.49 million budget, in 2004. As part of the GEF-3 to GEF-5 replenishment periods (June 2002 to June 2014), a KM strategy and accompanying initiatives were launched. However, the Third, Fourth, and Fifth Overall Performance Studies of the GEF (GEF OME 2005; GEF IEO 2010, 2014) reported that the KM approach during this period was not comprehensive and was underresourced.

In 2014, the policy recommendations in the GEF-6 replenishment document requested the Secretariat to develop a comprehensive work plan to build a

KM system (GEF 2014b). As a result, the Secretariat produced a KM approach paper and established a KM work stream within its Policy, Partnership, and Operations Unit (GEF 2015). This work stream, tasked to coordinate KM work across the GEF partnership and consisting of one full-time KM coordinator and several part-time employees, became operational in September 2015. The GEF 2020 strategy has also emphasized “strategically generating knowledge” as a priority (GEF 2014a). However, the priority given to KM at the policy level has yet to be fully matched by its actual implementation across the GEF partnership.

Since the KM work stream in the GEF Secretariat became operational in 2015, KM's relevance to achieving the GEF's goals has been demonstrated. The KM work stream has implemented substantial activities in a period of less than two years. The KM Advisory Group was established as an informal mechanism for collaboration across the GEF partnership. KM surveys, the knowledge asset assessment, and the knowledge audit were conducted to assess the current state of the knowledge system and identify priorities for the work program. The initial action plan and the roadmap for KM were developed. In addition, several KM pilot initiatives were launched. They ranged from extracting lessons from completed multifocal area projects, implementing regional GEF knowledge days, developing the guidebook *The Art of Knowledge Exchange* and associated workshops, launching Kaleo, the GEF's online

question-and-answer tool, and incorporating mandatory KM questions into project documents, among others.

Persons interviewed from across the GEF partnership recognized these as useful initiatives but believed that areas with greater KM needs remained. The KM audit and knowledge asset assessment conducted in 2016 by the GEF Secretariat in partnership with International Union for Conservation of Nature summarized these needs in clear terms: “The tendency seems to be to give attention to generating more and different knowledge, rather than taking a step back and understanding the limitations of how data is currently being generated and managed” (GEF Secretariat 2016, 2). That study identified these needs in two main areas: the need for learning at the project level, which includes standardizing the creation, storage, and access to GEF project and program documentation, and corporate-level learning needs, involving the ability of the GEF partnership to collate, analyze, and share knowledge in a systematic manner. These two needs are not new and have been identified since 2005 (the Third Overall Performance Study, OPS3) and are recognized equally in the KM approach paper, with solutions proposed as described above. Activities have been launched to address these needs, including a pilot to extract lessons from terminal evaluation reports of multifocal area projects, and improvements to the next version of the Project Management Information System (PMIS), but it is early to assess their contribution to enhancing KM. Many agencies rely on their own KM systems and cannot draw on knowledge generated from other GEF Agencies (box 2.1).

The role of KM within the GEF-supported projects and programs is not always clear. Seven of 10 interviewed GEF Agency representatives stated that they lacked guidance on KM from the Secretariat. No partnership-level guidance, such as

### BOX 2.1 KM at the project level

In 2009, a KM and learning initiative was carried out for the International Fund for Agricultural Development’s work in Eastern and Southern Africa. The initiative had a broad and ambitious agenda: to improve project management processes and results by fully integrating KM into all aspects of project management, including monitoring and evaluation, financial management, supervision, and reporting. Over two and a half years from 2009 to 2012, the initiative worked with more than 125 project staff members from 32 projects in 12 countries, as well as a limited number of staff from government departments and partner organizations. Four main products resulted from the initiative: a model for an integrated KM system, a conceptual framework and guidelines for how to operationalize KM in large development projects, a performance framework for KM and learning, and a concept for project startup.

**SOURCE:** Hagmann and Gillman 2017.

minimum expectations on KM at the project level, was found, as was also noted in the KM audit. Agencies stated that KM was applied in a haphazard manner within programs and projects and that its relevance not reinforced. While Agencies acknowledged that KM was happening despite this limitation, and KM activities were indeed found at the project level in all 26 GEF country portfolios examined by the meta-analysis, the Agencies’ concern was that the full potential of KM was not being met. The mandatory KM questions introduced by the GEF Secretariat for project documents during GEF-6 do not provide guidance on minimum requirements on KM. The STAP produced a practitioner guide for mainstreaming KM into project design that was presented to the GEF KM Advisory Group in October 2016. To date, the guide is still at the draft stage.

Some GEF Agencies linked this weakness to available resources. The 2017 GEF Secretariat's aggregated budget for KM-related activities is some \$2 million, which is 9 percent of the total GEF Secretariat's corporate budget and includes publications (some \$0.3 million from the Communications budget), expanded constituency workshops (ECWs), knowledge days, and training workshops (some \$1 million from the Country Support Programme budget). KM budgets of secretariats/administrative units for three comparable organizations range from \$2.3 million to \$13 million and are 7–11 percent of their total operational budgets for secretariats/administrative units (see [annex C](#)). The CIF's budget of \$2.6 million excludes \$9 million for a multi-year evaluation and learning initiative. The GPE, in addition to its budget of \$2.3 million for the internal secretariat KM systems, will use some 5 percent of annual disbursement for their country- and partnership-focused Knowledge and Innovation Exchange Mechanism. Gavi's budget of \$13 million includes all document management and business-analyst costs but does not include country-level KM costs. If the GEF's country-level KM costs are not considered, the KM budget, including the communication budget for publications, is approximately 4 percent of the total budget.

Outside of the KM work stream, the roles and responsibilities for KM within the Secretariat are not clear, according to Secretariat and Agency staff interviewed. A survey conducted by the Secretariat in 2016 found that almost half of respondents had KM as part of their 2016 performance objective. The survey report authors concluded: "KM is important, but this importance has not yet translated into an integration with our daily work or clearly defined roles and responsibilities across the Secretariat" (Teelucksingh 2016).

## 2.2 Effectiveness of KM's contribution to environmental benefits

The GEF aims to deliver global environmental benefits through its investments (GEF 2012). In doing so, a contribution is anticipated from KM. This evaluation found examples from different sources, including the meta-analysis of 26 country-level evaluations, document analysis, and stakeholder interviews, where KM components in GEF investments have contributed to behavioral and policy changes that support global environmental benefits across GEF focal areas, as illustrated in the following main categories:

- **Monitoring systems, information sharing, and awareness raising supported by GEF projects/programs.** Marine monitoring systems in Samoa provided information on fish population and coral health over years. In Nicaragua, awareness-raising efforts have contributed to the protection of 5,796 species in flora and 12,290 species in fauna in 72 protected areas. In Sri Lanka, awareness raised among forest department officials contributed to the reduction of illegal activities, such as logging and encroachment. The Small Grants Program has been reported as an effective channel to share information and raise awareness among stakeholders at the local level in a number of countries, such as the Arab Republic of Egypt, Eritrea, India, and Sri Lanka (GEF IEO and UNDP IEO 2015).
- **Knowledge products/processes contributing to GEF approaches being either replicated in different geographical locations or scaled up in the same location.** Examples of replication fueled by knowledge products and processes supported by GEF projects and programs were found in 14 of 26 countries examined by the meta-analysis. Lessons learned on

GEF-supported biodiversity monitoring systems for protected areas in the Philippines are replicated by other donor projects and nongovernmental organizations in a number of other countries in the region. In interviews for this evaluation, the World Bank reported on the scaling up of solar energy from GEF-supported projects in Albania and Morocco, as did the Asian Development Bank for land-degradation projects in China and Myanmar. The scaling up was supported by the exchange of knowledge between projects.

