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Agenda Item 06

PROGRAM EVALUATION OF THE SPECIAL CLIMATE CHANGE FUND

(Prepared by the Independent Evaluation Office of the GEF)

Recommended Council Decision

The Council, having reviewed document GEF/LDCF.SCCF.22/ME/02, *Program Evaluation of the Special Climate Change Fund* and GEF/LDCF.SCCF.22/ME/03, *Management Response to the Program Evaluation of the Special Climate Change Fund*, takes note of the conclusions of the evaluation and endorses the recommendations.

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EXECUTIVE SUMMARY

1. At its 18th meeting in June 2015, the Least Developed Countries Fund/Special Climate Change Fund (LDCF/SCCF) Council approved the Four-Year Work Program of the Independent Evaluation Office of the Global Environment Facility (IEO), which includes a program evaluation of the SCCF during FY17. This program evaluation is intended as an update of the 2011 Evaluation of the SCCF and provides evaluative evidence on the progress towards SCCF objectives, as well as the major achievements and lessons learned since the SCCF's establishment in 2001 and during the past 9 years of project implementation. The overall purpose of this evaluation is to provide the LDCF/SCCF Council with evaluative evidence of the Fund's relevance and emerging results.
2. The SCCF was recognized in 2001 as a funding channel under the Bonn Agreements on the implementation of the Buenos Aires Plan of Action, with the approval of Decision 5/CP.6 by the 6th Conference of the Parties (COP) of the UN Framework Convention on Climate Change (UNFCCC) held at The Hague and Bonn. The SCCF was then established with the approval of Decision 7/CP.7 by the 7th COP of the UNFCCC held at Marrakesh.
3. The GEF acts as an operating entity of the financial mechanism of the UNFCCC and was entrusted with the administration and financial operation of the SCCF. The SCCF is separate from the GEF Trust Fund, and – together with the LDCF – has its own council. The governance structure and operational procedures and policies that apply to the GEF Trust Fund are also applied to the LDCF and SCCF. However, the LDCF/SCCF Council can modify these procedures in response to COP guidance, or to facilitate LDCF/SCCF operations to enable them to successfully achieve their objectives. The 18 GEF Agencies have direct access to the SCCF for the preparation and implementation of activities financed by the Fund. As of May 31 2016, ten GEF Agencies were involved in SCCF operations: the ADB, AfDB, EBRD, FAO, IADB, IFAD, UNDP, UNEP, UNIDO and World Bank. The SCCF portfolio as of October 27, 2016, consists of 74 projects that are CEO endorsed, under implementation or completed. The UNDP has the largest financial share of the SCCF portfolio with \$91.39 million and 31.1 percent of the total number of projects. The World Bank has the second largest share of the portfolio with \$86.81 million and 18.9 percent of total number of projects.
4. As a follow-up to the 2011 evaluation of the SCCF, the main objective of this program evaluation is to provide evaluative evidence on the progress towards SCCF objectives (including GEF Strategic Objectives and Pillars), major achievements and lessons learned since the Fund's establishment. As part of this evaluation's methodology, a theory of change (TOC) was developed for the SCCF, combining (1) GEF's strategic objectives for adaptation, (2) the GEF adaptation program objectives, outcomes and overarching goal, and (3) the SCCF outcome areas as identified by COP decisions for funded activity windows SCCF-A and SCCF-B. The TOC informed the development of evaluative questions, further guided the development of related methods protocols, and was used to analyze the broader progress to impact through the aggregation of available evidence on broader scale and longer term results.

5. The overarching goal and sub-objectives of the Fund translate into three main evaluation questions and a number of sub-questions grouped by the core evaluation criteria. The evaluation team assessed the performance and progress of the SCCF using aggregated data gathered against these questions:

- (a) **Relevance** - How relevant is SCCF support in light of UNFCCC COP guidance and decisions, and the GEF adaptation programming strategy?
- (b) **Effectiveness and Efficiency** - How effective and efficient is the SCCF and its portfolio in reaching its objectives, based on emerging results?
- (c) **Results and Sustainability** - What are the emerging results of the SCCF and its portfolio and factors that affect the sustainability and resilience of these results?

6. A portfolio analysis protocol, including a quality-at-entry review, was developed using a survey tool to systematically assess the projects, so as to ensure that key project-level questions were addressed consistently and coherently. The team applied the portfolio analysis protocol to 117 projects – medium-size projects (MSPs), and full-size projects (FSPs) – at various stages of implementation and the quality-at-entry review protocol to 74 MSP/FSP projects that were either endorsed by the GEF Chief Executive Officer (CEO), under implementation, or completed as of October 2016. Because SCCF projects are at different stages of implementation, the status of the respective project determined the manner in and extent to which it was included in the SCCF program evaluation according to the core evaluation criteria.

7. In addition to document and project reviews, the team conducted three country field visits (to Ghana, Honduras and the Philippines) and carried out interviews with key stakeholders to cross-check and validate the data collected. Finally, the evaluation team conducted an analysis of, and triangulated, data collected to determine trends and formulate main findings, conclusions, lessons, and recommendations. The evaluation matrix summarizes key questions, indicators or basic data, sources of information and methodology, and was used to guide the analysis and triangulation.

8. In its evaluation of the SCCF, the IEO reached the following eight conclusions:

Conclusion 1. SCCF support has been highly relevant to UNFCCC guidance, to GEF adaptation strategic objectives, and to countries' national environmental and sustainable development goals and agendas. The evaluation confirmed that there is a high degree of coherence between the SCCF portfolio's project objectives and the priorities and guidance provided to the Fund from the UNFCCC. The SCCF portfolio is also highly complementary to the three GEF adaptation strategic objectives of reducing vulnerability, strengthening capacities, and mainstreaming adaptation. SCCF projects were also found to be strongly country-driven, and well-aligned with national environmental and sustainable development policies, plans and priorities, including - but not limited to – countries' specific climate change goals.

Conclusion 2. The relevance of SCCF support to other, non-adaptation GEF focal areas – and to GEF's global environmental benefits – is limited. The extent to which SCCF projects were

relevant to other (non-adaptation) GEF focal areas was limited. While almost 45 percent of projects will potentially contribute to the GEF focal area of 'land degradation', the apparent potential for contributing to other focal areas is far more modest. Similarly, the SCCF portfolio's likely contributions to global environmental benefits (GEBs) will be very limited, and will be restricted to the GEB of 'sustainable land management'.

Conclusion 3. The SCCF's niche within the global adaptation finance arena has been its accessibility for non-Annex I countries, and its support for innovative adaptation projects. The accessibility of the SCCF to non-Annex I countries was consistently identified by stakeholders as the main distinguishing factor of the Fund, with this being particularly important given the lack of other adaptation-focused grant sources for non-LDCs. The SCCF's support for innovative projects was also identified as another comparatively distinctive element of the Fund. This openness to innovation was seen to be particularly important in light of the nascent Green Climate Fund (GCF); a number of stakeholders felt that the SCCF had the potential to be the ideal 'incubator' for countries to test and refine project concepts, prior to seeking large-scale finance through the GCF.

Conclusion 4. The SCCF portfolio is highly likely to deliver tangible adaptation benefits and catalytic effects. The evaluation estimated that virtually all SCCF projects (98.7 percent) had either a high or a very high probability of delivering tangible adaptation benefits; this was supported by evidence gathered during evaluation country visits of benefits already being delivered by SCCF projects. Virtually all projects were also found to have achieved some degree of catalytic effect, whereby SCCF work had a positive influence on activities, outputs and outcomes beyond the immediate project.

Conclusion 5. The ultimate catalytic effect of scaling-up often demands further investments. Most projects had obvious potential to achieve the ultimate catalytic goal of scaling-up and a number of evaluations identified the institutional capacities that were developed and the political awareness that was built as being two critical foundations for possible future upscaling. But the key constraint to actual scaling-up was the post-implementation difficulty in securing sufficient resources and/or mainstreaming the work within, for example, national budgets.

Conclusion 6. The SCCF's effectiveness and efficiency has been seriously undermined by limited and unpredictable resources. Despite the continued relevance of the Fund, its popularity amongst non-Annex I countries, and evidence that tangible adaptation results are being delivered, the SCCF's resources have been completely inadequate to meet demand, with contributions to the Fund effectively stalled since 2014. This is obviously affecting the SCCF's short-term performance, but there is a significant risk that longer-term performance is also being undermined: as a direct consequence of the limited and unpredictable resources, some GEF Agencies have confirmed that they are no longer considering or promoting the SCCF when discussing proposal developments with project partners. The time, financial cost and political capital required to develop and build support for proposals could not be justified against the high risk of no funding being available. The SCCF resource situation can be characterized as a vicious circle: no resources are available, so no proposals are developed, which can be

interpreted by donors as limited interest or lack of demand, so donors do not provide resources.

Conclusion 7. The gender sensitivity of the SCCF portfolio has strengthened over time, with this improvement almost certainly influenced by the GEF’s Policy on Gender Mainstreaming and Gender Equality Action Plan. Based on analysis of three project elements – project design, project M&E, and project implementation – the evaluation found that the gender sensitivity of SCCF projects has improved markedly across all three elements. For example, while 84.2 percent of SCCF projects during GEF-4 had no gender mainstreaming plan, this proportion dropped to 12.5 percent during GEF-6. Important drivers behind this improvement are almost certainly the introduction of the GEF Policy on Gender Mainstreaming during the GEF-5 cycle, and the approval of the Gender Equality Action Plan during GEF-6.

Conclusion 8. There are significant discrepancies in project data from the GEF Secretariat’s Project Management Information System (PMIS). A quality assessment of PMIS information was not a specific objective of this evaluation, but project data harvesting from the PMIS revealed - for example - that 64 of the 117 projects reviewed had an incorrect project status in PMIS. Moreover, cross-checking the available project data with GEF Agencies and progress reports to Council revealed further discrepancies in PMIS data.

Recommendations

9. In its evaluation of the SCCF, the IEO reached the following three recommendations:

Recommendation 1. Reaffirming and strengthening a recommendation from the previous SCCF Program Evaluation in 2011, the GEF Secretariat should prioritize the development of mechanisms that ensure predictable, adequate and sustainable financing for the Fund, given its support for, and focus on innovation

Recommendation 2. The GEF Secretariat should articulate and publicly communicate the SCCF’s niche within the global adaptation finance landscape, to include an explicit statement regarding the SCCF’s relation with – and complementarity to – the Green Climate Fund.

Recommendation 3. The GEF Secretariat should ensure that PMIS data is up to date and accurate.

ABBREVIATIONS

ADB	Asian Development Bank
AF	Adaptation Fund
AfDB	African Development Bank
AMAT	Adaptation Monitoring and Assessment Tool
ASAP	Adaptation for Smallholder Agriculture Programme
CCA	Climate change adaptation
CEO	Chief Executive Officer
CI	Conservation International
CIF	Climate Investment Funds
COP	Conference of the Parties
DANIDA	Danish International Development Assistance
DBSA	Development Bank of Southern Africa
DDP	District development plan
EBRD	European Bank for Reconstruction and Development
EWS	Early warning system
FAO	Food and Agricultural Organization of the United Nations
FSP	Full-size project
GCF	Green Climate Fund
GEAP	Gender Equality Action Plan
GEB	Global environmental benefit
GEEW	Gender equality and the empowerment of women
GEF	Global Environment Facility
IEO	Independent Evaluation Office (of the GEF)
GLOF	Glacial lake outburst flood
IA	Implementing agency
IDB	Inter-American Development Bank
IFAD	International Fund for Agricultural Development
IUCN	International Union for Conservation of Nature and Natural Resources
LDC	Least Developed Country
LDCF	Least Developed Countries Fund
LEG	Least Developed Countries Expert Group
MFA	Multi-focal area
MSP	Medium-size project
MTF	Multi-trust fund
NAP	National Adaptation Plan
NRM	Natural resource management
ODA	Official development assistance
ODS	Ozone Depleting Substances
OPS	Overall Performance Study

PIF	Project Identification Form
PIR	Project Implementation Report
POP	Persistent Organic Pollutants
PPCR	Pilot Program for Climate Resilience
RBM	Results-based management
SCCF	Special Climate Change Fund
SCF	Strategic Climate Fund
SIDS	Small island developing states
SNC	Second National Communication
SPA	Strategic Priority on Adaptation
TE	Terminal evaluation
TER	Terminal evaluation review
TNC	Third National Communication
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNIDO	United Nations Industrial Development Organization
WWF-US	United States World Wildlife Fund

I. INTRODUCTION

10. At its 18th meeting in June 2015, the Least Developed Countries Fund/Special Climate Change Fund (LDCF/SCCF) Council approved the Four-Year Work Program of the Independent Evaluation Office of the Global Environment Facility (IEO)¹, which includes a program evaluation of the SCCF during FY17. This program evaluation is intended as an update of the 2011 Evaluation of the SCCF^{2 3} and provides evaluative evidence on the progress towards SCCF objectives, as well as the major achievements and lessons learned since the SCCF's establishment in 2001 and during the past 9 years of project implementation. The overall purpose of this evaluation is to provide the LDCF/SCCF Council with evaluative evidence of the Fund's relevance and emerging results.

Background and Context

11. The SCCF was recognized in 2001 as a funding channel under the Bonn Agreements on the implementation of the Buenos Aires Plan of Action (COP-6, Part 2), with the approval of Decision 5/CP.6 by the 6th Conference of the Parties (COP) of the UN Framework Convention on Climate Change (UNFCCC) held at The Hague and Bonn.⁴ The SCCF was then established with the approval of Decision 7/CP.7 by the 7th COP of the UNFCCC held at Marrakesh.⁵ The decision states:

“That a special climate change fund shall be established to finance activities, programmes and measures related to climate change that are complementary to those funded by the resources allocated to the Global Environment Facility (GEF) climate change focal area and by bilateral and multilateral funding, in the following areas:

- (a) Adaptation
- (b) Technology transfer
- (c) Energy, transport, industry, agriculture, forestry and waste management, and
- (d) Activities to assist developing country Parties referred to under Article 4, par. 8(h) [i.e. economies dependent on income from fossil fuels] in diversifying their economies.”⁶

12. The SCCF is mandated by parties to the UNFCCC to provide support to Parties not included in Annex I of the UNFCCC. With its broad scope covering climate change adaptation as well as mitigation, the SCCF represented the only comprehensive climate change fund under

¹ IEO, [Four-Year Work Program and Budget for the Independent Evaluation Office of the GEF under the LDCF and SCCF](#), May 08 2015. Council Document GEF/LDCF.SCCF.18/ME/01/Rev.01.

² IEO, [Evaluation of the Special Climate Change Fund](#), October 11 2011. Council Document GEF/LDCF.SCCF.11/ME/02.

³ IEO, [Evaluation of the Special Climate Change Fund, Volume 1: Evaluation Report](#), April 2012. Evaluation Report No. 73.

⁴ UNFCCC, Decision 5/CP.6 Funding under the Convention, Document [FCCC/CP/2001/5](#) (Annex: Core Elements for the Implementation of the Buenos Aires Plan of Action, I Funding under the Convention).

⁵ UNFCCC, Decision 7/CP.7 Funding under the Convention, Document [FCCC/CP/2001/13/Add.1](#)

⁶ Decision 5/CP.6 *op. cit.*, 44; *Ibid*, 38.

the UNFCCC until the establishment of the Green Climate Fund (GCF). Subsequent guidance was provided to the GEF by COP-6 (2001), COP-7 (2001), COP-8 (2002), COP-9 (2003), COP-10 (2004), COP-12 (2006), COP-16 (2010), COP-18 (2012) and COP-21 (2015), all of which helped to further define the design of the SCCF.⁷ An overview of UNFCCC COP guidance and decisions is provided in annex A. In particular, at COP-9 and COP-12 the SCCF was requested to prioritize funding for different activities granting “top priority” to adaptation activities that focus on health, disaster risk management, technology transfer, mitigation activities in specific sectors, and activities that support economic diversification with the aim of moving away from the production, processing, export and/or consumption of fossil fuels and associated energy-intensive products. The SCCF is structured to support activities in four windows (figure 1).

Figure 1: Overview of SCCF Activity Windows

SCCF-A: Adaptation	SCCF-B: Transfer of technology
Adaptation in the following areas: 1. Water resources management 2. Land management 3. Agriculture 4. Health 5. Infrastructure development 6. Fragile ecosystems (including mountain ecosystems), and 7. Integrated coastal zone management. (COP-9 Decision 5/CP.9, Par.2)	1. Implementation of the results of technology needs assessments 2. Technology information 3. Capacity-building for technology transfer, and 4. Enabling environments. (COP-9 Decision 5/CP.9, Par.3)
SCCF-C: Mitigation in selected sectors	SCCF-D: Economic diversification
Sectors including: 1. Energy 2. Transport 3. Industry 4. Agriculture 5. Forestry, and 6. Waste management. (COP-12 Decision 1/CP.12, Par.1)	1. Capacity-building at the national level in the area of economic diversification, and 2. Technical assistance with respect to the investment climate, technological diffusion, transfer and innovation, and investment promotion of less GHG emitting, environmentally sound energy sources and more advanced fossil-fuel technologies. (COP-12 Decision 1/CP.12, Par.2)

⁷ FCCC/CP/2001/5 Decision 5/CP.6; FCCC/CP/2001/13/Add.1 Decision 4/CP.7, Decision 5/CP.7, Decision 7/CP.7; FCCC/CP/2002/7/Add.1 Decision 7/CP.8; FCCC/CP/2003/6/Add.1 Decision 5/CP.9; FCCC/CP/2004/10/Add.1 Decision 1/CP.10; FCCC/CP/2006/5/Add.1 Decision 1/CP.12; FCCC/CP/2010/7/Add.2 Decision 2/CP.16, Decision 4/CP.16; FCCC/CP/2012/8/Add.1 Decision 9/CP.18; FCCC/CP/2015/10/Add.1 Decision 1/CP.21.

13. By the first LDCF/SCCF Council meeting in December 2006, thirteen contributing participants had pledged \$61.5 million towards the SCCF, of which \$40.6 million was received in payments.⁸ Subsequently, cumulative net project allocations approved by Council or CEO amounted to \$17.1 million as of 30 April 2007, and the first SCCF projects started implementation in August 2007.⁹

14. The GEF acts as an operating entity of the financial mechanism of the UNFCCC and was entrusted with the administration and financial operation of the SCCF. The SCCF is separate from the GEF Trust Fund, and – together with the LDCF – has its own council. The governance structure and operational procedures and policies that apply to the GEF Trust Fund are also applied to the LDCF and SCCF. However, the LDCF/SCCF Council can modify these procedures in response to COP guidance, or to facilitate LDCF/SCCF operations to enable them to successfully achieve their objectives.

15. Unlike the GEF Trust Fund, which is replenished every four years, the SCCF receives voluntary contributions with no regular replenishment schedule. Because requests for funding significantly exceed the available resources – and in response to a recommendation from the previous SCCF program evaluation – pre-selection criteria were developed in 2012 that focus on project or program quality, balanced distribution of funds in eligible countries, equitable regional distribution, balanced support for all priority sectors, and balanced distribution among GEF Agencies based on comparative advantage.^{10 11}

16. The SCCF works with the same 18 agencies as the GEF. They comprise the original three GEF Implementing Agencies (IAs) (UNDP, UNEP and World Bank) plus the seven former Executing Agencies – Asian Development Bank (ADB), the African Development Bank (AfDB), the European Bank for Reconstruction and Development (EBRD), the Inter-American Development Bank (IDB), the Food and Agricultural Organization of the UN (FAO), the International Fund for Agricultural Development (IFAD), and the United Nations Industrial Development Organization (UNIDO). These ten agencies are called the GEF Agencies. Eight newly accredited agencies – Conservation International (CI), Development Bank of Latin America (CAF), Development Bank of Southern Africa (DBSA), the Foreign Economic Cooperation Office, Ministry of Environmental Protection of China (FECO), Fundo Brasileiro para a Biodiversidade (FUNBIO), the International Union for Conservation of Nature and Natural Resources (IUCN), West African Development Bank (BOAD), and the United States World Wildlife Fund (WWF-US) – are called GEF Project Agencies. These 18 GEF Agencies have SCCF access for the preparation and implementation of activities financed by the Fund. This report uses the term “GEF Agencies” to refer to both GEF Agencies and GEF Project Agencies.

⁸ GEF, [Status Report on the Climate Change Funds](#), November 30 2006. Council Document GEF/LDCF/SCCF.1/Inf.2/Rev.1.

⁹ GEF, [Status Report on the Climate Change Funds](#), May 17 2007. Council document GEF/LDCF.SCCF.2/Inf.2.

¹⁰ GEF, [Pre-Selection Criteria for Projects and Programs Submitted under the Special Climate Change Fund](#), May 7 2012. Council Document GEF/LDCF.SCCF.12/Inf.05.

¹¹ GEF, [Updated Operational Guidelines for the Special Climate Change Fund for Adaptation and Technology Transfer](#), October 16 2012. Council Document GEF/LDCF.SCCF.13/05.

17. As of May 31 2016, ten GEF Agencies were involved in SCCF operations: the ADB, AfDB, EBRD, FAO, IADB, IFAD, UNDP, UNEP, UNIDO and World Bank. The SCCF portfolio as of October 27, 2016, consists of 74 projects that are CEO endorsed, under implementation or completed.¹² The UNDP has the largest financial share of the SCCF portfolio with \$91.39 million, being 27.4 percent of total funds approved, and 31.1 percent of the total number of projects (n=74). The World Bank has the second largest share of the portfolio with \$86.81 million, being 26 percent of total funds approved, and 18.9 percent of total number of projects. Of the 74 projects, 8 are medium-size projects (MSP), while 66 are full-size projects (FSP). According to GEF's Project Management Information System (PMIS), cross-referenced with progress reports to the LDCF/SCCF Council, a total of \$333.45 million in project financing has been allocated for these projects, while they leveraged \$2.47 billion in co-financing. Nine of the 74 projects are multi-trust fund (MTF) projects, representing a total SCCF financing value of \$23.48 million.
18. The average duration of an SCCF project is 4 years and 3 months. A total of 6 MSP and 12 FSP projects, with an SCCF financing value of \$84.16 million, has been completed. These 18 completed projects leveraged \$350.85 million in co-financing, 15 of these projects received a terminal evaluation (TE), and 13 of them received terminal evaluation review (TER) ratings as reported in the Annual Performance Reviews.
19. As of September 30 2016, 15 donors pledged and signed Contribution Agreements or Contribution Arrangements amounting to \$351.3 million, including \$291 million towards the SCCF-A window for adaptation and \$60.3 million towards the SCCF-B window for technology transfer. A total of \$346.8 million in cash has been received to date from these donors. Activity windows SCCF-C and SCCF-D have not received any pledges or contributions to date. The SCCF Trust Fund earned investment income of approximately \$15.9 million on its undisbursed balance.¹³ As of September 30 2016, cumulative funding decisions by the LDCF/SCCF Council and the GEF CEO amounted to \$357.4 million.¹⁴
20. An overview of basic figures regarding numbers of projects and budgetary allocation is presented in tables 1, 2 and 3. An overview of completed SCCF projects is provided in annex B. More extensive tables on the SCCF portfolio composition are provided in annex C.

¹² It should be noted that the World Bank multi-trust fund project "Adaptation to the Impact of Climate Change in Water Resources for the Andean Region" (GEF ID 5384) was marked as cancelled in the GEF Project Management Information System (PMIS) at the cut-off date of October 27, 2016, and has been treated as cancelled as part of this evaluation. The Development Bank of Latin America (CAF) took over as lead agency and the project is currently pending CEO endorsement for the funding value of \$10.62 million, of which \$9.26 million requested is SCCF funding.

¹³ World Bank, [Status Report for the Special Climate Change fund - Financial Report prepared by the Trustee](#), October 14 2016. Council Document GEF/LDCF.SCCF.21/Inf.03.

¹⁴ Ibid.

Table 1: Summary of Number of SCCF Projects by Project Status

Project Status ¹	Medium-size projects (MSP)		Full-size projects (FSP)		Totals		% of Grand Total
	SCCF	MTF	SCCF	MTF	SCCF	MTF	
CEO Endorsed			9	4	9	4	17.6%
Under Implementation	1	1	37	4	38	5	58.1%
Project Completion	6		12		18		24.3%
Grand Total	7	1	58	8	65	9	100.0%
Grand Total²	8		66		74		

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count and status might have changed since.

² Only CEO endorsed/approved, under implementation and completed projects taken into account.

Table 2: Budgetary Allocation by Project Status

Project Status ¹	Budgetary Allocation (M\$)						% of Grand Total
	Medium-size projects (MSP)		Full-size projects (FSP)		Totals		
	SCCF	MTF	SCCF	MTF	SCCF	MTF	
CEO Endorsed			47.60	8.21	47.60	8.21	16.7%
Under Implementation	2.19	0.50	176.02	14.78	178.21	15.28	58.0%
Project Completion	6.39		77.77		84.16		25.2%
Grand Total	8.59	0.50	301.38	22.98	309.97	23.48	100.0%
Grand Total ²	9.09		324.37		333.45		

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count, status and value might have changed since.

² Only CEO endorsed/approved, under implementation and completed projects taken into account.

Table 3: Budgetary Allocation by Project Modality, including Co-financing

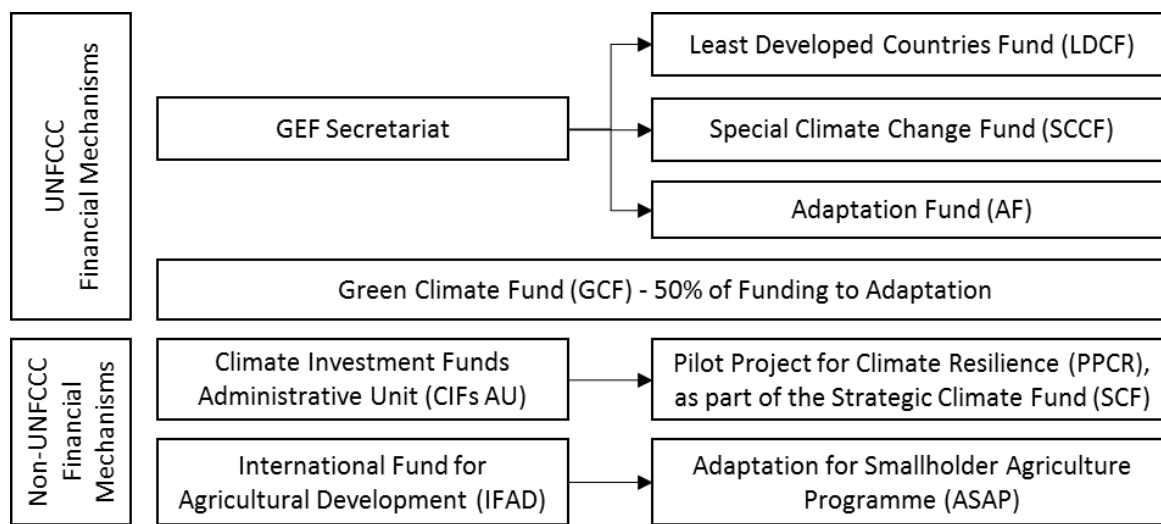
Project Modality ¹	Trust Fund	No. of Projects	Budgetary Allocation (M\$)			Co-financing (as % of total)
			SCCF	Co-financing	Total	
Medium-size projects (MSP)	SCCF	7	8.59	23.30	31.89	73.1%
	MTF	1	0.50	7.00	7.50	93.3%
Full-size projects (FSP)	SCCF	58	301.38	2,064.80	2,366.19	87.3%
	MTF	8	22.98	374.55	397.53	94.2%
Total	SCCF	65	309.97	2,088.10	2,398.07	87.1%
	MTF	9	23.48	381.55	405.03	94.2%
Grand Total²		74	333.45	2,469.65	2,803.11	88.1%

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count, status and value might have changed since.

² Only CEO endorsed/approved, under implementation and completed projects taken into account.

21. The SCCF is one of only a limited number of multilateral funds providing funding for innovative adaptation projects. However, its COP-prescribed mandate goes well beyond adaptation. The multilateral funds in figure 2 all have their specific focus or niche. For example, the Adaptation Fund's niche has been community-based adaptation, while the Green Climate Fund has taken previously financed concepts to scale, in order to achieve transformational impact. The SCCF has focused more on highly innovative approaches in new and emerging adaptation areas, aiming to provide a basis for upscaling by other financing mechanisms.

Figure 2: Multilateral Financial Mechanisms with an Adaptation Focus



22. The emergence of the GCF is changing the international climate finance landscape. The GCF was proposed during the 2009 Conference of Parties (COP-15) in Copenhagen, Denmark, formally established during the 2010 COP (COP-16) in Cancún, Mexico, accepted by Parties during the 2011 COP (COP-17) in Durban, South Africa, and made operational in the summer of 2014.¹⁵ It aims to support a paradigm shift in the global response to climate change by allocating resources to low-emission and climate-resilient projects and programs in developing countries. It does so in the form of grants, equity investments and concessional lending, as opposed to the SCCF only providing grants.^{16 17} With its adaptation and mitigation mandate, combination of financial instruments, \$9.9 billion in signed pledges and \$1.8 billion of that amount having been received, the GCF is expected to change the landscape of international climate finance and that might potentially change the role of the SCCF.^{18 19}

¹⁵ Richard K. Lattanzio, [International Climate Change Financing: The Green Climate Fund \(GCF\)](#), November 17 2014. Congressional Research Service, Document No. R41889.

¹⁶ GCF, [Status of the Fund's portfolio: pipeline and approved projects](#), June 15 2016. Board Meeting Document GCF/B.13/Inf.10.

¹⁷ GCF, [Business Model Framework: Financial Instruments](#), June 10 2013. Board Meeting Document GCF/B.04/06.

¹⁸ GCF, [Fifth Report of the Green Climate Fund to the Conference of the Parties to the United Nations Framework Convention on Climate Change](#), June 8 2016. Board Meeting Document GCF/B.13/04.

¹⁹ GCF, [Audited financial statements of the Green Climate Fund for the year ended 31 December 2015](#), June 23 2016. Board Meeting Document GCF/B.13/22.