■ **Transfer of knowledge to further GEF and national initiatives after project completion.**

The meta-analysis provided an example of how the GEF biodiversity database in Madagascar had been used for creating new protected areas to confirm ecosystem priorities. The same database and the clearing-house mechanisms are used in Madagascar as a reference for ecological monitoring and environmental-impact assessments for sectoral investments. The Food and Agriculture Organization of the United Nations reported documenting lessons learned on heritage technologies and practices from GEF-supported projects for small farmers in Bangladesh for broader use (FAO 2017).

■ **Mainstreaming, where information, lessons, or other specific aspects of a GEF intervention become part of a stakeholder's own initiative, such as laws, policies, regulations, and programs.**

Mainstreaming of knowledge-related aspects of GEF interventions often occurred within the government. In India, a community-based approach to protected-area management piloted by a GEF-supported project (GEF ID 84) was mainstreamed, gaining wider acceptance with the country. In Eritrea, the sustainable land management projects (GEF IDs 3362 and 2009) developed a KM system for sustainable land management and

mainstreamed its principles into the regional and national development strategies, programs, and projects.

KM components in GEF-supported projects and programs also contributed to specific global environmental benefit areas. Examples include the reduction of waste volumes (Vanuatu), decreased greenhouse gas emissions (Cameroon, Egypt, El Salvador, Madagascar, South Africa, Sri Lanka, the Syrian Arab Republic, Timor-Leste, Turkey, Vanuatu), regeneration of flora and fauna (Benin, Costa Rica, Nicaragua, Samoa), and improved biodiversity and prevention of further biodiversity deterioration (Benin, Brazil, Cameroon, Costa Rica, Egypt, El Salvador, Eritrea, India, Jamaica, Madagascar, Moldova, Nicaragua, the Philippines, Sierra Leone, South Africa, Sri Lanka, Syria, Turkey, Vanuatu).

How effectively KM components contribute to environmental benefits depends upon how accessible the knowledge and information produced is. The STAP affirms that how effectively knowledge and information activities contribute to environmental benefits “depends upon the sustained availability of the KM products generated by these investments over the long term” (GEF STAP 2015, 3). The STAP also found that the sustained availability of GEF-supported knowledge products varied, a finding confirmed by the meta-analysis.

One key issue identified in this evaluation and confirmed by the STAP and the GEF Secretariat's knowledge audit (GEF Secretariat 2016) is that the knowledge generated by GEF projects is inconsistently integrated into the knowledge databases of the GEF or its Agencies in a form accessible to all interested parties. In response, and acknowledging this weakness, the Secretariat has proposed updating the PMIS, introducing an improved document management system/library, and establishing a knowledge exchange hub (GEF 2017). To date, only the redesign of the PMIS has been initiated.



“convention,” and “GCF”; the **economic-ecosystem interface**, including terms such as “forest,” “water,” “fishery,” and “pollution”; and **energy**, which covers energy production, investment, and costs. The frequency of term occurrence is indicated by the size of the text. As the figure indicates, papers citing GEF experiences are not polarized around delineated macro issues.

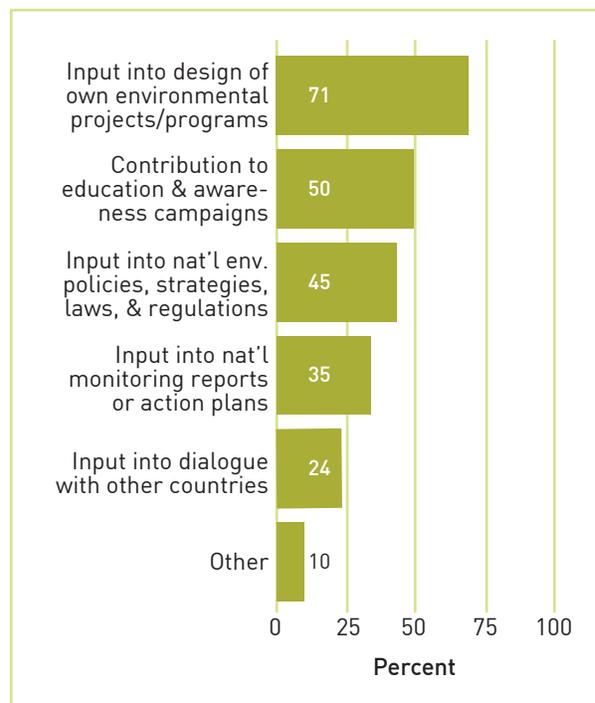
A more in-depth qualitative analysis of a selection of 120 articles reveals that the GEF is cited equally for its approaches and lessons as for its funding role. More specifically, 55 papers cite GEF approaches or lessons learned from the GEF as the key topic; the main topics discussed in these papers are international waters (17 papers), multilateral environmental agreements and multilateral funding mechanisms (13 papers), and energy (8 papers). The GEF experiences are also cited to provide evidence for policy debates or to advocate for policy or approach change (21 papers). As for the GEF’s funding role, it is cited in 53 papers, including when discussing projects (39 papers) and international environmental agreements (14 articles).

When GEF products were referenced, those found most commonly were GEF strategies (focal areas or operational strategies) and technical documents (such as working papers, technical papers, workshop reports, and so forth). The products developed by GEF Agencies were also common sources of citation.

Surveyed country-level stakeholders indicated that the knowledge produced by different parts of the GEF partnership provided input into the design of their own environmental projects, informed education and awareness campaigns, or contributed to national environmental policies, strategies, laws, and regulations (figure 2.2).

In terms of knowledge products consulted since 2010, more than half of surveyed country-level

**FIGURE 2.2** Use of GEF-related documents and information sources



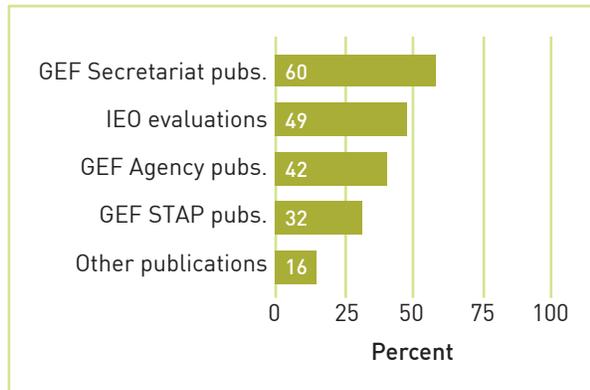
**NOTE:**  $n = 456$ . Online survey question: Thinking of the GEF-related documents, publications, and information sources that you have accessed, have you used them for any of the following? (Select all that apply.)

stakeholders indicated that they had consulted a GEF Secretariat publication. IEO evaluations are the second most-consulted documents (figure 2.3).

When rating GEF knowledge products, half of surveyed country stakeholders found them “very useful,” and 38 percent found them “moderately useful” (figure 2.4). Technical documents, such as a guide or manual, were the most useful for their work, followed by strategy documents, such as the national biodiversity strategies and action plans or the GEF 2020 strategy. (See [annex B](#) for more detail.)

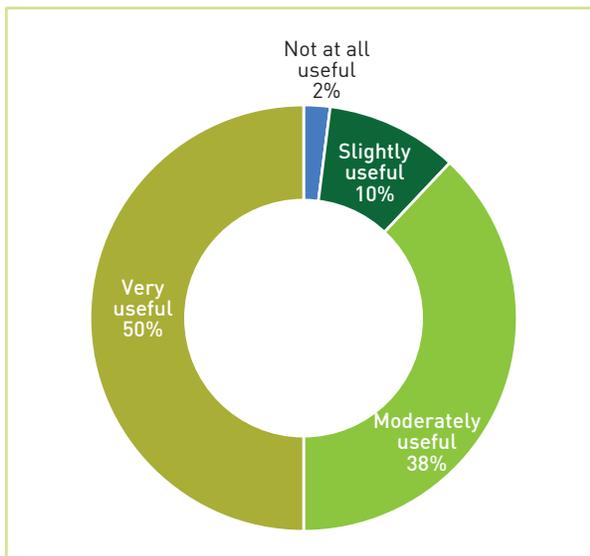
Convention secretariats are a community currently underserved by the GEF KM and information systems, including the PMIS. Secretariats

**FIGURE 2.3** Knowledge products consulted since 2010



**NOTE:**  $n = 429$ . Online survey question: Please indicate if you have accessed any of the following publications at least once since January 2010. (Select all that apply.)