II. APPROACH AND METHODOLOGY

23. In the second half of 2016, the IEO prepared an approach paper outlining the objectives and methods to be used in this program evaluation of the SCCF. This paper was circulated to key stakeholders and published online for comment and input. The approach paper and audit trail of comments and actions taken, are available on the IEO [website](#).

24. As a follow-up to the 2011 evaluation of the SCCF, the main objective of this program evaluation is to provide evaluative evidence on the progress towards SCCF objectives (including GEF Strategic Objectives and Pillars – see box 1), major achievements and lessons learned since the Fund’s establishment.

Box 1: GEF Strategic Objectives and Pillars

The future direction charted by the GEF Programming Strategy on Adaptation to Climate Change for the LDCF and SCCF²⁰ is captured in two strategic pillars that are intended to guide programming under the LDCF and the SCCF towards their goal and objectives, namely:

- Integrating climate change adaptation into relevant policies, plans, programs and decision-making processes in a continuous, progressive and iterative manner as a means to identify and address short-, medium- and long-term adaptation needs; and
- Expanding synergies with other GEF focal areas.

The Strategy has three strategic objectives (as included in the Theory of Change discussed below):²¹

- Reduce the vulnerability of people, livelihoods, physical assets and natural systems to the adverse effects of climate change;
- Strengthen institutional and technical capacities for effective climate change adaptation; and
- Integrate climate change adaptation into relevant policies, plans and associated processes.

These objectives and pillars are used to evaluate the Fund’s performance against, and the full results framework for the GEF adaptation program²² is provided in annex D.

25. The primary stakeholders for this evaluation are GEF Secretariat and GEF Agency staff, and LDCF/SCCF Council members. Secondary stakeholders are staff of the STAP, staff from Governments and country focal points, country-level project implementers and other GEF stakeholders and beneficiaries.²³ The evaluation’s target audience is the LDCF/SCCF Council members, other LDCF/SCCF and GEF stakeholders, as well as the general public and

²⁰ GEF, [GEF Programming Strategy on Adaptation to Climate Change for the Least Developed Countries Fund \(LDCF\) and the Special Climate Change Fund \(SCCF\)](#), May 05, 2014. Council Document GEF/LDCF.SCCF.16/03/Rev.01.

²¹ Ibid., 5.

²² GEF, [Updated Results-Based Management Framework for Adaptation to Climate Change under the Least Developed Countries Fund \(LDCF\) and the Special Climate Change Fund \(SCCF\)](#), October 15, 2014. Council Document GEF/LDCF.SCCF.17/05/Rev.01.

²³ Stakeholders are agencies, organizations, groups or individuals who have a direct or indirect interest in the development intervention or its evaluation (OECD DAC, 2010).

professionals interested in climate change adaptation, technology transfer and related development and capacity building.²⁴

Theory of Change

26. A theory of change (TOC) was developed for the SCCF (figure 3), combining (1) GEF's strategic objectives for adaptation (box 1), (2) the GEF adaptation program objectives, outcomes and overarching goal (as identified in the GEF adaptation program results framework - annex D), and (3) the SCCF outcome areas as identified by COP decisions for funded activity windows SCCF-A and SCCF-B.²⁵

27. The TOC informed the development of evaluative questions, guided the development of related methods and protocols, and was used to analyze the broader progress to impact through the aggregation of available evidence on longer term results.

Breadth and Depth of Coverage

28. This evaluation covers the timeframe from the formal establishment of the SCCF in December 2001, up to the 21st LDCF/SCCF Council Meeting in October 2016. The focus has been on progress since June 2011, which was the cut-off date for the earlier SCCF evaluation.

29. This evaluation has not examined results of adaptation activities supported by the GEF apart from those within SCCF activity windows A and B. Activity windows SCCF-C and SCCF-D were excluded from results measurement, due to the absence of contributions and activities.

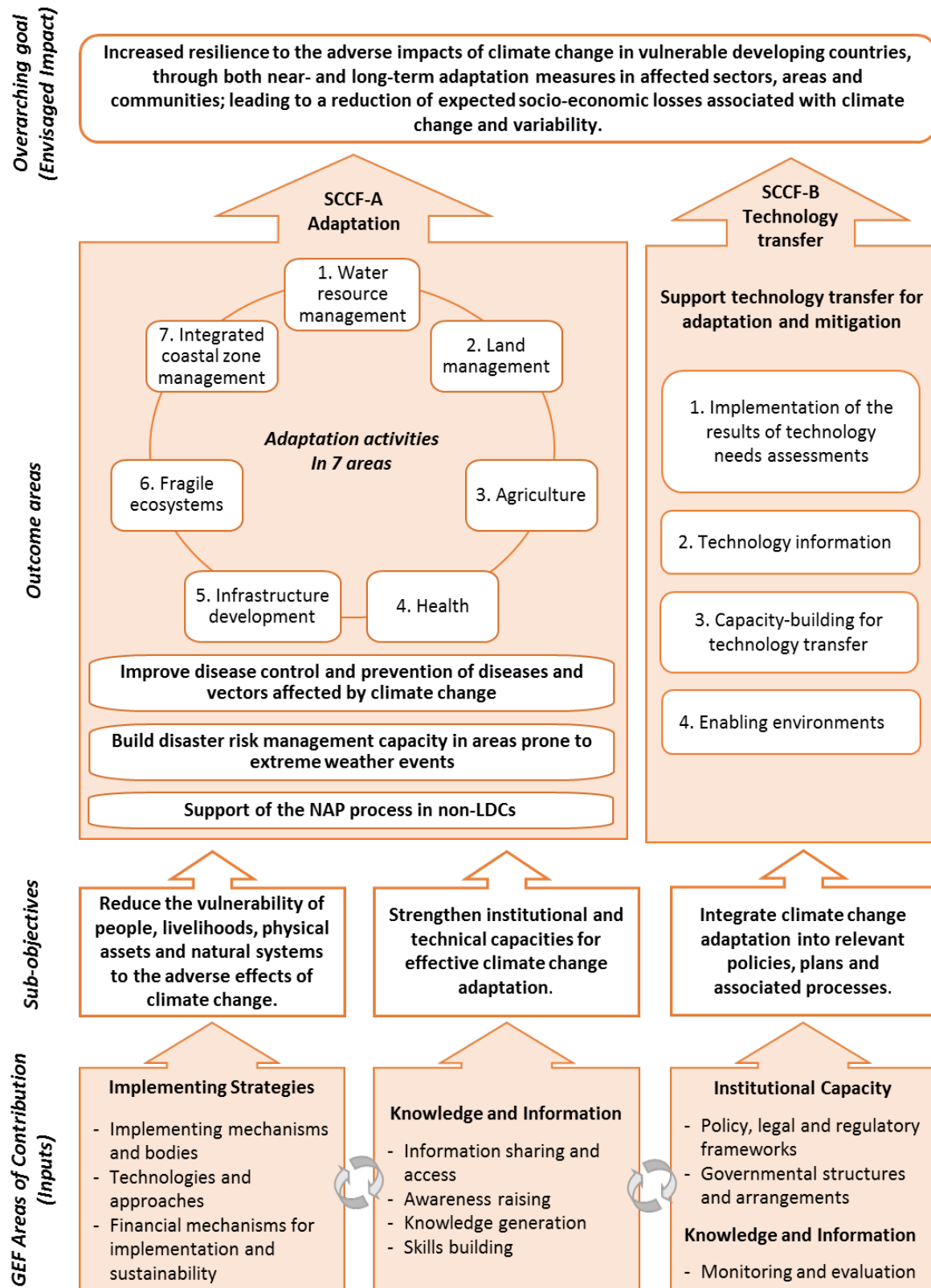
30. **Resilience:** The latest results framework for the GEF adaptation program (annex D) states the overarching goal as: "Increase resilience to the adverse impacts of climate change in vulnerable developing countries, through both near- and long-term adaptation measures in affected sectors, areas and communities; leading to a reduction of expected socio-economic losses associated with climate change and variability."²⁶ The three objectives of the results framework feed into this goal. The focus of this evaluation has been on identifying early evidence as to whether projects have contributed – or are likely to contribute – to increased climate change resilience.

²⁴ The audience are agencies, organizations, groups or individuals who will gain experience and learn from evaluation information and findings (Yarbrough, et al. 2011), as well as those potentially affected by the outcome of the evaluation, are in a position to make decisions about the evaluation, and/or intend to use the evaluation process or findings to inform their decisions and actions (Patton, 2008).

²⁵ The SCCF-B activity window includes components for both 'adaptation to climate change impacts' and 'mitigation of greenhouse gases'. SCCF-B's technology transfer component for mitigation falls outside the scope of GEF's strategic objectives for adaptation and results framework as visible in annex D.

²⁶ "Climate resilience refers to the outcomes of evolutionary processes of managing change in order to reduce disruptions and enhance opportunities." IPCC, 2014. [Working Group II Contribution to the IPCC Fifth Assessment Report \(AR5\). Climate Change 2014: Impacts, Adaptation, and Vulnerability](#). Cambridge, MA: Cambridge University Press. Chapter 20, page 1108.

Figure 3: Theory of Change



31. **Gender:** The 2011 evaluation of the SCCF did not analyze or even mention gender. However, consistent with the GEF's operational policies and procedures on gender mainstreaming, from October 2014 onwards SCCF projects have applied GEF's five core gender indicators (annex E).²⁷ The Results-Based Management (RBM) Framework Adaptation Monitoring and Assessment Tool (AMAT) has recently been updated to include these gender indicators in accordance with GEF's Gender Equality Action Plan (GEAP), though the RBM framework and AMAT already included gender-disaggregated indicators since the AMAT's introduction in October 2010.^{28 29} The focus of this evaluation has been on identifying evidence regarding the use of these indicators, and identifying early evidence as to whether this actually translates into improved gender performance across SCCF projects.

Evaluative Questions

32. The overarching goal and sub-objectives of the Fund (figure 3) translate into three main evaluation questions and a number of sub-questions grouped by the core evaluation criteria (see annex G for the evaluation matrix). The evaluation team assessed the performance and progress of the SCCF using aggregated data gathered against these questions.

Relevance - How relevant is SCCF support in light of UNFCCC COP guidance and decisions, and the GEF adaptation programming strategy?

- How relevant is SCCF support in relation to the guidance and decisions of the UNFCCC, informing the Fund's mandate?
- How likely is it that the adaptation components of the SCCF will be achieving the three strategic objectives of the GEF programming strategy on adaptation to climate change?
- How does SCCF support relate to other GEF focal areas?
- What is the niche of the SCCF in the global adaptation finance landscape of multilateral financial mechanisms?

Effectiveness and Efficiency - How effective and efficient is the SCCF and its portfolio in reaching its objectives, based on emerging results?

- (a) **Effectiveness** - How likely is it that projects in the SCCF portfolio will deliver tangible adaptation benefits?
- (b) **Efficiency**
 - How efficient is the Fund's project cycle?

²⁷ GEF, [Gender Equality Action Plan \(GEAP\)](#), October 2014. Council Document GEF/C.47/09.Rev.01.

²⁸ GEF, [Updated Results-Based Management Framework for Adaptation to Climate Change under the Least Developed Countries Fund and the Special Climate Change Fund](#), October 2014. Council Document GEF/LDCF.SCCF.17/05/Rev.01.

²⁹ GEF, [Updated Results-Based Management Framework for the Least Developed Countries Fund \(LDCF\) and the Special Climate Change Fund \(SCCF\) and Adaptation Monitoring and Assessment Tool](#), October 20 2010. Council Document GEF/LDCF.SCCF.9/Inf.4.

- What are the main factors that have been affecting the Fund's efficiency?
- How have resource flows and resource predictability, or the lack thereof, affected the Fund's programming?
- How has the pre-selection process for priority project concepts influenced the Fund's efficiency and effectiveness?

Results and Sustainability - What are the emerging results of the SCCF and its portfolio and factors that affect the sustainability and resilience of these results?

- What are the emerging results produced by the SCCF to this point?
- What are the GEEW (Gender equality and the empowerment of women) objectives achieved (or likely to be achieved) and gender mainstreaming principles adhered to by the SCCF?
- To what extent are the emerging results of SCCF support sustainable?

Evaluation Design

33. At the evaluation's onset, the team conducted a meta-evaluation review of recent evaluations conducted by the Independent Evaluation Office, the evaluation offices of GEF Agencies and others that have reviewed the SCCF and/or individual SCCF supported projects. The team also reviewed GEF-specific documents on the SCCF and related interventions; as well as additional literature beyond GEF and LDCF/SCCF Council and project documents, and GEF Secretariat policies, processes, and related documents. The meta-evaluation review is further discussed in chapter III.

34. A portfolio analysis protocol, including a quality-at-entry review, was developed using a survey tool to systematically assess the projects, so as to ensure that key project-level questions were addressed consistently and coherently (annex H). The team applied the portfolio analysis protocol to 117 projects – medium-size projects (MSPs), and full-size projects (FSPs) – at various stages of implementation. It applied the quality-at-entry review protocol to 74 projects that were either endorsed by the GEF Chief Executive Officer (CEO), under implementation, or completed as of October 2016. Because SCCF projects are at different stages of implementation (table 1), the status of the respective project determined the manner in and extent to which it was included in the SCCF evaluation according to the core evaluation criteria (table 4).

Table 4: Inclusion of SCCF Projects According to Project Status

Status	Core Criteria		
	Relevance	Effectiveness/ Efficiency	Results and Sustainability
Completed	Full	Full	Full
Under implementation	Full	Likelihood	N/A

CEO Endorsed, but not under implementation	Expected	N/A	NA
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35. The evaluation team developed a database of all SCCF projects including information on project status; financing and co-financing; GEF Agency, executing agency or institution; country; main objectives; and key partners. The majority of the information was extracted from the GEF Project Management Information System (PMIS) and verified by the GEF Agencies. The SCCF project database as well as information from the portfolio analysis protocol allowed for aggregation at the portfolio level, enabling evaluation of the SCCF as a whole.

36. All available project documentation – including project preparation grant (PPG) requests, project identification forms (PIFs), requests for CEO endorsement/approval, project documents, LDCF/SCCF Adaptation Monitoring and Assessment Tool (AMAT) and tracking tools for other focal areas, project implementation reports, midterm reviews, terminal evaluations, and terminal evaluation reviews – was reviewed during the evaluation. The evaluation’s findings on sustainability are primarily based on data for 13 projects that have been completed, and for which a terminal evaluation has been submitted and a TER rating was completed.

37. In addition to the document and project reviews, the team conducted three country field visits – to Ghana, Honduras and the Philippines – and carried out interviews with key stakeholders to cross-check and validate the data collected. These countries were purposefully selected to cover multiple regions and to visit an appropriate mix of SCCF supported projects. The field visits were a critical component of the evaluation, as they provided in-depth, field-verified inputs to the findings and recommendations.

Interviews were carried out with staff of the GEF Secretariat, the GEF Agencies, the UNFCCC Secretariat, government officials, project implementers, civil society organizations, beneficiaries, and other country-level stakeholders. A full list of the people consulted is presented in annex F.

38. Finally, the evaluation team conducted an analysis of, and triangulated, data collected to determine trends and formulate main findings, conclusions, lessons, and recommendations. The evaluation matrix (annex G) summarizes the key questions, indicators or basic data, sources of information and methodology, and was used to guide the analysis and triangulation.

Limitations

39. The evaluation was subject to limitations due to the level of maturity and small size of the SCCF portfolio. It was not possible to conduct an all-encompassing analysis of the impacts and results of the portfolio at this stage, given that only a limited number of projects have reached their mid-term and only 13 projects have been completed, for which a terminal evaluation has been submitted and a TER rating was completed.

40. Another limitation was that due to time constraints only a small number of projects could be visited. The evaluation also faced problems obtaining up-to-date information on the

status of SCCF projects due to GEF PMIS not being regularly updated. PMIS data was compared with LDCF/SCCF Council progress reports, and GEF Agencies were requested to verify project data before project reviewing.

III. META-EVALUATION REVIEW

41. The UNDP Evaluation Office carried out an independent evaluation of UNDP's work with LDCF/SCCF resources, published in 2009.³⁰ The evaluation found that average time elapsed between Project Information Form (PIF) approval and CEO endorsement/approval of projects was approximately 13 months, well within the 22-month maximum permitted time frame for FSP project preparation that starts at PIF approval. The evaluation concluded that due to "the freezing of SCCF funding, the [project cycle] has been on hold for several years [...] and PIFs made previously may become obsolete and need to be redefined, should new funding become available."³¹ It should be noted that currently there is no hard pipeline of SCCF projects. Once projects are submitted, and assessed for technical merit by the GEF Secretariat in collaboration with STAP, they are either approved or not approved. Funding proposals that were not approved are not queued into a pipeline as is the case for the LDCF. The evaluation's recommendations were not well targeted, stating they concerned "several organizations and actors, at various levels." It was not always clear whether individual recommendations were aimed at the LDCF or SCCF specifically.

42. The 2011 evaluation of the GEF Strategic Priority for Adaptation (SPA) pilot program aimed to provide lessons learned from implementation of the first climate change adaptation strategy supported by the GEF.³² One of the evaluation's recommendations stated that the GEF should continue to provide explicit incentives to mainstream resilience and adaptation to climate change into the GEF focal areas, as a means of reducing risks to the GEF portfolio. The expanding of synergies with other GEF focal areas is one of the two strategic pillars of the GEF programming strategy on climate change adaptation for the LDCF and the SCCF.³³

43. The IEO conducted an evaluation of the SCCF in 2011 (the predecessor to this evaluation) with the aim of answering the overarching question, "What are the key lessons that can be drawn from the implementation of the SCCF 10 years after its inception?"³⁴ During the evaluation it became clear that, because of the early stages of implementation of most SCCF projects, conclusive evidence on results was sparse. Of the 35 SCCF projects reviewed, 15 were under implementation, while 2 were completed. The evaluation included 12 conclusions and 2 recommendations, which can be found in annex I. The conclusions focused on relevance of the SCCF and funded activity windows, the role of innovation and learning in the SCCF, the impact of the unpredictability of funding availability, and branding of SCCF projects. The first

³⁰ UNDP EO, [Evaluation of UNDP Work with Least Developed Countries Fund and Special Climate Change Fund Resources](#), 2009.

³¹ Ibid, 26.

³² IEO, [Evaluation of the GEF Strategic Priority for Adaptation \(SPA\) – Evaluation Report No. 61](#), July 2011.

³³ GEF, [GEF Programming Strategy on Adaptation to Climate Change for the Least Developed Countries Fund \(LDCF\) and the Special Climate Change Fund \(SCCF\)](#), May 05, 2014. Council Document GEF/LDCF.SCCF.16/03/Rev.01.

³⁴ IEO, [Evaluation of the Special Climate Change Fund](#), April 2012.

recommendation appealed to donors to fund the SCCF adequately and predictably, preferably through a replenishment process. The second recommendation was aimed at the GEF Secretariat, to ensure transparency of the project pre-selection process, to properly disseminate good practice and a request to ensure improvements in the visibility of the SCCF as funding source. The GEF Secretariat agreed with most conclusions and fully endorsed the evaluation's recommendations.³⁵ Council requested the Secretariat to prepare proposals to ensure transparency of the project pre-selection process, dissemination of good practices through existing channels, and visibility of the Fund by requiring projects to identify their funding sources.³⁶ Transparency of the pre-selection process was covered by the GEF's pre-selection criteria follow-up, while other elements of work were tracked in the management action record as part of IEO's progress report and work program for the LDCF and SCCF.^{37 38}

44. The 2012 GEF Evaluation of Focal Area Strategies aimed to gain a deeper understanding of the elements and mechanisms that make a focal area strategy successful.³⁹ The evaluation concluded that, in most cases, the GEF-5 focal areas do not draw on a systematic identification of the envisaged causal relationships between different elements of the relevant strategy. However, causal links between GEF activities and the chains of causality toward the achievement of expected results are implicit in the GEF focal area strategies. Technical Paper 7 of the evaluation focused on climate change adaptation under the LDCF and SCCF.⁴⁰ The paper makes the causal linkages for GEF adaptation activities more explicit, and it affirmed that the LDCF/SCCF strategy on adaptation largely reflects the current state of scientific knowledge and is sound from a scientific perspective on the basis of UNFCCC COP guidance. Technical Paper 8 provided an overview of COP guidance to the GEF.⁴¹

45. The Fifth Overall Performance Study (OPS5) of the GEF, published in 2014, synthesized conclusions and evaluative evidence on adaptation to climate change through various channels.⁴² Adaptation has been considered a focal area and included in the IEO's evaluation streams such as country level evaluations and performance evaluations. Adaptation is included through work on focal area strategies, Results Based Management and tracking tools, multi-focal area (MFA) and multi-trust fund projects, and gender mainstreaming.

³⁵ GEF, [Management Response to Evaluation of the Special Climate Change Fund](#), October 13 2011. Council Document GEF/LDCF.SCCF.11/ME/03.

³⁶ GEF, [Joint Summary of the Chairs, LDCF/SCCF Council Meeting 11](#), November 10, 2011.

³⁷ GEF, [Pre-Selection Criteria for Projects and Programs Submitted under the Special Climate Change Fund](#), May 7 2012. Council Document GEF/LDCF.SCCF.12/Inf.05.

³⁸ IEO, [Progress Report and FY 2014 Work Program and Budget for the Evaluation Office under LDCF and SCCF](#), May 23 2013. Council Document GEF/LDCF.SCCF.14/ ME/01/Rev.01.

³⁹ IEO, [Evaluation of the GEF Focal Area Strategies](#), January 2013. Evaluation Report No. 78.

⁴⁰ IEO, [Evaluation of the GEF Focal Area Strategies – Technical Paper 7: Climate Change Adaptation under LDCF and SCCF](#), November 2012.

⁴¹ IEO, [Evaluation of the GEF Focal Area Strategies – Technical Paper 8: Collection of COP Guidance to the GEF for the Four Conventions the GEF Serves as a Financial Mechanism](#), November 2012.

⁴² IEO, [The Fifth Overall Performance Study \(OPS5\)](#), May 2014.

46. OPS5 Technical Document 3 (2013) analyzes the implementation of GEF focal area strategies.⁴³ It concludes that the proportion of multi-focal area (MFA) projects in the LDCF and SCCF portfolio is relatively low. The combining of LDCF and SCCF resources with other focal area resources in multi-trust fund (MTF) projects has only been introduced as part of the GEF-5 replenishment period. But while the number of projects is low, the funding is considerable; at the time of the analysis, 30.1 percent of SCCF funds went to a total of 9 MTF projects. The review also finds that the proportion of projects that combine different focal area objectives within one focal area, meaning without being a Multi-Focal Area (MFA) project, is particularly high for SCCF (at 85 percent). OPS5 Technical Document 9 (2013) focuses specifically on MFA projects.⁴⁴ It finds that the share of MFA projects is increasing over time, and SCCF projects are more likely to address multi-focal concerns, compared to GEF Trust Fund projects.

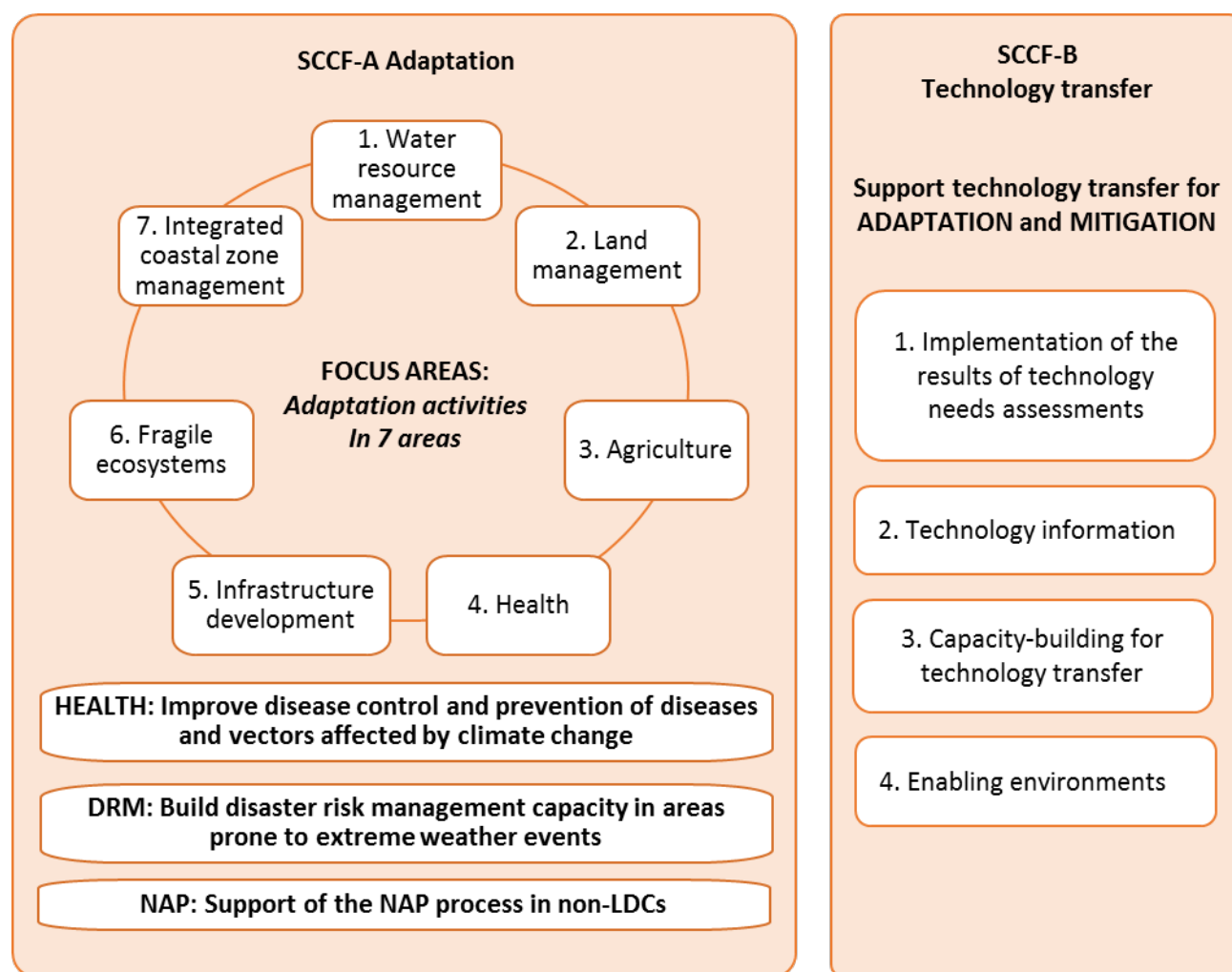
⁴³ IEO, [OPS5 Technical Document 3: Implementation of GEF Focal Area Strategies and Trends in Focal Area Achievements](#), March 2013.

⁴⁴ IEO, [OPS5 Technical Document 9: Multi-Focal Area Projects in GEF Portfolio](#), November 2013.

IV. ANALYSIS OF THE SCCF PORTFOLIO

47. This chapter presents an overview of the SCCF portfolio. Initially, the SCCF financed adaptation activities in seven areas, technology transfer, climate-related disease control, and disaster risk management. The SCCF-C activity window on sector-specific climate change mitigation and the SCCF-D activity window on economic diversification were added in 2006, but neither window was ever funded. The support of activities for the preparation of the national adaptation plan (NAP) process for interested non-LDC developing country Parties was added in 2012. See figure 4.

Figure 4: SCCF Outcome Areas for Activity Windows A and B



48. In February 2006, the first project was CEO approved under the SCCF. In March 2015, a FSP global project was approved by the GEF CEO, aiming to advance the NAP process in non-LDCs. Given that there is only one NAP-focused project, this project has been included as an integral part of the SCCF project portfolio, and not treated as a separate category.

Portfolio Composition

49. An overview of the SCCF portfolio by number of projects and funding is presented in table 5. An extensive overview of the portfolio composition is provided in annex C. As of end October 2016, the project portfolio consists of 74 projects that are either CEO endorsed, under implementation, or completed. Nine of these projects are categorized as multi-trust fund projects and 4 of these 74 projects are categorized as multi-focal area projects. These 74 projects received a total of \$333.45 million from the SCCF and \$2.47 billion in co-financing. The portfolio consists largely of FSPs, which account for 89 percent of the projects and 97 percent of the total SCCF financing.

Table 5: Number of and Budgetary Allocation for SCCF Projects by Project Modality

Project Modality ¹	No. of projects	Budgetary Allocation (M\$)			Co-financing (as % of total)
		SCCF	Co-financing	Total	
Medium-size projects (MSP)	8	9.09	30.30	39.39	76.9%
Full-size projects (FSP)	66	324.37	2,439.35	2,763.72	88.3%
Grand Total²	74	333.45	2,469.65	2,803.11	88.1%

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count, status and value might have changed since.

² Only CEO endorsed/approved, under implementation and completed projects taken into account.

SCCF Portfolio by GEF Replenishment Phase

50. When it first began during GEF-3 (2003–07), the SCCF funded more MSPs than FSPs. During GEF-4 (2007–10), the number of projects funded and the average project funding increased. The GEF-5 phase (2010–14) had the most SCCF activities funded, including 2 MSPs and 39 FSPs, amounting to a total of \$184.63 million, or 55 percent of total SCCF funding. Financing of SCCF projects has slowed during GEF-6 (2014–18), and as of October 2016 has only amounted to \$43.44 million. No MSPs were funded under GEF-6 (see table 6).