**FIGURE 2.4** Usefulness of GEF KM products



**NOTE:**  $n = 469$ . Online survey question: Referring to all GEF-related information sources, documents, and publications that you have accessed since January 2010, how useful were they to you?

indicated they used GEF knowledge but were not always considered in the design, production, and dissemination of knowledge related to GEF projects and programs. An example they cited relates to the lack of access to project and program documentation that they could use during

country consultations. Another example is inconsistent use of taxonomies relevant to conventions in project documents and the GEF Secretariat's knowledge products. Importantly, some convention secretariats play a statutory role in KM, as in the case of the clearing-house mechanism of the Convention on Biological Diversity: Its mission is to "promote and facilitate scientific and technical cooperation, knowledge sharing, and information exchange, and to establish a fully operational network of Parties and partners."<sup>1</sup> No synergies between these roles and the GEF knowledge and information systems were observed.

The above findings illustrate that the GEF partnership—in its ability to produce knowledge not only at the level of projects and programs but also in the technical and strategic documentation produced and used by all the communities examined—has essentially played the role of a provider of knowledge. At the same time, this evaluation found that the GEF has played less of a role as a broker of knowledge—that is, as a link between those who create and those who will use the knowledge produced—by collating and systematically organizing it in order to facilitate its access, transfer, and sharing within the partnership.<sup>2</sup> The STAP called this a KM "adoption gap" in its interim report on KM in the GEF (GEF STAP 2015). The Secretariat is requesting project implementers to track and report on some 1,000 data points through its tracking tools,<sup>3</sup> yet staff members from both the Secretariat and GEF Agencies indicated that, beyond aggregating tracking-tool information for periodic reporting to conventions, the

<sup>1</sup> Convention on Biological Diversity, "Clearing-House Mechanism," <https://www.cbd.int/chm/>.

<sup>2</sup> For a discussion of knowledge brokering, see Ward, House, and Hamer, 2009.

<sup>3</sup> "Tracking Tools," [https://www.thegef.org/documents/tracking\\_tools](https://www.thegef.org/documents/tracking_tools).

Secretariat has a limited ability to analyze, collate, and share the large and diverse amount of data collected in a way that is useful to the partnership as a whole.

## 2.4 Efficiency of knowledge sharing and access in the GEF

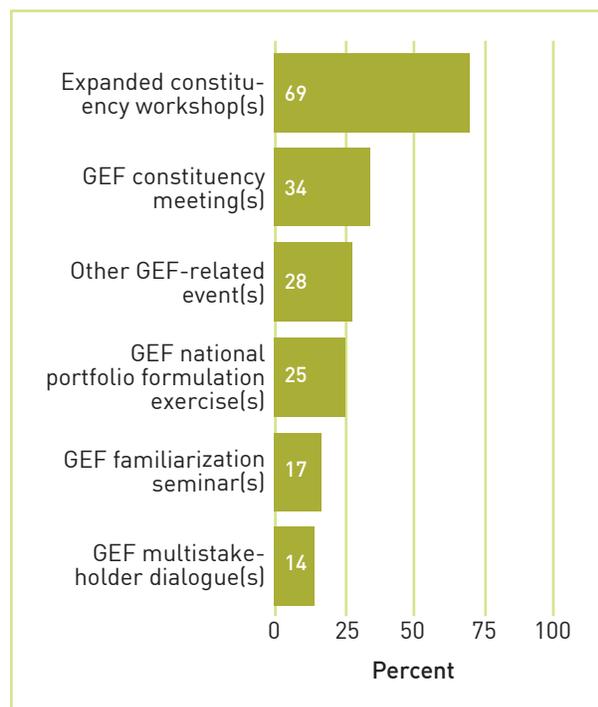
As noted in the preceding sections, the knowledge produced with GEF support has been shared more broadly (for example, through academic articles) and at a country level. Most surveyed stakeholders participated in a GEF-related event since 2010. The ECWs and constituency meetings were the events participated in most frequently (figure 2.5). Eighty seven percent of surveyed country stakeholders (419) found these events to be useful for their work. To further facilitate knowledge sharing on the country and regional levels, the Secretariat

implemented “GEF Knowledge Days,” a new initiative, in 2016. Included as a component of the ECWs, knowledge days encompass thematic workshops and field visits to GEF-supported projects, through which participants from different countries in the ECW constituency share knowledge. Knowledge days were held 13 times in 2016, reaching more than 1,000 participants from over 140 GEF member countries.

Beyond knowledge sharing at the national level, activities occur somewhat inconsistently. Good examples of knowledge sharing are observed in some focal areas, particularly international waters and biodiversity, where the GEF has led initiatives to encourage an exchange of knowledge and learning. A unique feature of the international waters focal area is the prevalence of projects directed at learning and making knowledge and experience gained through the focal area accessible to all. IW:Learn, the GEF’s International Waters Learning Exchange and Resource Network, is a series of projects and a community of practice that was set up in 2001 (GEF IEO 2016). The biodiversity focal area has started an ongoing learning process on biodiversity mainstreaming, including a systematic review of completed projects aimed at informing project design and implementation and identifying lessons learned (box 2.2). In cross-cutting areas, the GEF Gender Partnership is a community of gender focal points/practitioners from both within and outside the GEF that has become an important forum to support the building of evaluative evidence on gender and the environment, according to a recent IEO evaluation (GEF IEO 2017a).

The IEO also noted improved knowledge sharing in programs in comparison to standalone projects (GEF IEO 2018). Similarly, the formative evaluation of the Integrated Approach Pilot Program noted the innovative role of knowledge platforms established for cross-learning across child projects. The

**FIGURE 2.5** Participation in GEF events



**NOTE:**  $n = 429$ . Source: Online survey question: Have you participated in any of the following GEF-related events at least once since January 2010?

### BOX 2.2 GEF biodiversity mainstreaming and KM

After 25 years of investment, the GEF biodiversity focal area has started an ongoing learning process on biodiversity mainstreaming. Led by the GEF Secretariat, biodiversity mainstreaming projects and evaluations were reviewed to identify best practices and lessons learned. The aim was to identify key factors that support project success, including both “project moderators” (factors that are not part of design but influence the magnitude and quality of the outcomes) and “project design features” (design elements that can be changed by designers or implementers to make the project more successful). This is an ongoing process to inform better project design and implementation, identify lessons learned, refine the GEF’s investment strategy, and improve the GEF’s theory of change of biodiversity mainstreaming.

**SOURCE:** GEF 2016.

platforms are designed to coordinate the sharing of knowledge across participating countries, cities, and agencies. The evaluation cautions that with no historical evidence on the effectiveness of such platforms, a strong commitment and support by all participating entities will be needed to provide the knowledge-sharing services and benefits they have been designed for (GEF IEO 2017b).

Despite the absence of a common approach to knowledge sharing within the GEF partnership, the Secretariat has been quite prolific, producing and disseminating nearly 50 knowledge products (videos and publications) from May 2016 to March 2017. These products lack a consistent style, categorization, and taxonomy. Persons interviewed across the partnership questioned their accessibility and usefulness. The ability of the GEF partnership to measure the use of the knowledge it is sharing is

also limited. The STAP attributed the absence of any tracking or assessment of the relative success or influence of KM products to a lack of planning for KM products and events and their anticipated use, influence, and impact (GEF STAP 2015).