Table 6: Number of and Budgetary Allocation for SCCF Projects by GEF Phase

GEF Replenishment Phase ¹	No. of projects	FSP (as % of no. of projects)	Budgetary Allocation (M\$)				% of Grand Total
			MSP	FSP	Total	Average project size	
GEF-3	6	33.3%	4.29	11.54	15.84	2.64	4.7%
GEF-4	19	89.5%	2.10	87.45	89.55	4.71	26.9%
GEF-5	41	95.1%	2.69	181.94	184.63	4.50	55.4%
GEF-6	8	100.0%		43.44	43.44	5.43	13.0%
Grand Total²	74	89.2%	9.09	324.37	333.45	4.51	100.0%

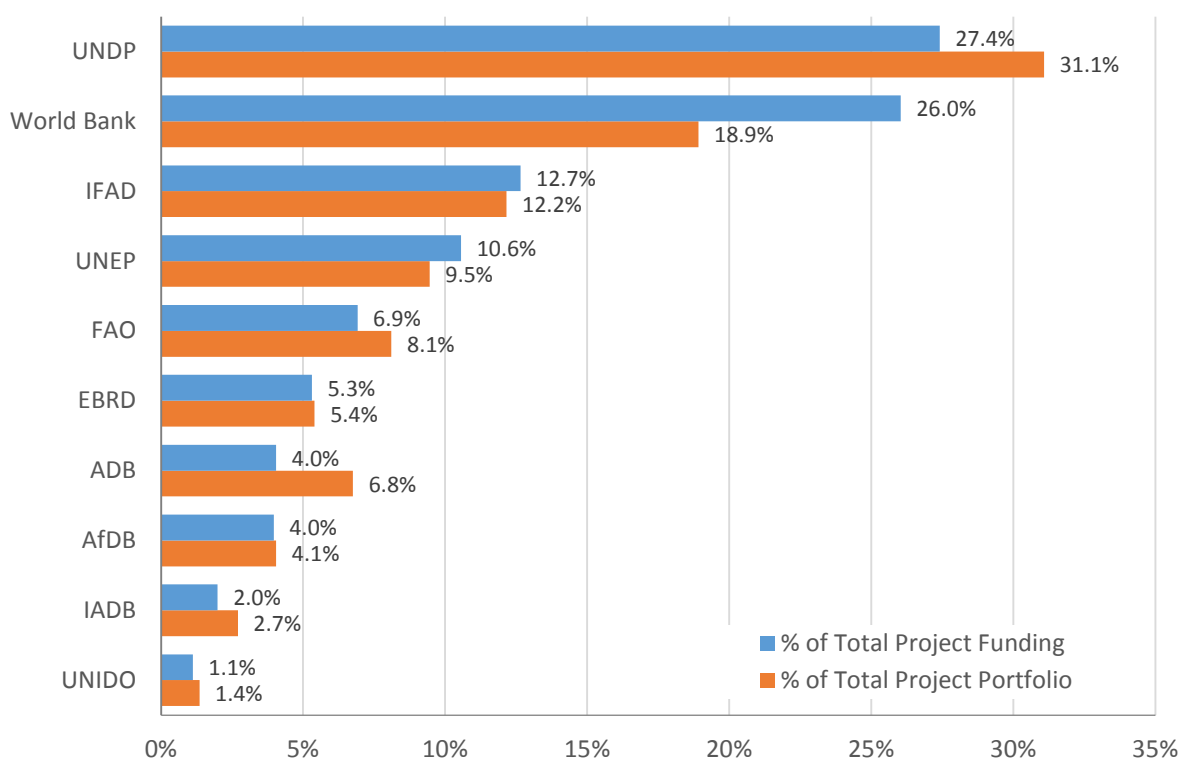
¹ Cut-off date for portfolio analysis data was October 27 2016. Project count and value might have changed since.

² Only CEO endorsed/approved, under implementation and completed projects taken into account.

SCCF Projects and Funding by Agency and Region

51. UNDP is the GEF Agency for the largest number of SCCF projects that are CEO endorsed, currently under implementation or completed - 23 (31.1 percent), 18 of which are FSPs. The World Bank is the GEF Agency for 14 projects, IFAD for nine, UNEP for seven, FAO for six and the ADB for five (18.9, 12.2, 9.5, 8.1 and 6.8 percent respectively – figure 5). EBRD is the GEF Agency for four projects, AfDB for three, IADB for two projects, and UNIDO has one project that is CEO endorsed. UNDP, the World Bank and IFAD are also the GEF Agencies with the largest SCCF funding shares; \$91.39 million, \$86.81 million and \$42.18 million respectively.

Figure 5: Distribution of SCCF Financing and Projects by GEF Agency

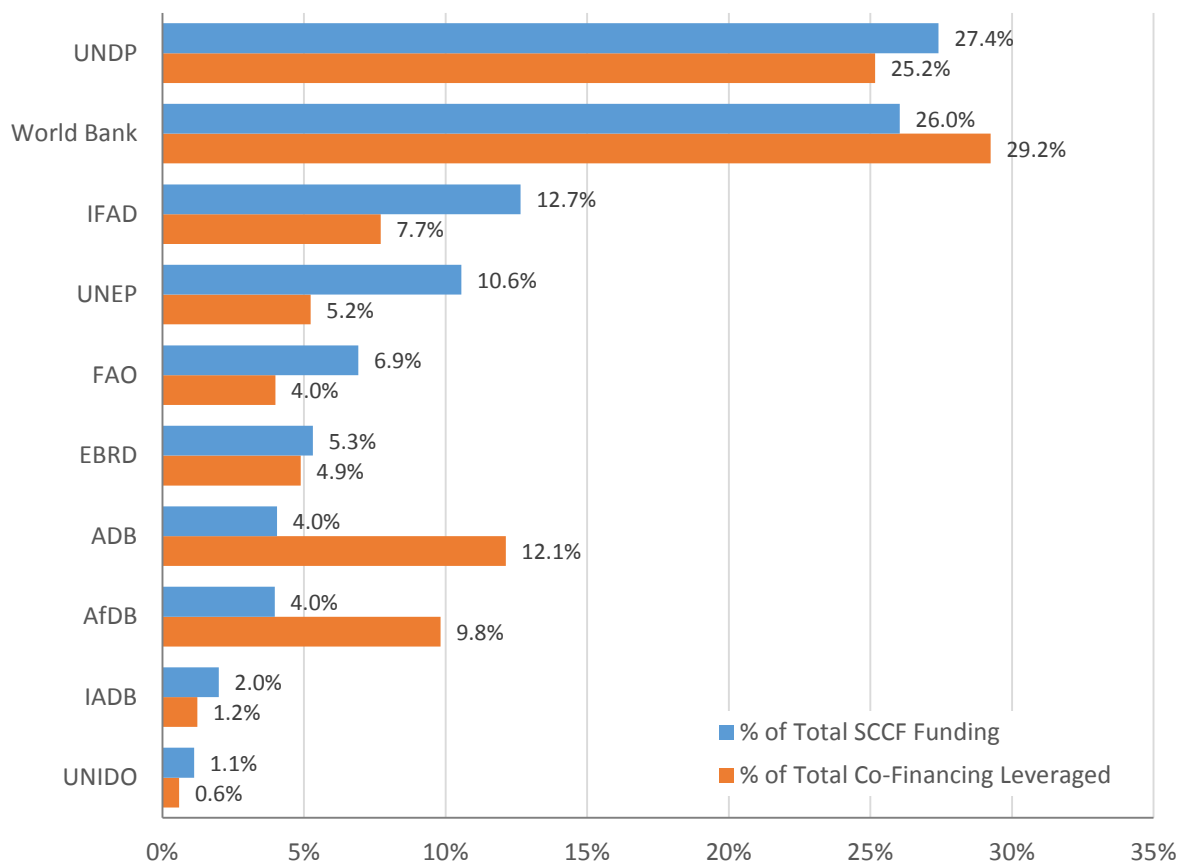


52. A large percentage of the SCCF portfolio is implemented through UN Agencies, that together account for 62.2 percent of SCCF projects and 58.6 percent of SCCF funding (\$195.56 million). The ADB and IADB have smaller projects: an average funding size of \$2.70 million and \$3.32 million respectively, compared to \$6.20 million for the average World Bank project and \$5.03 million for the average UNEP project. The average size of a UNDP project is \$3.97 million. Five of the 8 MSPs in the portfolio are implemented through UNDP. UNEP supported 2 MSPs and the ADB was the GEF Agency for one MSP. The average project size for MSPs was \$1.14 million.

53. Multilateral Development Banks (MDBs) generate larger amounts of co-financing (\$1.41 billion), as opposed to UN Agencies (\$1.05 billion). The World Bank's SCCF projects leverage the largest amount, at 29.2 percent of all co-financing, followed by UNDP with 25.2 percent

respectively. Figure 6 shows the distribution of the total amount of \$2.47 billion in co-financing leveraged by the GEF Agencies. Figure 7 shows co-finance share as percentage of project budget by GEF Agency; e.g., if a project's SCCF grant value is \$2 million and co-finance is \$18 million, then the co-finance share as a percentage of project budget is 90 percent. The Asian Development Bank (ADB) leverages the most co-financing as a percentage of project budget, while the AfDB and World Bank leverage the next average largest co-financing amounts by project, 94.8 percent and 89.3 percent respectively.

Figure 6: Distribution of SCCF Financing and Co-financing Leveraged by GEF Agency



54. Figure 8 disaggregates the SCCF portfolio by region in terms of number of projects and amount of funding. The data include 5 global projects, with a combined SCCF allocation of \$26.16 million. While the distribution by region is not equal, the figure shows that projects in the SCCF portfolio are not particularly concentrated in any one region. The African region has the biggest share of projects, whether measured in terms of number of projects (22 or 29.7 percent of the total number of projects) or funding share (\$90.36 million or 27.1 percent of total funding). About 26 percent of the projects are in Asia and the Pacific, both in terms of number of projects and funding. In the Latin America and the Caribbean region, the portfolio comprises 16 projects with a funding share of \$77.54 million (or 23.3 percent of total funding). There is only one SIDS (small island developing states) project, currently under implementation in Antigua and Barbuda (GEF ID 5523), with a grant value of \$5.58 million. It is not clear why

there have not been more SIDS accessing SCCF funding; of the current 57 SIDS only 9 are least developed countries (LDCs), and the SCCF can be accessed by both LDCs and non-LDCs alike.

Figure 7: Co-finance Share as Percentage of Project Budget by GEF Agency

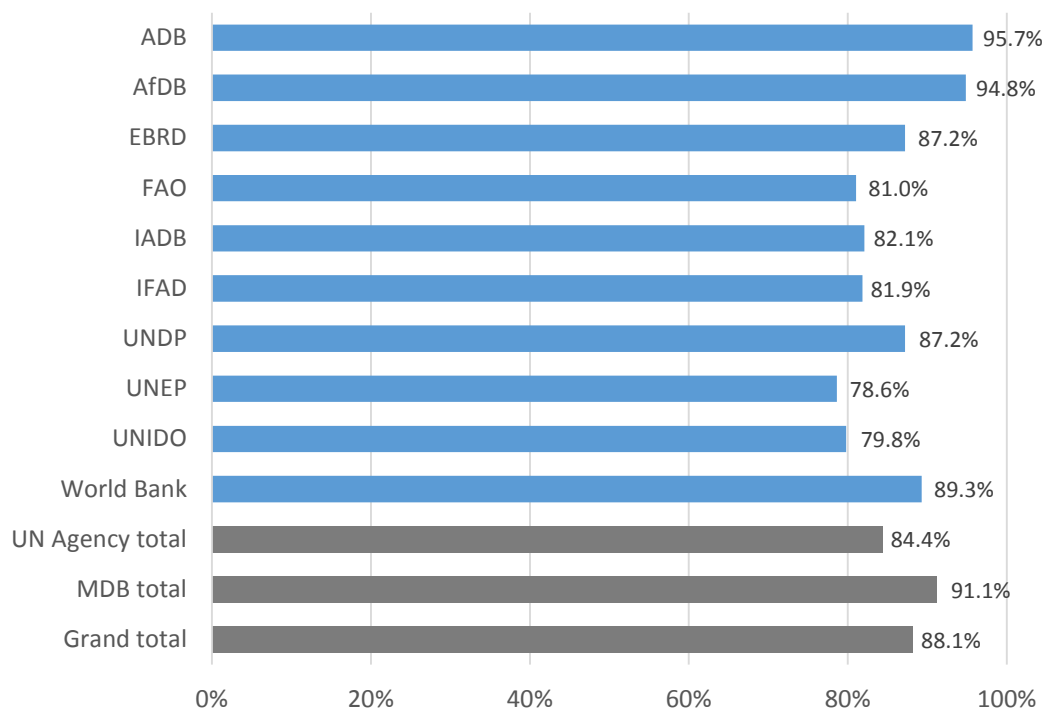
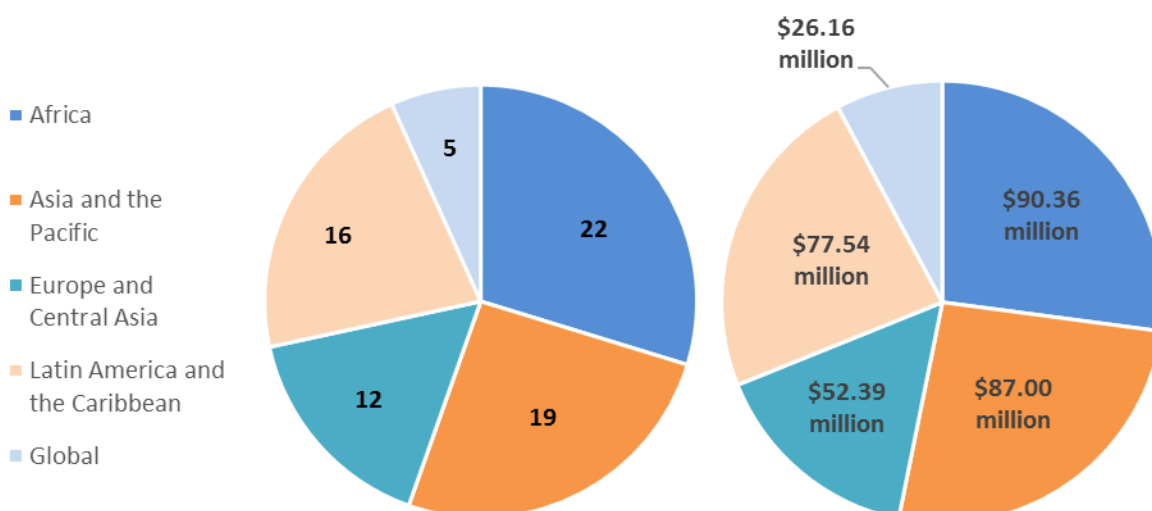


Figure 8: Number and Grant Value of SCCF Projects by Region



SCCF Project and Portfolio Status

55. The SCCF portfolio has no projects pending CEO approval or endorsement. Eighteen projects (24.3 percent of projects) have been completed; of which 6 were MSPs and 12 were FSPs. Of these 18 projects, 15 have completed the terminal evaluation and 13 also received their TER ratings. The majority of SCCF projects are under implementation – 43 projects, accounting for \$193.48 million or 58 percent of the CEO endorsed portfolio. (table 7)

56. Forty-three projects of the entire portfolio of 117 projects have been cancelled, dropped or rejected. While it is unclear whether funding disbursements were made, PMIS shows an aggregate amount of \$548,542 for project preparation grants (PPGs) and \$7.53 million in agency fees for the PPG and PIF stages of these cancelled, dropped and rejected projects.

Table 7: Budgetary Allocation by Project Status

Project Status ¹	Budgetary Allocation (M\$)			% of Grand Total
	MSP	FSP	Total	
CEO Endorsed		55.80	55.80	16.7%
Under Implementation	2.69	190.79	193.48	58.0%
Project Completion	6.39	77.77	84.16	25.2%
Grand Total²	9.09	324.37	333.45	100.0%

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count, status and value might have changed since.

² Only CEO endorsed/approved, under implementation and completed projects taken into account.

V. RELEVANCE OF SCCF SUPPORT

57. This chapter focuses on the relevance of SCCF support in light of UNFCCC COP guidance and decisions, and the GEF's adaptation strategy. The following evaluation questions are addressed:

- How relevant is SCCF support in relation to the guidance and decisions of the UNFCCC, informing the Fund's mandate?
- How likely is it that the adaptation components of the SCCF will be achieving the three strategic objectives of the GEF programming strategy on adaptation to climate change?
- How does SCCF support relate to other GEF focal areas?
- What is the niche of the SCCF in the global adaptation finance landscape of multilateral financial mechanisms?

58. The evaluation systematically reviewed the degree of alignment between projects financed by the SCCF (74 projects) on the one hand and, on the other hand, (1) relevant UNFCCC guidance and decisions, (2) the GEF's strategic pillars for adaptation, and (3) the GEF's strategic objectives for adaptation. The evaluation team also considered the potential of SCCF projects to make contributions toward GEF focal areas other than climate change.

59. The SCCF has supported activities that, for the most part, are highly relevant to UNFCCC decisions, GEF objectives, and GEF pillars. SCCF-funded activities are invariably focused on quite specific elements of UNFCCC guidance, given that SCCF outcome areas under each SCCF activity window are explicitly defined, e.g. disease control, disaster risk management, or the NAP process. All projects align to some degree with all three GEF adaptation strategic objectives, and close to 84 percent does so from a large to an extremely large extent. The extent of synergies with other GEF focal areas is less promising; 40.5 percent of projects *only* support the climate change focal area, although almost 45 percent of projects potentially offer support in the area of land degradation. The apparent potential for support to other focal areas is far more modest.

SCCF Relevance in Relation to UNFCCC COP Guidance and Decisions

60. Eight guidance and decisions focus areas were condensed from the full overview of UNFCCC COP guidance and decisions towards the SCCF, presented in annex A. These eight focus areas are:

- (a) SCCF-A: Adaptation activities in one or more of the 7 areas⁴⁵
- (b) SCCF-A: Improve disease control and prevention of diseases and vectors affected by climate change

⁴⁵ (1) Water resource management, (2) Land management, (3) Agriculture, (4) Health, (5) Infrastructure development, (6) Fragile ecosystems, and (7) Integrated coastal zone management.

- (c) SCCF-A: Build disaster risk management capacity in areas prone to extreme weather events
- (d) SCCF-A: Support of the NAP process in non-LDCs
- (e) SCCF-B: Implementation of the results of technology needs assessments
- (f) SCCF-B: Technology information to support technology transfer
- (g) SCCF-B: Capacity-building for technology transfer
- (h) SCCF-B: Support of enabling environment for technology transfer.

61. The extent to which project align with these eight focus areas was analyzed as part of the portfolio analysis. Of the 74 projects analyzed, 63 projects were registered in PMIS as part of the SCCF-A activity window and 11 as part of SCCF-B. SCCF-A projects rarely contribute to SCCF-B outcome areas. SCCF-A projects align with UNFCCC COP guidance and decisions for specific SCCF-A outcome areas, and SCCF-B project align with guidance for specific SCCF-B outcome areas (table 8).

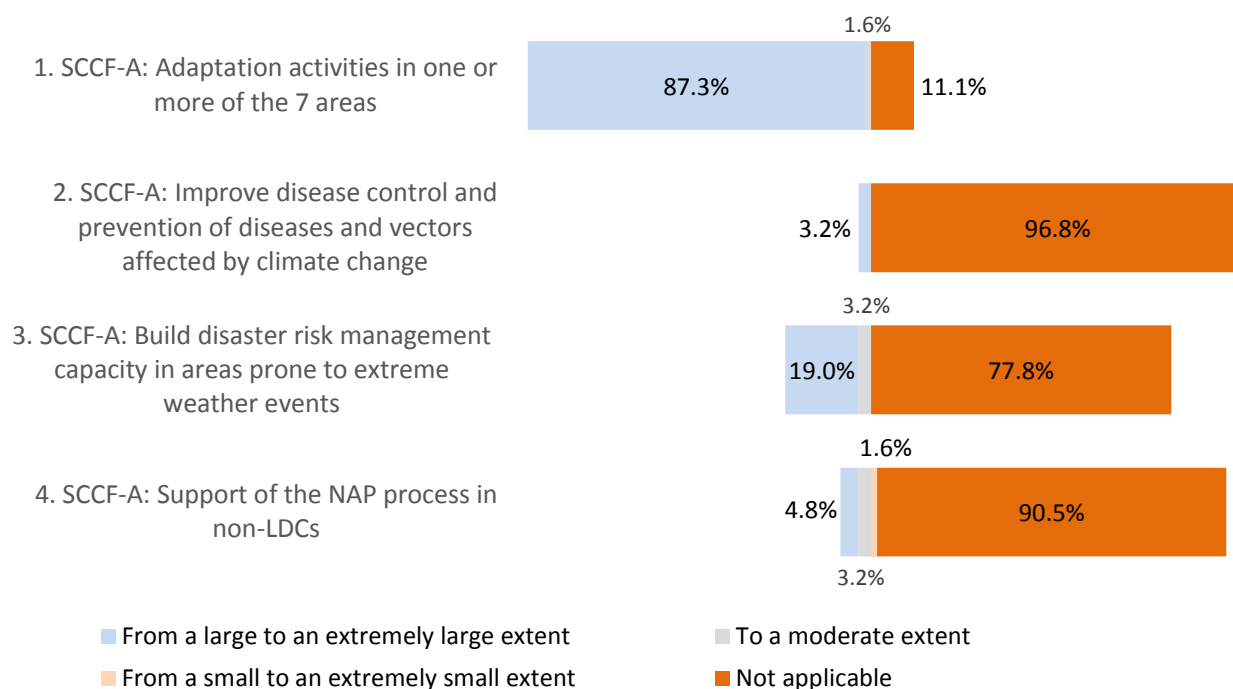
Table 8: SCCF Outcome Area Guidance and Decisions That Apply

SCCF Outcome Area Guidance and Decisions That Apply ¹		N=74
SCCF-A Focus Areas	63	85.1%
SCCF-A Health	2	2.7%
SCCF-A DRM	11	14.9%
SCCF-A NAP process	3	4.1%
SCCF-B Implementation of TNA results	4	5.4%
SCCF-B Technology information	11	14.9%
SCCF-B Technology transfer capacity building	11	14.9%
SCCF-B Enabling environments	13	17.6%

¹ Multiple answers were possible.

62. All projects under the SCCF-A activity window align with guidance and decisions on the outcome area 'adaptation activities in 7 areas'. Given that other areas under SCCF-A - health, disaster risk management, and the NAP process – are highly specific in focus, there are limited to no contributions between these outcome areas; these outcome areas contribute to the outcome area 'adaptation activities in 7 areas' and align with respective guidance, but not to one another. This is visible in figure 9, for example, with two health-focused projects in the SCCF portfolio the guidance on improving disease control and prevention of diseases and vectors affected by climate change, does not apply to the other 61 projects (96.8 percent of the SCCF-A activity window). In the case of guidance on the NAP process, there is only one NAP-focused project and 5 projects for which the guidance and decisions on the NAP process in non-LDCs is relevant to some extent; the NAP-focused guidance does not apply to the remaining 57 projects under SCCF-A activity window.

Figure 9: SCCF-A Projects' Alignment with SCCF-A Focused Guidance and Decisions



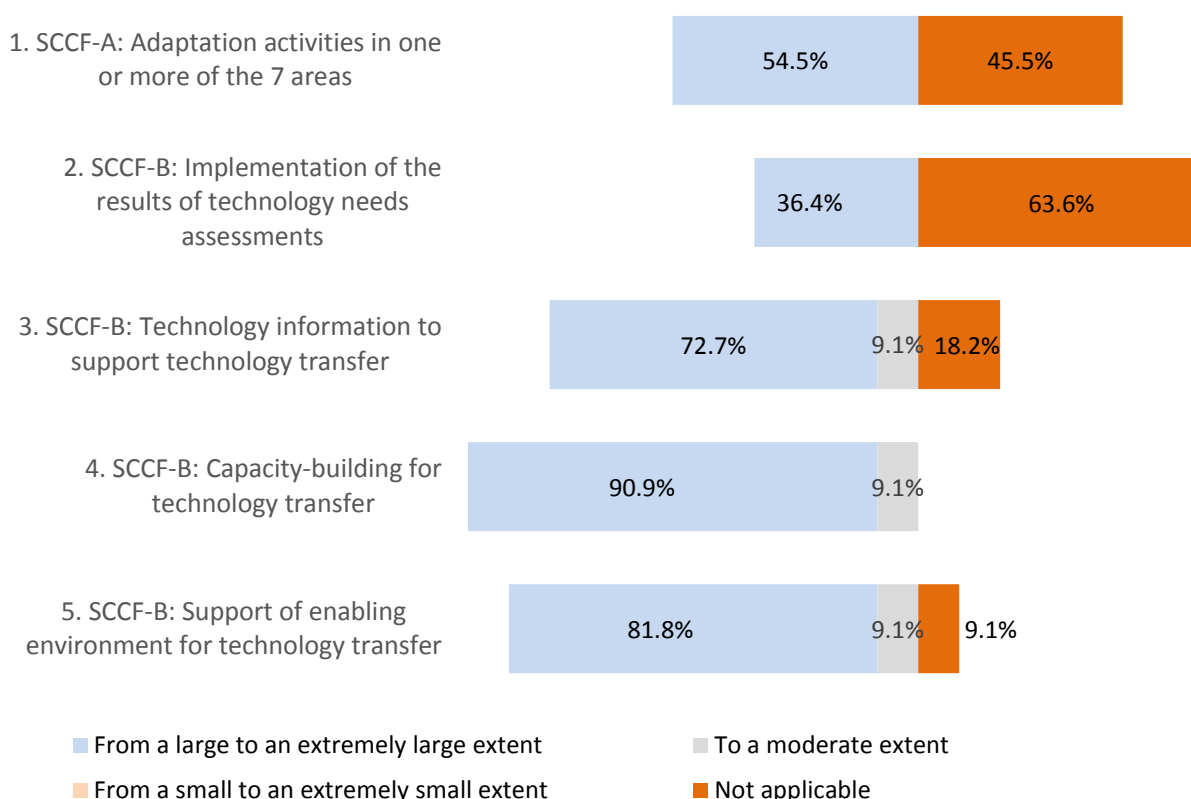
63. There is a stronger level of coherence between SCCF-B outcome areas and related UNFCCC COP guidance and decisions; especially for the outcome areas on technology information, capacity building, and support of enabling environments for technology transfer. Six of the 11 projects under the SCCF-B activity window also align with and are relevant to guidance and decisions on the SCCF-A outcome area 'adaptation activities in 7 areas' (figure 10).

SCCF Relevance in Relation to National Environmental and Sustainable Development Goals

64. The SCCF's relevance to countries' national environmental and sustainable development goals was not analyzed as part of the portfolio analysis, given that UNFCCC COP guidance and decisions for the SCCF do not specify this as a requirement for projects. However, analysis of this alignment was part of the analysis for country field visits to Ghana, Honduras and the Philippines. Note that a country's national environmental goals include, but are not limited to, specific climate change goals.

65. The country field visit to Ghana showed that both SCCF projects in Ghana are strongly country-driven, and are tightly aligned with national environmental and sustainable development goals. The SCCF health project, titled "Integrating Climate Change into the Management of Priority Health Risks" (GEF ID 3218), is referenced within Ghana's national climate change master plan, and the SCCF PROVACCA project, titled "Promoting Value Chain Approach to Adaptation in Agriculture" (GEF ID 4368), contributes to several priority actions in the country's climate change master plan.

Figure 10: SCCF-B Projects' Alignment with SCCF-A and -B Focused Guidance and Decisions



66. The Honduras project, titled “Competitiveness and Sustainable Rural Development Project in the South Western Border Corridor – PROLENCA-GEF” (GEF ID 4657), was assessed as being extremely relevant to national agendas, given its focus on the agri-food sector. This is the main economic sector within Honduras, yet it is one of the most vulnerable to the effects of climate change. Consequently, the project’s objective of increasing resilience across agricultural production chains was seen as highly appropriate and timely.

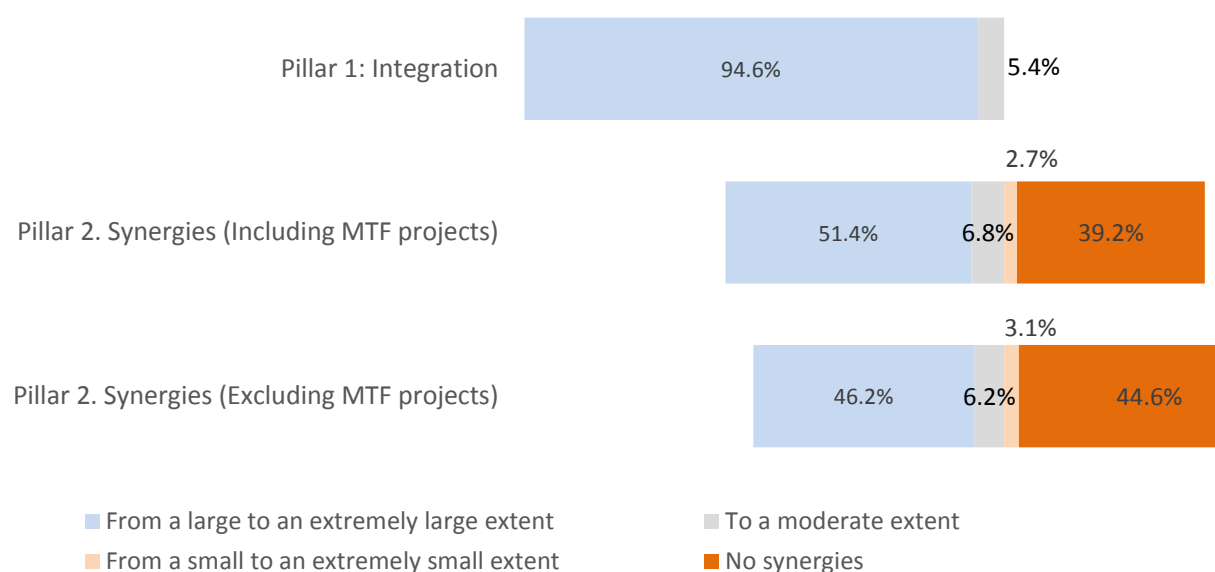
67. The two SCCF projects in the Philippines are highly country driven and connected to the country’s national agenda for development and the Philippines National Climate Change Adaptation Plan (NCCAP). Development of weather index-based insurance (WIBI) mechanisms is one of the key indicators of the NCCAP. The WIBI Mindanao project (GEF ID 4967), titled “Scaling up Risk Transfer Mechanisms for Climate Vulnerable Agriculture-based Communities in Mindanao”, focuses specifically on climate risk transfer mechanisms and productivity enhancement measures. According to the lead agency, the “Philippine Climate Change Adaptation Project” (GEF ID 3243), PhilCCAP in short, feeds data into the country’s NAP process. Country ownership of and interest in the two SCCF projects is strong; for example, the WIBI Mindanao project has a considerably higher demand from farmers and other stakeholders to participate than available funding allows. SCCF projects in the Philippines are highly relevant to national environmental and sustainable development goals, are well aligned with national

adaptation needs and priorities, and are strongly aligned to GEF’s adaptation strategic objectives.