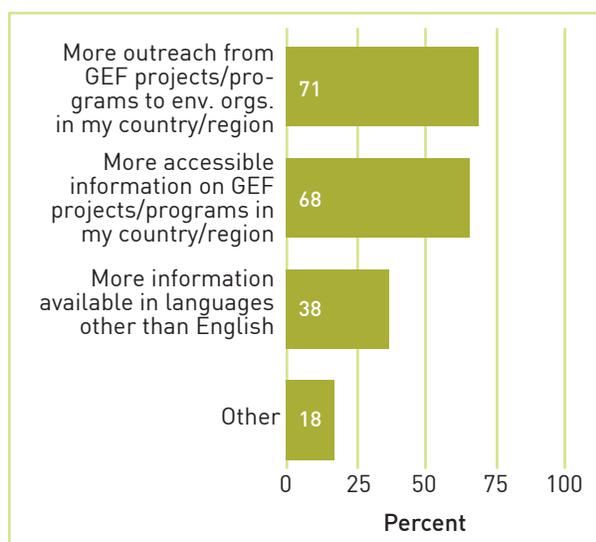
The stakeholders reported that they do not consider the PMIS, which is a repository for a large amount of project data and documentation, an effective sharing tool. This was confirmed by the 2016 KM audit and the 2016 assessment of existing knowledge assets of the GEF. Reasons relate to the incompleteness of the data, which often lacks documentation on project implementation, among others. Agencies confirmed that the most up-to-date project-level documentation is within their management information systems. The extent to which the documentation and knowledge is made public, integrated into the agency’s own knowledge products, and subsequently shared varies largely.

Country stakeholders also highlighted limitations. Asked what would make lessons from the GEF partnership more accessible and easier to use, stakeholders indicated more outreach first, followed by more accessible information on and from GEF-supported projects and programs in their region. Nearly two-fifths of surveyed country stakeholders pointed out the need to have information available in languages other than English (figure 2.6).

## 2.5 KM in the GEF relative to similar organizations

Four similar publicly funded partnership organizations analyzed in this evaluation as comparators to the GEF—the CIF, Gavi, the GCF, and the GPE—had a KM strategy in place (table 2.1). The strategies place a priority on developing and improving internal systems to store knowledge and the consequent processes to facilitate its use

**FIGURE 2.6** Making lessons from the GEF more accessible



**NOTE:**  $n = 437$ . Online survey question: Do you have any suggestions on what would make lessons from the GEF partnership more accessible and easier to use in your country/region? (Select all that apply.)

and contribute to the organization's goals. While the GPE had distinct internal and external KM strategies, the CIF and Gavi had strategies that considered both internal and external audiences. Overall, these organizations focused on internal systems at the strategic level more than the GEF.

As mentioned, internal systems have been identified as a priority for the GEF but are yet to secure the resources to advance.

Within the organizations, different structures exist to support KM. The CIF and the GPE have cross-cutting teams to advance KM within their organizations (table 2.2). The chief executive officers (CEOs) of these organizations were strong champions of KM. The CEO of Gavi highlights KM as one of four key progress points in his 2016 report to the Gavi Board (Gavi 2016). Rather than an internal cross-cutting team inside the GEF Secretariat or a group to support KM, the GEF has an inter-Agency advisory group on KM. A similar arrangement is observed in the CIF.

The organizations are at different stages of implementing technological solutions to support their KM strategies (table 2.3). Gavi is the most advanced and has emphasized improving the grant management process, allowing the organization and its partners to monitor progress of projects in real time. All organizations consider their public websites as important platforms for sharing selected knowledge products. The GEF has recognized the importance of its technological solutions for KM, as noted in the KM approach paper, but

**TABLE 2.1** Comparing organizations by KM strategy

| CIF   | GPE   | GCF  | Gavi  |
|---|---|--|---|
| KM strategy supported with annual KM work plan; focus is on KM contributing to scaling-up and replication | Internally and externally focused KM strategies in place; both emphasize scaling-up of education models and innovations | No dedicated KM strategy or action plans, although current strategic plan (2016–18) commits GCF to operate as a learning institute | KM strategy and work plans in place; focus on is improving business processes where efficiencies are seen |

**TABLE 2.2** Comparing organizations by KM leadership and structure

| CIF   | GPE  | GCF   | Gavi   |
|---|--|---|--|
| Evaluation and Learning Advisory Group considers KM issues; CEO is championing KM | KM Group made up of GPE Secretariat's staff, which reports to the Secretariat's leadership team; championed by CEO | GCF board has oversight; no specific governance for KM; broad appreciation for KM among the management team | KM is taken up by the senior management team as needed; CEO has made KM a priority |

**TABLE 2.3** Comparing organizations by KM technology systems

| CIF  | GPE   | GCF   | Gavi   |
|--|---|---|--|
| Planning to use the World Bank's new Financial Intermediary Funds system for project documentation; public website is the main tool to stock KM products | Plans to develop key tools, such as a grants management platform to complement its public website | Although not a specific KM system, the Integrated Portfolio Management System manages projects from concept note to post-approval stages; public website is also used for sharing | Common KM processes facilitated through a combination of the online country portal and enterprise knowledge repository |

these technologies remain to be fully developed. For example, they still do not offer data in real time.

Similar to the GEF, the four organizations have faced challenges in their ability to provide an overview and stakeholder access to project-level documentation.

All but one organization—the GCF—have a central KM team including from 4 to 13 members (table 2.4). Of note, the Gavi's KM staff also includes employees responsible for the document management system and a team of business analysts who focus on improving business processes. This strong emphasis on KM is also reflected in the Gavi secretariat's annual budget for KM, estimated at \$13 million compared to \$2.3 million at the GPE and \$2.6 million at the CIF. Of note, the GPE has launched a distinct financing stream for

its knowledge and innovation exchange efforts, aiming for \$20 million of funding per year over three years (GPE 2017). The GEF Secretariat has fewer staff members dedicated to KM (currently, one full-time coordinator and several part-time employees), and its budget is lower in real figures (about \$2 million annually) but within the range of the other organizations as a percentage of total administrative budget (9 percent).

The four organizations develop knowledge products to varying degrees, often in the form of summaries of lessons and thematic/sectoral reports (table 2.5). In most cases, products focus more on the hard science than the science of delivery. (See, for example, Thorpe 2013.) Gavi is an exception, with its focus on the direct work of the KM team to improve delivery processes, including grant management processes. Organizations had

**TABLE 2.4** Comparing organizations by resources dedicated to KM

| CIF   | GPE  | GCF  | Gavi  |
|---|--|--|---|
| \$2.6 million KM annual budget, including central costs and multilateral development bank funding (~13% of its administrative budget); also, evaluation and learning is a multimillion-dollar, multiyear initiative funded separately by donors<br>4 KM staff members | \$2.3 million KM annual budget, ~7% of total administrative budget; plans to allocate about 5% of its current annual disbursement to the Knowledge and Innovation Exchange mechanism<br>3 staff members—internal KM; 1.8 staff members—external KM | No central KM budget; any expenses are integrated directly in divisional and project budgets<br>No staff dedicated to KM | \$13 million KM annual budget (includes KM information technology costs), ~13% of total administrative budget<br>13 KM staff members, including document management and business analysts |

**TABLE 2.5** Comparing organizations by KM products and services

| CIF  | GPE   | GCF   | Gavi   |
|--|---|---|--|
| Various types of knowledge products, including thematic case studies, evaluation and learning reports and briefs, strategic papers, and e-learning; activities include country meetings, South-South cooperation, thematic learning events, and training | Knowledge products and a common taxonomy developed; external knowledge exchange includes activities such as webinars, study tours, and training | Knowledge products developed at divisional level; current sharing includes dialogues and events | Research and evaluation reports focus on lessons learned and knowledge; peer exchange in key policy areas; focus of KM team on streamlining business processes |

developed a range of activities to share knowledge similar to the GEF, often with differences seen from sector to sector in the same organization.