SCCF Relevance in Relation to the GEF Adaptation Strategy

68. The evaluation found that the degree of alignment between projects and the GEF strategic pillars for adaptation was not consistent. Almost 95 percent of projects were aligned from a large to an extremely large extent with the first GEF strategic pillar, namely ‘Integrating climate change adaptation into relevant policies, plans, programs and decision-making processes in a continuous, progressive and iterative manner as a means to identify and address short-, medium- and long-term adaptation needs.’ However, almost 40 percent of projects did not align with the second GEF strategic pillar on synergies with other GEF focal areas. When excluding multi-trust fund projects from this calculation (which by their nature are expected to explore synergies between multiple focal areas) the figure gets close to 45 percent of projects having no synergies with other focal areas (figure 11).

Figure 11: Alignment with GEF Adaptation Strategic Pillars



69. An additional measure of the relevance of SCCF-funded activities considered by the evaluation was the extent to which SCCF projects supported other (non-climate change) GEF focal areas. The data corresponds with the data on alignment with the second GEF adaptation strategic pillar; 40.5 percent of projects *only* support the climate change focal area. While almost 45 percent of projects potentially offer support in the area of land degradation, the apparent potential for support to other focal areas is far more modest. Close to 19 percent of projects appear likely to provide support in the ozone depleting substance focal area, the potential support for biodiversity is 16.2 percent, and 5.4 percent for the international waters focal area (table 9).

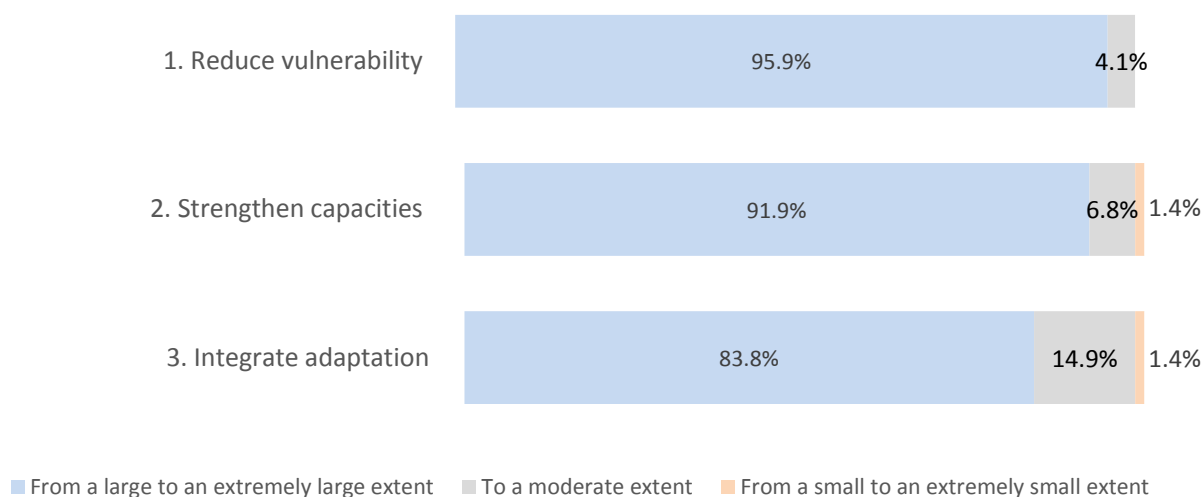
Table 9: Other Focal Areas to which Projects Potentially Contribute

Focal areas - other than the main focal area - to which projects potentially contribute ¹		N=74
Biodiversity	12	16.2%
Land Degradation	33	44.6%
International Waters	4	5.4%
Mercury	0	0.0%
Ozone Depleting Substances (ODS)	14	18.9%
Persistent Organic Pollutants (POP)	0	0.0%
No other focal areas other than climate change apply	30	40.5%

¹ Multiple answers were possible.

70. The analysis of alignment between projects and the GEF strategic objectives for adaptation provided a more consistent picture; all projects align to some degree with all three GEF adaptation strategic objectives. Close to 84 percent of the projects align from a large to an extremely large extent with all three strategic objectives (figure 12).

Figure 12: Alignment with GEF Adaptation Strategic Objectives



71. The country field visit to Ghana showed that both SCCF projects in Ghana are heavily focused on the three GEF adaptation strategic objectives. Vulnerability reduction focuses on reducing individual and institutional vulnerabilities to climate change, with the PROVACCA project (GEF ID 4368), also working to reduce the vulnerability of natural systems to climate change. Both projects are making tangible, effective contributions to building capacities for adaptation. The Ghana health project (GEF ID 3218), developed climate change related health

indicators for a national health monitoring system, and both projects are in a position to influence future adaptation policy and activity.

72. The two SCCF projects in the Philippines visited as part of the country field visits are also strongly aligned to GEF's adaptation strategic objectives, especially on vulnerability reduction and the strengthening of institutional and technical capacities. The PhilCCAP project (GEF ID 3243) estimates that 20 percent of households surveyed in the targeted areas have adopted coping strategies, new technologies or improved farming practices to better cope with climate variability and change. Farmers who were interviewed, and who participated in the WIBI Mindanao project (GEF ID 4967), reported that they were applying climate-smart agricultural practices and had access to information on weather forecasting. Both projects have had some influence on integrating climate change adaptation into relevant policies, plans and associated processes.

73. Although the Honduran PROLENCA-GEF project (GEF ID 4657) is at an early stage of implementation, the project's design is similarly well-aligned to GEF's adaptation objectives. It is likely that the project will contribute to all three GEF objectives.

Stakeholders' Perceptions on the SCCF's Niche in the Global Adaptation Finance Landscape

74. During country field visits and interviews, GEF Agencies consistently identified one of the SCCF's main distinguishing factors to be its accessibility for non-LDC non-Annex I countries. LDCs have a broader pool of adaptation-focused resources to draw on, including the LDCF and other, more 'traditional' development resources. By definition, those resources are invariably not accessible to non-LDCs, even when a country's economic status may only be marginally stronger than that of LDCs. Stakeholders felt that the SCCF represented one of the only mechanisms for non-LDCs to secure adaptation-focused grant funding. GEF Agencies also consistently reported that demand for such financing for non-LDC developing economies far outstripped the supply of resources, whether from SCCF or elsewhere.

75. GEF Agencies also identified the SCCF's support for innovative projects to be a comparatively distinctive element of the Fund. Its openness to innovation was seen to be particularly important in light of the nascent Green Climate Fund (GCF); a number of GEF Agencies felt that the SCCF had the potential to be the ideal 'incubator' for countries to test and refine project concepts, prior to seeking large-scale finance through the GCF. Conversely, some felt that the *absence* of an SCCF (or equivalent) incubation facility would increase systemic risk across the adaptation finance landscape, with an increased number of immature, unproven and/or risky projects accessing – and potentially securing – larger-scale GCF resources.

76. While GEF Agencies consistently identified the SCCF's niche as being the accessibility of resources for non-LDC non-Annex I countries and the Fund's focus on innovation, project-level stakeholders (implementing partners and GEF Agency country offices) were less clear as to the SCCF's distinctiveness. Indeed, the SCCF was often not even recognized by project-level stakeholders as a discrete source of funding that could be distinguished from other GEF resources.

VI. EFFECTIVENESS AND EFFICIENCY OF THE SCCF

77. This chapter addresses SCCF effectiveness and efficiency, through the following evaluation questions:

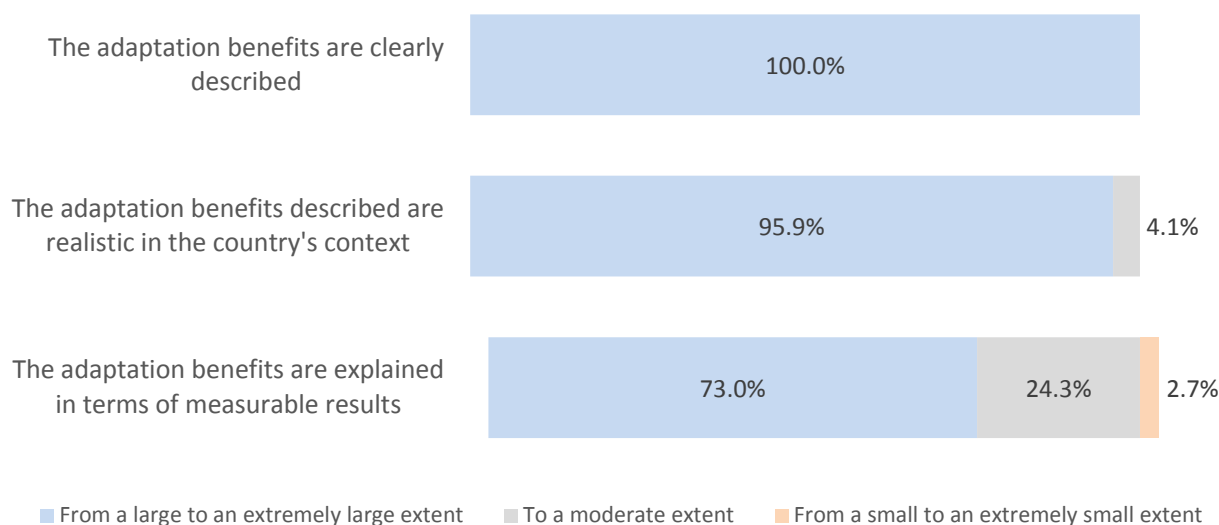
- (a) How likely is it that projects in the SCCF portfolio will deliver tangible adaptation benefits?
- (b) How efficient is the Fund's project cycle?
- (c) What are the main factors that have been affecting the Fund's efficiency?
- (d) How have resource flows and resource predictability, or the lack thereof, affected the Fund's programming?
- (e) How has the pre-selection process for priority project concepts influenced the Fund's efficiency and effectiveness?

Effectiveness of Delivering Tangible Adaptation Benefits

78. The evaluation process included a quality-at-entry review, whereby analysis was undertaken on the pre-implementation, project design documentation of all SCCF projects that were either CEO endorsed/approved or under implementation (n=74). This review was used to estimate the probability that SCCF projects would effectively deliver tangible adaptation benefits.

79. The review found that every single project clearly described their potential adaptation benefits; moreover, virtually all projects (95.9 percent) also described adaptation benefits that were realistic within the context of each country's direct and indirect pressures, and drivers of change (figure 13).

Figure 13: Quality-at-entry Review for Delivering Tangible Adaptation Benefits



80. However, a considerably lower proportion of projects (73 percent) articulated these potential adaptation benefits as specific, measurable results; for example, by explicitly linking the adaptation benefits to the project's Adaptation Monitoring and Assessment Tool (AMAT) or the project's results frameworks (figure 13).

81. The quality-at-entry review also assessed each project's approach to risk analysis and risk mitigation (table 10). While every single project undertook some form of risk analysis, only 71.6 percent of these analyses were assessed to be sufficient, taking into account an adequate variety of climactic and non-climactic risks, and identifying associated impacts and probabilities. All projects provided risk mitigation strategies, with 86.5 percent of projects assessed as having mitigation strategies that adequately addressed all or most of the identified risks (table 11).

Table 10: Project Risk Analysis

Project risk analysis		
Yes, sufficiently	53	71.6%
Yes, but not sufficiently	17	23.0%
Yes, but with serious omissions	4	5.4%
No	0	0.0%
Total:		74

Table 11: Project Risk Mitigation Strategies

Risk mitigation strategies		
Yes, for all or most risks	64	86.5%
Yes, for some risks	10	13.5%
No	0	0.0%
Total:		74

82. Considering all these factors together (definition, contextual appropriateness and results-orientation of potential adaptation benefits; project risk analysis and risk mitigation), the quality-at-entry review estimated that most projects (67.6 percent) have a 'very high' probability of delivering tangible adaptation benefits. Those projects estimated as having a 'high' probability (31.1 percent) could typically have benefited from clearer, more results-focused adaptation benefits, and/or stronger risk strategies. Out of the 74 projects reviewed, only one project was assessed as having a 'low' probability of delivering tangible adaptation benefits (table 12).

Table 12: Probability of delivering tangible adaptation benefits

Probability of delivering tangible adaptation benefits		
Very high	50	67.6%
High	23	31.1%
Low	1	1.4%
Very low	0	0.0%
Total:		74

83. GEF Agencies, project teams and other stakeholders interviewed also felt that the SCCF was likely to deliver – and in some instances was already delivering – tangible adaptation benefits. The most common observation was that the three GEF adaptation strategic objectives (reducing vulnerabilities, strengthening capacities, mainstreaming adaptation) were inherently important to *any* adaptation-focused intervention, regardless of whether it was an SCCF-supported intervention. SCCF projects are required to meet at least one of these objectives, thereby serving to solidify the adaptation focus of those projects.

84. The SCCF's emphasis on country ownership was also identified by interviewed stakeholders as an important foundation for effectiveness. Given that adaptation is often highly context-specific, national ownership of project development was seen to be essential for ensuring the most important adaptation priorities were identified and the most appropriate responses were delivered.

85. Evidence of individual SCCF projects delivering adaptation benefits were identified in countries visited during the evaluation. In Ghana, the health project (GEF ID 3218) undertook extensive research to improve the national knowledge base on climate change related health risks. This knowledge subsequently informed planning and responses within the three targeted districts. The project's tele-consultation component also reduced vulnerabilities. Through this work, mobile phone links were established between community facilities and the central, district-level facilities. This link allowed previously isolated patients and community nurses to consult directly with centrally located doctors and midwives. This service was particularly valuable during rainy seasons, which have become more pronounced and have – in turn – made travel to remote areas more challenging. The project's terminal evaluation confirmed that – across all three participating districts – the teleconsultation system saved lives through timely advice given to people, in particular women.

86. In the Philippines, the WIBI Mindanao project (GEF ID 4967) has contributed to stronger institutional, technical and community capacities for effective climate change adaptation. The project conducted training through Farmer Field Schools, including a rice crop manager/weather index-based insurance component for 83 percent of 600 farmers and 20 farmer's organizations targeted. Farmers who were interviewed reported that they were applying climate-smart agricultural practices and had access to information on weather forecasting. The project has also conducted training on community-based disaster risk

management to deal with extreme events, including mock drills to test the information flow during emergencies and evacuation routes.

Efficiency of the Fund

87. As part of the evaluation of SCCF efficiency, the project portfolio analysis measured the existence and extent of delays during project approval and implementation. Delay lengths were calculated by comparing expected/planned project timeline dates with actual dates. Of the reviewed projects (n=74), 35.1 percent experienced delays (table 13); within that subset of projects the average delay was 14 months, although there was a notable difference between medium-size projects (average delay of 8 months) and full-size projects (average delay of 16 months). (table 14) Moreover, the great majority of delayed projects (84.2 percent) were associated with the GEF-4 cycle. Given that GEF-4 was the first cycle through which SCCF funding was disbursed, it is perhaps unsurprising that delays were more prevalent in those early years, as countries, GEF Agencies and the GEF Secretariat were all new to the SCCF mechanism. At the same time, many SCCF projects associated with GEF-5 and GEF-6 are still at an early stage of implementation, so it is plausible that delays attributable to these later GEF cycles have yet to materialize.