Compared to the GEF, other organizations are more advanced in developing common knowledge products. Compared to Gavi, the GEF also has limited KM services to improve business processes, although it has produced some specific resources—for example, the 2017 guidebook *The Art of Knowledge Exchange: A Results-Focused Planning Guide for the GEF Partnership*, which

focuses on knowledge exchange at the project level. In terms of KM as a more integrated service or activity within organizations, the GPE was most advanced.

All organizations aim to have the knowledge they produce used to improve current and future projects, both in the substance and process aspects (table 2.6). Organizations currently have limited abilities to assess the use of the knowledge produced.

**TABLE 2.6** Comparing organizations by KM use

| CIF  | GPE   | GCF  | Gavi   |
|--|---|--|--|
| Main use seen through drawing learnings from the monitoring and evaluation | Focus on encouraging use for both internal and external audiences | Knowledge seen as being important for scaling up and replication | Use seen by focusing on improving business processes |

# 3: Conclusions and recommendations

## 3.1 Conclusions

**Conclusion 1: The GEF partnership has made substantial progress in KM during GEF-6.** The GEF 2020 strategy emphasizes “strategically generating knowledge” as a priority for the future of the institution. Accordingly, a higher priority has been given to KM during GEF-6. In line with GEF-6 policy recommendations to improve the uptake of lessons learned in GEF projects/programs, a dedicated KM work stream has been established within the Secretariat, and a KM approach paper was developed and is currently being implemented.

**Conclusion 2: Knowledge generated in the GEF partnership is being used and has influenced national environmental policies and practices.** GEF-supported projects generate a substantial amount of knowledge in the form of technical and operational project-level documentation, as well as strategic and summary papers. There is evidence that this knowledge is being used and influencing national environmental practices and policies. In focal areas such as international waters, evidence shows that lessons from the GEF are also having a broader influence in the academic literature.

**Conclusion 3: The GEF is more of a knowledge provider than a knowledge broker.** The knowledge produced in the GEF is being used, but not to its full extent. Limitations exist in terms of collating and analyzing knowledge and facilitating

its access, transfer, and sharing across the partnership, and the GEF falls short in this role of knowledge broker in comparison with other comparable donor-funded partnership organizations. However, the GEF is clearly improving in this area. Recent positive illustrations of this role include the biodiversity mainstreaming work, the regional knowledge days targeting country stakeholders, the Gender Partnership, the inclusion of KM requirements in project proposals, the GEF guidebook *The Art of Knowledge Exchange* and associated workshops, the GEF online search tool Kaleo, the new knowledge and learning page on the GEF website, and the integration of KM as a specific project component of the Integrated Approach Pilots.

**Conclusion 4: Systemic issues continue to be barriers to KM in the GEF.** Barriers to progress in KM are systemic in nature, longstanding, and have previously been identified by the GEF partnership in studies of the Secretariat and STAP, and by several major IEO evaluations. These issues are having an impact at both the project and global levels for KM, and include (1) the availability of an information management system to capture and provide access to project-level documentation from conception to conclusion that is accessible and user-friendly for GEF Agencies, countries, and project and program staff; (2) guidance on KM for GEF-supported projects and programs through the project life cycle, beyond basic documentation requirements, to ensure minimum standards of

consistency and accessibility; and (3) the capacity within the Secretariat to connect with GEF Agency systems and platforms and to create an enabling environment for corporate-level learning, knowledge exchange, and collaboration across the GEF portfolio.

### 3.2 Recommendations

**Recommendation 1: The GEF Secretariat should place a high priority on improving the quality and the availability of project-level documentation from a KM perspective, including lessons learned during design and implementation.** To ensure minimum standards of consistency in KM across GEF agencies and projects, clear guidance should be provided to Agencies on, for example, the typology of knowledge products to be generated during and after project implementation, and the capture and storage of such information. As the PMIS is currently under revision, efforts should be made to ensure that it becomes the key platform for storing and sharing project-level documentation throughout the project life cycle. The revisions to this platform should be made in consultation with the GEF Agencies and other parts of the partnership to ensure access for GEF Agencies, project and program staff, and countries.

The platform should facilitate easy uploading, downloading, and analysis of project and program documents from design through supervision and finally completion.

**Recommendation 2: The GEF Secretariat and the KM Advisory Group should develop a plan to connect across GEF Agency KM systems, generate knowledge products, and organize learning activities across focal areas, agencies, and cross-cutting themes.** The partnership would benefit from a clear work plan on learning activities and knowledge products to be generated within and across focal areas in collaboration with GEF agencies, along with a proposed resource envelope and enhanced internal capacity. Ideally, these products would draw on lessons from across the partnership, including from agencies, the STAP, conventions, and countries, and would support strategic decision making and planning at the portfolio and corporate levels. Mechanisms to disseminate and share such knowledge products should also be clearly articulated in the plan.



# Annex A: Interviewees

The interviews were held between April and June 2017.

## A.1 Agencies

Nancy Bennet, Results Management and Evaluation Advisor, United Nations Development Programme

Dinara Besekei Sutton, Natural Resources Management Specialist, World Bank

Anuradha Bhandari, Communications Consultant, Food and Agriculture Organization of the United Nations (FAO)

Geneviève Braun, Programme Officer, FAO-GEF Coordination Unit, FAO

Bruce Dunn, Principal Environment Specialist, Environment and Safeguards and ADB/GEF Coordinator, Asian Development Bank (ADB)

Ilaria Firmian, Environment and Climate Knowledge Officer, Environment and Climate Division, International Fund for Agricultural Development (IFAD)

Jeffrey Griffin, Senior Coordinator, GEF Investment Center Division, FAO

Fabio Heuseler Ferreira Leite, GEF Coordinator, Brazilian Biodiversity Fund

Andrew Hume, Director, WWF GEF Agency, World Wildlife Fund (WWF) USA

Dominique I. Kayser, Lead, Quality and Business Management Systems, Environmental and Social Framework Implementation Team, World Bank

Linda Klare, Coordinator, Environmental and Social Management Systems, GEF Coordination Unit, International Union for Conservation of Nature (IUCN)

Free de Koning, Senior Director, Project Development and Implementation, CI-GEF Project Agency, Conservation International

Naoko Nakagawa, KM Consultant, FAO

Jean-Yves Pirot, Head, GEF Coordination Unit, IUCN

Orissa Samaro, Director, GEF Project Agency, Conservation International

Renaë Stenhouse, Director, WWF GEF Agency, WWF USA

Brian Thomson, Senior Communications and Advocacy Specialist, IFAD

Kelly West, Senior GEF Portfolio Manager, United Nations Environment Programme

## A.2 STAP

Rosina Bierbaum, Chair

Guadalupe Duron, Programme Officer

Virginia Gorsevski, Programme Officer

## A.3 Convention secretariats

Alejandro Kilpatrick, Team Leader, Climate Finance Sub-Programme, Finance, Technology and Capacity Building Programme, United Nations Framework Convention on Climate Change

Kata Koppel, Documentation Officer, Convention on Biological Diversity (CBD)

Olivier de Munck, Programme Officer, Clearing-House Mechanism, CBD

Alexandre Rafalovitch, Information Systems Officer, CBD

#### A.4 GEF Secretariat

Mohamed Imam Bakarr, Lead Environmental Specialist  
Yasemin Biro, Coordinator, KM  
Robert Bisset, Head of Communications  
Francoise Clottes, Director, Secretariat Policy and Operations  
Gustavo Fonseca, Director of Programs  
Claude Gascon, Lead Program Manager  
Deepak Kataria, Information Technology Coordinator  
Christine Roehrer, Lead Results Based Management Specialist

#### A.5 Comparator organizations

Joseph Dickman, Senior Evaluation and Learning Specialist, CIF  
Andrey Kiselev, Senior Information Technology Officer, GPE  
Ian Macpherson, Education Specialist for Global, Regional, and Thematic Initiatives, GPE  
Edward Mishaud, Communications Consultant, GCF  
Ousseynou Nakoulima, Director, Country Programming Division, GCF  
David Nix, Chief Knowledge Officer, Gavi  
Clifford Polycarp, Manager, Country Operations Dialogue, GCF  
Jacqueline Sibanda, Web Manager, CIF  
Stefan Zutt, Head of ICT, GCF

# Annex B: Survey responses from country stakeholders

The survey was sent to 2,633 respondents, including GEF national focal points, country focal points of multilateral environmental agreements for which the GEF is a financial mechanism, representatives of civil society organizations, GEF project partners and staff, and GEF Agencies country and regional staff. Since the survey was not intended for the GEF Council members, it was not sent to the GEF country focal points who were also Council members at the time of the survey. The survey was open between May 29 and June 17, 2017.

Q1. Please select your language:

|            | Total | %   |
|------------|-------|-----|
| 1. English | 492   | 67  |
| 2. French  | 138   | 19  |
| 3. Spanish | 106   | 14  |
| Total      | 736   | 100 |

Q2. What best describes the institution where you work?

|  | Total | %   |
|--|-------|-----|
| 1. Government agency/department                              | 308   | 52  |
| 2. Education institution                                     | 2     | 0   |
| 3. Multilateral/bilateral/<br>intergovernmental organization | 71    | 12  |
| 4. Civil society organization                                | 204   | 35  |
| 5. Private for-profit  | 3     | 1   |
| 6. Media   | 1     | 0   |
| Total  | 589   | 100 |

Q3. What best describes your current role in your organization?

|                                  | Total | %   |
|----------------------------------|-------|-----|
| 1. Manager/director/senior staff | 363   | 62  |
| 2. Technical staff/program staff | 213   | 36  |
| 3. Support staff                 | 9     | 2   |
| Total                            | 585   | 100 |

Q4. To what extent are you familiar with the GEF?

|                        | Total | %   |
|------------------------|-------|-----|
| 1. Not familiar at all | 6     | 1   |
| 2. Slightly familiar   | 57    | 10  |
| 3. Moderately familiar | 226   | 39  |
| 4. Very familiar       | 297   | 51  |
| Total                  | 586   | 100 |

Q5. Please indicate if you are (select all that apply):

|   | Total | %   |
|---|-------|-----|
| Representative of a civil society organization (nongovernmental organization) that is part of the GEF CSO Network | 165   | 30  |
| Country's focal point for a global environmental convention and its representative/staff                          | 147   | 26  |
| GEF operational/political focal point and its representative/staff  | 110   | 20  |
| Program/project executing partner   | 93    | 17  |
| Other GEF (please specify)  | 73    | 13  |
| Staff/consultant of a GEF project/program   | 57    | 10  |
| GEF Agency's staff/consultant   | 52    | 9   |
| Total   | 558   | 100 |

Q6. Please indicate if you have accessed any of the following information sources at least once since January 2010 (select all that apply):

|   | Total | %   |
|---|-------|-----|
| GEF website, including project documents  | 428   | 86  |
| GEF Council and information documents   | 236   | 47  |
| GEF Project Management Information System   | 165   | 33  |
| Other sources (for example, environmental monitoring system(s), a website of a specific GEF project/program, GEF Agency website(s), online portal(s), multimedia, social media, maps, and so forth) Please specify: | 118   | 24  |
| Total   | 498   | 100 |

Q7. Please indicate if you have accessed any of the following documents at least once since January 2010 (select all that apply):

|  | Total | %   |
|--|-------|-----|
| National Biodiversity Strategy and Action Plans                                      | 288   | 59  |
| National communications to the United Nations Framework Convention on Climate Change | 276   | 57  |
| National reports to the Convention on Biological Diversity                           | 258   | 53  |
| National Action Programs to Adapt to Climate Change                                  | 250   | 51  |
| National Action Programs to combat desertification                                   | 214   | 44  |
| National Implementation Plans for dealing with Persistent Organic Pollutants         | 164   | 34  |
| National Capacity Self-Assessments   | 139   | 29  |
| Other documents (please specify)   | 52    | 11  |
| Total  | 486   | 100 |

Q8. Please indicate if you have accessed any of the following publications at least once since January 2010 (select all that apply):

|                                | Total | %   |
|--------------------------------|-------|-----|
| Other publications             | 67    | 16  |
| Publications by the GEF STAP   | 139   | 32  |
| GEF Agencies' publications     | 179   | 42  |
| Evaluations by the IEO         | 211   | 49  |
| GEF Secretariat's publications | 259   | 60  |
| Total                          | 429   | 100 |

Q9. Referring to all GEF-related information sources, documents, and publications that you have accessed since January 2010, how useful were they to you?

|                      | Total | %   |
|----------------------|-------|-----|
| 1. Not at all useful | 9     | 2   |
| 2. Slightly useful   | 45    | 10  |
| 3. Moderately useful | 179   | 38  |
| 4. Very useful       | 236   | 50  |
| Total                | 469   | 100 |

Q10. Thinking of the GEF-related documents, publications, and information sources that you have accessed, have you used them for any of the following (select all that apply)?

|   | Total | %   |
|---|-------|-----|
| Other   | 46    | 10  |
| Input into dialogue with other countries                                      | 110   | 24  |
| Input into national monitoring reports or action plans                        | 158   | 35  |
| Input into national environmental policies, strategies, laws, and regulations | 203   | 45  |
| Contribution to education and awareness campaigns                             | 230   | 50  |
| Input into the design of your own environmental projects/programs             | 323   | 71  |
| Total   | 456   | 100 |

Q11. Please list here up to three GEF-related documents, publications, and/or information sources that have been most useful for your work, and indicate how you have used them.

*A total of 282 responses were received. Most responses described two to three publications/documents, categorized as follows.*

| Category                  | Main documents cited  | % (number) |
|---------------------------|---|------------|
| Technical publications    | CBD documents-biodiversity (24), <i>The Art of Knowledge Exchange</i> (14), NAPA climate change (14), NIPs POPs (13), GEF CSO network (11), Public Involvement Policy (10), NAPs desertification (10), STAP documents (9), STAR priority areas (8), NAP guidelines (6), policy documents (5), NCSA (5), RAPTA (4)               | 26 (170)   |
| Strategy                  | NBSAP (20), 2020 strategy (15), strategy and planning-general (10), GEF 6 (10), country strategy/plans papers (9), gender equality action plan/women empowerment (8), GEF operational strategy-waste (7), GEF-7 (5)   | 16 (102)   |
| Project                   | General/country project documents (29), implementation guidelines (14), PMIS (7), PIF (5), GEF cofinancing requirements (6)   | 15 (99)    |
| Publications/documents    | A-Z GEF (29), GEF programming directions (12), Designing Projects in Rapidly Changing World (4), GEF Agencies'/Secretariat's publications in general (8), GEF and sustainable development (9), GEF Forests/Sustainable Forest Management (6), GEF and climate change (5), the GEF Instrument (4), GEF Work Program/Activity (4) | 15 (99)    |
| Monitoring and evaluation | Project evaluation reports (10), experiences and lessons learned (8), reviews (5), annual performance report (5), monitoring (4)  | 7 (44)     |
| Websites/newsletters      | GEF website/newsletter (30), GEF bulletin (4)   | 7 (43)     |
| Other                     | UN conventions (12), education/public awareness campaign (9)  | 6 (41)     |
| Small Grants Programme    | <i>A to Z of the SGP: A Guide to the GEF Small Grants Programme</i> (21)  | 4 (27)     |
| Council documents         | —   | 2 (15)     |
| N/A                       | —   | 2 (13)     |

Q12. Have you participated in any of the following GEF-related events at least once since January 2010?

|   | Total | %   |
|---|-------|-----|
| GEF multistakeholder dialogue(s)                              | 59    | 14  |
| GEF familiarization seminar(s)                                | 71    | 17  |
| GEF national portfolio formulation exercise(s)                | 108   | 25  |
| Other GEF-related events (specific GEF project/program event) | 118   | 28  |
| GEF constituency meeting(s)                                   | 146   | 34  |
| Expanded constituency workshop(s)                             | 297   | 69  |
| Total   | 429   | 100 |

Q13. Thinking of the GEF-related events in which you have participated since January 2010, how useful were they for your work?

|                      | Total | %   |
|----------------------|-------|-----|
| 1. Not at all useful | 21    | 5   |
| 2. Slightly useful   | 37    | 9   |
| 3. Moderately useful | 120   | 29  |
| 4. Very useful       | 241   | 58  |
| Total                | 419   | 100 |

Q14. Please list here up to three GEF-related events that have been most useful for your work and indicate how you used them.

*A total of 290 responses were received. Most respondents described two events, categorized as follow.*

| Category                                | Main events cited  | % (number) |
|---|--|------------|
| Constituency workshops and ECWs         | GEF Introduction/Operations/Cycle (17), Regional Workshop (11), Networking with different GEF FPs (7), Steering Committee (7)  | 45 (249)   |
| Project-level meetings                  | Project design/preparation/monitoring and evaluation (22), national dialogues (7), GEF SGP/PPD (6), biodiversity management (6), discussions with country GEF OFP and staff (5), GEF-funded projects/GEF 6 (5), financial procedures/fund allocation (5) | 22 (113)   |
| Other                                   | GEF familiarization (16), side events at COP (7), grantee site visits (3), UNCCD-UNCBD (3), environmental agreements (3)   | 10 (52)    |
| GEF Council                             | Assembly and associated meetings (8)   | 7 (38)     |
| CSO/NGO consultation                    | GEF-CSO Network (12)   | 5 (28)     |
| National portfolio formulation exercise | —  | 5 (25)     |
| N/A                                     | —  | 4 (19)     |

Q15. Do you have any suggestions on what would make lessons from the GEF partnership more accessible and easier to use in your country/region (select all that apply)?

|  | Total | %   |
|--|-------|-----|
| More outreach from GEF projects/programs to environmental organizations in my country/region | 311   | 71  |
| More accessible information on GEF projects/programs in my country/region                    | 299   | 68  |
| More information available in languages other than English                                   | 168   | 38  |
| Other suggestions (please specify)   | 79    | 18  |
| Total  | 437   | 100 |

Q15. Responses in French and Spanish only

|  | Total | %   |
|--|-------|-----|
| More outreach from GEF projects/programs to environmental organizations in my country/region | 100   | 68  |
| More accessible information on GEF projects/programs in my country/region                    | 101   | 69  |
| More information available in languages other than English                                   | 104   | 71  |
| Other suggestions (please specify)   | 30    | 21  |
| Total  | 146   | 100 |

Q15. Responses in Spanish only

|  | Total | %   |
|--|-------|-----|
| More outreach from GEF projects/programs to environmental organizations in my country/region | 38    | 58  |
| More accessible information on GEF projects/programs in my country/region                    | 37    | 57  |
| More information available in languages other than English                                   | 42    | 65  |
| Other suggestions (please specify)   | 15    | 23  |
| Total  | 65    | 100 |

Q15. Responses in French only

|  | Total | %   |
|--|-------|-----|
| More outreach from GEF projects/programs to environmental organizations in my country/region | 63    | 78  |
| More accessible information on GEF projects/programs in my country/region                    | 63    | 78  |
| More information available in languages other than English                                   | 62    | 77  |
| Other suggestions (please specify)   | 15    | 19  |
| Total  | 81    | 100 |

## Q15. Responses in English only

|   | Total | %   |
|---|-------|-----|
| More outreach from GEF projects/ programs to environmental organizations in my country/region | 210   | 72  |
| More accessible information on GEF projects/programs in my country/region                     | 199   | 68  |
| More information available in languages other than English                                    | 64    | 22  |
| Other suggestions (please specify)  | 49    | 17  |
| Total   | 291   | 100 |

## Q15. Other responses

*A total of 78 responses were received, categorized as follows.*

| Category           | Main issues cited   | % (no.) |
|--------------------|---|---------|
| Process/procedures | Access to finance (7), simplification (3)                   | 33 (36) |
| Communication      | French (3) publications in languages other than English (3) | 20 (22) |
| Sharing/learning   | Lessons learned (3), information exchange (3)               | 13 (14) |
| Interaction        | GEF-CSO Members' Meet (2), in-country engagements (2)       | 12 (12) |
| Training           | Workshops (3), seminars (2)                                 | 8 (8)   |
| Other              | —   | 8 (8)   |
| N/A                | —   | 7 (7)   |

## Q16. Please indicate the region where you currently work:

|                                    | Total | %   |
|------------------------------------|-------|-----|
| 1. Africa                          | 169   | 37  |
| 4. Middle East and North Africa    | 91    | 20  |
| 2. East Asia and the Pacific       | 61    | 13  |
| 7. Eastern Europe and Central Asia | 49    | 11  |
| 3. Latin America and the Caribbean | 44    | 10  |
| 6. South Asia                      | 34    | 7   |
| 8. Western Europe                  | 7     | 2   |
| 5. North America                   | 6     | 1   |
| Total                              | 461   | 100 |

Q17. This survey has been about how knowledge and lessons—related to GEF projects and programs—are shared and used in countries and regions. Please add here any comments or feedback on this topic.

*A total of 219 responses were received, categorized as follows.*

| Category           | Main issues cited   | % (no.) |
|--------------------|---|---------|
| Process/procedures | GEF activities/programs (17), GEF projects/project development (9), SGP (6), capacity building (5), monitoring/evaluation (4) | 25 (98) |
| Communication      | Website/communication platform (10), more outreach (4), awareness programs (4)  | 15 (61) |
| Sharing/learning   | Knowledge and information (24), experiences (6)   | 18 (70) |
| Interaction        | Involving/working with CSOs, IPOs (18), GCN (4), coordination with other international organizations (3)                      | 14 (57) |
| Training           | Workshops/seminars (10), ECWs (4)   | 7 (28)  |
| Other              | Financial support (12), translation/French/Spanish/integrate other languages (8)  | 14 (56) |
| N/A                | —   | 7 (29)  |

# Annex C: Main KM features in comparator organizations

| Feature                                       |                            | Characteristic   |
|---|----------------------------|--|
| <b>Climate Investment Funds (CIF)</b>         |                            |  |
| A. Strategy                                   | Strategy                   | KM strategy supported with annual KM work plan, accompanying budget, and implementation progress report; strong link to evaluation and learning.   |
|   | Planning                   | KM planning is linked to the CIF planning cycle.   |
|   | Innovation                 | Examples seen where KM can contribute to scale-up and replication.   |
| B. Structure                                  | Governance                 | An Evaluation and Learning Advisory Group of stakeholders considers KM issues.   |
|   | Leadership                 | The CEO is championing KM and other managers on multiple levels.   |
|   | Technology                 | The public website is the main tool to stock KM products; social media and online communities of practice are also used.   |
|   | Network                    | Sharing and partnerships are key parts of the existing strategy; collaborations with multilateral development banks (CIF members) and external think tanks, firms, and networks.   |
| C. Processes                                  | Knowledge development      | Various types of knowledge products, including thematic case studies, evaluation and learning reports and briefs, strategic papers and e-learning. Most knowledge products are produced by the multilateral development banks. |
|   | Knowledge retention        | Project-level data rest with multilateral development banks; evaluation is the main way that knowledge is retained, collated, and shared.  |
|   | Knowledge sharing          | Activities include country meetings, South-South cooperation, thematic learning events, capacity building and training, CIF website and podcasts.  |
|   | Knowledge application      | Main results drawn from the evaluations and monitoring that is carried out; 2014 independent evaluation of CIF showed multiple results of internal institutional-level learning, such as improving processes and procedures.   |
| D. Resources                                  | Annual budget              | \$2.6 million (including central costs and funding for multilateral development bank KM activities). In addition, external funding of \$9 million for a multiyear evaluation and learning initiative.                          |
|   | Staff                      | On average, four staff members centrally located (including three consultants) and one senior evaluation and learning specialist.  |
|   | Roles and responsibilities | All programs are expected to have a KM role, but KM is not systematically included in job or project descriptions.   |
| <b>Global Partnership for Education (GPE)</b> |                            |  |
| A. Strategy                                   | Strategy                   | An internally focused KM strategy exists in addition to an externally focused knowledge and innovation exchange mechanism.   |
|   | Planning                   | Work plan accompanies current KM strategy.   |
|   | Innovation                 | Both strategies emphasize scaling up of education models and innovations.  |

| Feature                         |                            | Characteristic  |
|---------------------------------|----------------------------|---|
| B. Structure                    | Governance                 | A KM group made up of GPE secretariat staff oversees the internally focused KM and reports to the secretariat leadership team.<br>The GPE board oversees the knowledge and innovation exchange mechanism.   |
|                                 | Leadership                 | KM strategy supported by the CEO.   |
|                                 | Technology                 | No uniform KM technical system currently exists; plans to develop key tools, such as a grants management platform to complement public website.   |
|                                 | Network                    | Several initiatives have focused on exchange between partners (countries)—for example, gender equality and early learning.  |
| C. Processes                    | Knowledge development      | Currently, no common way of collecting information is linked to the project cycle. Some programs, such as the Global and Regional Activities Program, have focused on knowledge development through guidelines and tools.   |
|                                 | Knowledge retention        | Storing of data information centrally pending future grants management system. Taxonomy developed to help sort, retain, and search publications.  |
|                                 | Knowledge sharing          | Exchange includes webinars, study tours, and training. The new Knowledge and Innovation Exchange Mechanism is expected to support innovation and exchange of evidence on policy solutions. It will focus on funding for scaling up of innovative technologies and educational models that have already demonstrated results in the pilot stages and are ready to be tested at larger levels of scale, operational complexity, and integration at the systems level. |
|                                 | Knowledge application      | Current KM strategies emphasize need for stronger indicators for KM initiatives. The 2015 independent evaluation of the GPE noted some promising results in areas relevant to the GPE goals.  |
| D. Resources                    | Annual budget              | \$2.3 million for KM processes and systems, some 7 percent of operational administrative budget. In addition, about 5 percent of annual disbursements is proposed to be allocated for the Knowledge Innovation Exchange mechanism (of which approximately 40 percent could be raised through targeted financing).   |
|                                 | Staff                      | Three staff members (including two consultants) and one manager working part time on KM, focused internally. For the external strategy (the Knowledge and Innovation Exchange), 1.8 staff members on its implementation.  |
|                                 | Roles and responsibilities | Currently, not formally integrated into job descriptions.   |
| <b>Green Climate Fund (GCF)</b> |                            |   |
| A. Strategy                     | Strategy                   | No dedicated KM strategy, although the current strategic plan (2016–18) commits GCF to operate as a learning institute.   |
|                                 | Planning                   | No dedicated KM action or work plans at corporate or divisional levels.   |
|                                 | Innovation                 | Examples seen, such as GCF supporting structured regional dialogues to support scaling up and readiness.  |
| B. Structure                    | Governance                 | GCF board has oversight over policy and strategic direction; no specific governance for KM.   |
|                                 | Leadership                 | Broad appreciation and support for KM among senior management team.   |
|                                 | Technology                 | Although not a specific KM system, the Integrated Portfolio Management System manages projects from concept note to postapproval stages. SharePoint currently used for document storage and sharing.  |
|                                 | Network                    | Structured regional dialogues and thematic events are main tools for partner exchanges.   |

| Feature                           |                            | Characteristic   |
|-----------------------------------|----------------------------|--|
| C. Processes                      | Knowledge development      | Knowledge products currently developed at divisional rather than corporate level.  |
|                                   | Knowledge retention        | Integrated Portfolio Management System is foreseen to retain information and documentation at the project level; public website has current publications available. SharePoint used internally.  |
|                                   | Knowledge sharing          | Current sharing includes dialogues and events with plans to extend to knowledge hubs and South-South exchanges.  |
|                                   | Knowledge application      | Monitoring and evaluation systems being set up within the GCF with a focus on measuring impact linked to knowledge application.  |
| D. Resources                      | Annual budget              | No central budget. Any expenses are integrated directly in divisional and project budgets.   |
|                                   | Staff                      | No staff dedicated to KM. Two information technology staff members, supported by several consultants, work on developing KM-related systems.   |
|                                   | Roles and responsibilities | KM not explicitly integrated into job descriptions. Reference to knowledge sharing and lesson learning is becoming more mainstreamed in the context of the Fund's Readiness and Preparatory Program. The Independent Evaluation Unit is also mandated to support the GCF in its learning function. |
| <b>Gavi, the Vaccine Alliance</b> |                            |  |
| A. Strategy                       | Strategy                   | Comprehensive KM strategy in place; a focus on improving business processes.   |
|                                   | Planning                   | KM tasks are integrated within the work plans of staff and projects.   |
|                                   | Innovation                 | KM approach to improving business processes had led to concrete efficiency in terms of time saved; forecasting is a priority of the KM team in terms of country demand, vaccine supply, pricing, and financial expenditure.  |
| B. Structure                      | Governance                 | KM sits within the Public Engagement and Information Services of the Gavi secretariat; KM is taken up by the senior management team as needed.   |
|                                   | Leadership                 | CEO has made KM a priority, and it features prominently in his 2016 report to the Gavi Board.  |
|                                   | Technology                 | Common processes facilitated through a combination of Salesforce and SharePoint systems. Online Country Portal and enterprise knowledge repository two main "front offices."   |
|                                   | Network                    | Knowledge exchange occurs between partners at both global and country levels.  |
| C. Processes                      | Knowledge development      | Project documentation had become more standardized, and new systems facilitate access; some publications focus on knowledge and lessons.   |
|                                   | Knowledge retention        | The two main platforms (mentioned under "Technology") centralize knowledge, contacts, and interactions with stakeholders.  |
|                                   | Knowledge sharing          | Examples seen in peer exchanges on key policy areas. This also occurs through the platforms but is further planned as next stage.  |
|                                   | Knowledge application      | Focus on streamlining and automating processes has seen time efficiencies; focus on monitoring and evaluation and how results have been used to inform policy and program changes.   |
| D. Resources                      | Annual budget              | \$13 million (includes staff and information technology-related costs—for example, document management software), 13 percent of administrative operational budget. Other KM budgets present in project and program budgets.  |
|                                   | Staff                      | 13 central staff positions (responsible for documentation management); supported by some 40 consultants (temporary staff).   |
|                                   | Roles and responsibilities | Gavi moving to competency-based approach, and KM will be a competency that will appear in job descriptions.  |

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