Table 13: Identification of Delays in SCCF Projects

Indication of project delays?	Number of projects	Percentage of projects
Yes	26	35.1%
No	48	64.9%
Total:	74	

Table 14: Delays by Project Type

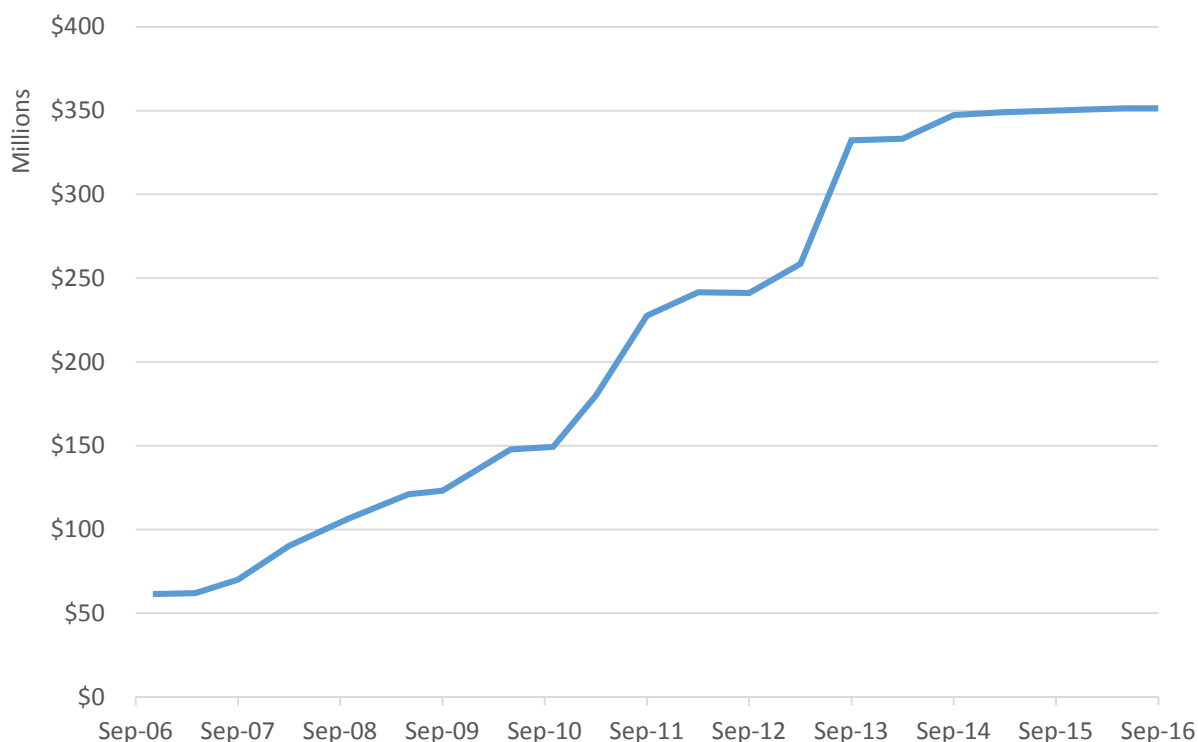
Project delays (in months)	Minimum	Maximum	Average
MSP (medium-size project)	4	12	8
FSP (full-size project)	2	36	16
Total	2	36	14

88. SCCF projects were found to attract a very high proportion of co-financing. As per table 5 above, co-financing accounted for 88.1 percent of the average SCCF project's budget. The high proportion of co-financing can partly be explained by a common GEF Agency approach, whereby SCCF money is not used to support a discrete, standalone project, rather it finances the introduction or mainstreaming of adaptation across an existing, larger project.

89. Additional SCCF-related efficiency factors were identified and assessed through interviews with key stakeholders and country field visits. Two closely related, negative factors were consistently raised by interviewees: the lack of SCCF resources, and the unpredictability of

those resources. Although there has been an increase in contributions over time (figure 14),⁴⁶ non-Annex I countries' demand for funding far exceeds the cumulative pledges.

Figure 14: SCCF Cumulative Pledges and Outstanding and Contributions Finalized



90. The GEF has reported that, during the period October 2014 to April 2015, “the funds available in the SCCF could meet just over ten per cent of the demand captured in the priority project concepts submitted to the Secretariat for technical review and Work Program entry.”⁴⁷ Since then the SCCF has only received \$2.29 million in pledges, according to the Financial Report prepared by the Trustee.⁴⁸ This is not anywhere close to the \$100 to \$125 million in SCCF resources required to fulfill the results of the work program envisaged in the Council-endorsed GEF Programming Strategy on Adaptation to Climate Change.⁴⁹

91. Several GEF Agencies indicated that they were reluctant to develop - or to encourage partners to develop - project concepts due to the limited and unpredictable resources, with some Agencies confirming that they had altogether stopped considering or promoting the SCCF

⁴⁶ Based on data from the half-yearly SCCF financial reports prepared by the World Bank Group as Trustee.

⁴⁷ GEF, [Progress Report on the Least Developed Countries Fund and the Special Climate Change Fund](#), May 2015. Council Document GEF/LDCF.SCCF.18/03.

⁴⁸ World Bank, [Status Report for the Special Climate Change Fund; Financial Report prepared by the Trustee as of September 30 2016](#), October 2016. Council Document GEF/LDCF.SCCF.21/Inf.03.

⁴⁹ GEF, [Progress Report on the Least Developed Countries Fund and the Special Climate Change Fund](#), October 2016. Council Document GEF/LDCF.SCCF.21/03.

when discussing proposal developments with project partners. The time, financial cost and political capital required to develop and build support for proposals could not be justified against the high risk of no funding being available. Some Agencies characterized the SCCF resource situation as a vicious circle: no resources are available, so no proposals are developed, which can be interpreted by donors as limited interest or lack of demand, so donors do not provide resources. However, it is vital to note that GEF Agencies routinely stated that demand within non-Annex I countries for SCCF resources continues to be very high, and that alternative financing options for innovative, adaptation-focused projects are very limited, particularly for non-LDCs.

92. Limited resources – and the corresponding reluctance of GEF Agencies to invest in proposal development – may also be affecting the SCCF’s system-wide efficiency in other ways. Some stakeholders interviewed noted that when SCCF resources do become available, GEF Agencies probably will not have many (if any) project proposals that are sufficiently mature. The time required to develop or strengthen proposals may slow down the rate of SCCF resource disbursement, which in turn may negatively affect the Fund’s efficiency even more.

93. Resource unpredictability was also found to affect the willingness of GEF Agencies to use SCCF resources within multi-trust fund projects. GEF Agencies reported that, typically, it would not be possible to include SCCF-supported activities within an MTF project, given any SCCF funding delays would invariably have a negative impact on broader project’s progress and efficiency.

94. Notwithstanding the resource-related problems, GEF Agencies were generally positive about the efficiency of the SCCF proposal development, feedback and approval process. The approval process of the SCCF was often assessed as more efficient and cost-effective than comparable facilities such as the Adaptation Fund and - in particular - the Green Climate Fund. Specifically, GEF Agencies generally felt that the SCCF proposal development and approval process required less staff hours, and was also more efficient given their familiarity with the broader GEF processes that also apply to the SCCF.

95. Interviews indicated that - once SCCF projects had been approved and resources secured - project implementation and monitoring processes were comparable to other GEF-supported projects. This was positive for efficiency, as implementation protocols and processes were already familiar to any project teams that had prior GEF experience. Aside from this, the evaluation did not identify any other positive or negative project implementation efficiency factors that were particularly distinctive or directly attributable to the SCCF.

The Pre-Selection Process for Priority Project Concepts

96. In direct response to a recommendation from the previous Program Evaluation of the Special Climate Change Fund (2011), the GEF Secretariat introduced a pre-selection process for priority project concepts. The pre-selection process aims to increase the transparency of SCCF resource allocation, and to ensure that the value of projects entering the approval process matches the available funds. (box 2)

Box 2: Pre-Selection Process for Priority Project Concepts

The pre-selection process⁵⁰ attempts to ensure the following aspects of the SCCF portfolio:

- a) **Project or Program Quality:** The SCCF proposal must, during the prescreening stage, show promise in terms of technical quality and appear to meet or able to meet, with reasonable modifications, the primary selection criteria.
- b) **Balanced distribution of funds in the eligible countries:** In each new work program, the SCCF strives to support projects and programs in those vulnerable non-Annex I countries which have not yet accessed the SCCF funds and in regions and sub-regions that have previously accessed a relatively lower share of SCCF resources.
- c) **Equitable regional distribution:** SCCF attempts to achieve a regional balance in its portfolio, where all regions are supported proportionally to the number of vulnerable countries that exist within.
- d) **Balanced support for all priority sectors:** Although SCCF has supported projects in most of the priority sectors/outcome areas, there are variances in coverage and consistency, and some gaps remain. In preparation of a new work program attention will be given to support projects and programs in sectors which have hitherto received relatively lower coverage.
- e) **Balanced distribution among GEF Agencies based on comparative advantage:** Depending on the specificities of a given project and the work program as a whole, and consistent with the comparative advantages of the GEF agencies.

97. GEF Agencies that had used the pre-selection approach reported that it had helped with their internal resource allocation and decision-making processes when it came to potential proposal developments. However, given the recent SCCF resource limitations, few GEF Agencies have actually submitted SCCF project concepts since the pre-selection process was introduced in 2012. Moreover, those Agencies that had used the process did not feel that the transparency of decision-making within the GEF Secretariat had improved: a number of Agencies perceived a lack of consistency across funding decisions, and were critical about the absence of substantive feedback provided by the GEF Secretariat to unsuccessful proposals.

⁵⁰ GEF, [Pre-Selection Criteria for Projects and Programs Submitted under the Special Climate Change Fund](#), May 7, 2012. Council Document GEF/LDCF.SCCF.12/Inf.05.

VII. GENDER EQUALITY AND WOMEN'S EMPOWERMENT OBJECTIVES

98. This chapter explores gender dimensions across the SCCF, addressing the following evaluation question: What are the GEEW (Gender equality and the empowerment of women) objectives achieved (or likely to be achieved) and gender mainstreaming principles adhered to by the SCCF? Gender mainstreaming is particularly important for the SCCF, given the Fund's adaptation focus. SCCF projects are almost always designed to directly influence the lives and/or livelihoods of people, therefore gender is expected to be deeply relevant across all the work conducted.

Background: Gender and the SCCF

99. The GEF's *Policy on Gender Mainstreaming*⁵¹ articulates the GEF's commitment to strengthening the GEF's and its partner agencies' promotion of gender equality across GEF operations. The supporting *Gender Equality Action Plan (GEAP)*⁵² operationalizes the policy, aiming to advance both (i) the GEF's goal for attaining global environmental benefits and (ii) gender equality and women's empowerment. Recognizing the diversity of gender policies and strategies across GEF Agencies, the GEAP outlines high-level principles and standards that each GEF Agency policy should meet. Assuming those minimum standards are met, the GEAP does not require Agencies to develop a GEF-specific or LDCF/SCCF-specific gender policy, rather the GEAP asks GEF Agencies to ensure that the GEF Agency's *own* gender policies and strategies are routinely applied to any GEF-funded and LDCF/SCCF-funded projects.

100. The previous, 2011 SCCF Program Evaluation did not analyze gender dimensions, largely due to the absence of a GEF gender policy or framework at that point in time. Subsequent to that evaluation, the *Policy on Gender Mainstreaming* was adopted in 2011 during GEF-5, with the *GEAP* approved in 2014 during GEF-6. Consistent with that framework, from October 2014 onwards SCCF projects have applied GEF's five core gender indicators (annex E), which in turn are used to measure three gender related outcomes, namely:

- (a) **Project design** fully integrates gender concerns
- (b) **Project M&E** gives adequate attention to gender mainstreaming
- (c) **Project implementation** ensures gender-equitable participation in and benefit from project activities

101. The evaluation considered progress towards these three outcomes across the SCCF portfolio, looking in particular at the extent to which gender had been mainstreamed within original strategies and plans (project design), the application of gender responsive results frameworks (project M&E), and a broader assessment of overall gender mainstreaming including during actual project implementation.

⁵¹ GEF, [Policy on Gender Mainstreaming](#), May 2011. Council Document GEF/C.40/10/Rev.1, and Policy Document GEF/SD/PL/02.

⁵² GEF, [Gender Equality Action Plan \(GEAP\)](#), October 2014. Council Document GEF/C.47/09/Rev.01.

102. The evaluation's assessment of gender mainstreaming was grounded in the definitions cited in the GEAP, namely that gender mainstreaming *"is a strategy for making the concerns and experiences of women as well as of men an integral part of the design, implementation, monitoring and evaluation of policies and programs in all political, economic and societal spheres, so that women and men benefit equally, and inequality is not perpetuated"* and that *"mainstreaming involves ensuring that gender perspectives and attention to the goal of gender equality are central to all activities."*⁵³ While this provided the basis for assessment, the evaluation applied a less stringent definition, whereby a project was considered 'gender mainstreamed' if it applied gender perspectives and attention to the goal of gender equality within *most* activities, rather than *"all"* activities.

Gender mainstreaming strategy or plan

103. The portfolio analysis assessed the extent to which project design documentation included a gender mainstreaming strategy or plan. The overall total indicates that a large proportion of SCCF projects – almost 46 percent – have no gender mainstreaming strategy or plan. However, it is vital to note that the proportion reduces markedly as time progresses. For example, while 84.2 percent of SCCF projects had no gender mainstreaming plan during GEF-4, the proportion drops to 29.3 percent for GEF-5, and is down to 12.5 percent for GEF-6 (table 15). Important drivers behind this improvement are almost certainly the introduction of the *GEF Policy on Gender Mainstreaming* during the GEF-5 cycle, and the approval of the *GEAP* during GEF-6.

Table 15: Inclusion of a Gender Mainstreaming Strategy or Plan, by GEF Replenishment Phase

Gender mainstreaming strategy or plan?	GEF-3		GEF-4		GEF-5		GEF-6		Total	
	(#)	(%)	(#)	(%)	(#)	(%)	(#)	(%)	(#)	(%)
Yes	1	16.7%	2	10.5%	3	7.3%	2	25.0%	8	10.8%
No, but development implied	0	0.0%	1	5.3%	26	63.4%	5	62.5%	32	43.2%
No	5	83.3%	16	84.2%	12	29.3%	1	12.5%	34	45.9%
Total:	6	100.0%	19	100.0%	41	100.0%	8	100.0%	74	100.0%

Gender responsive results framework

104. The portfolio analysis also considered the extent to which gender was reflected within project results frameworks and/or M&E strategies and processes, including indicators. The pattern is similar to that found for gender mainstreaming strategies and plans; while the portfolio-wide proportion of SCCF projects without gender responsive results frameworks is relatively high (over 35 percent), this improves markedly as time progresses. In particular, the proportion of projects that do not have gender responsive results frameworks is considerably

⁵³ Ibid, 7.

lower for GEF-5 (14.6 percent) and GEF-6 (12.5 percent). See table 16. Again, this improvement is attributable – at least in part – to the introduction of GEF’s *Policy on Gender Mainstreaming* during the GEF-5 cycle, and the approval of the *GEAP* during GEF-6. A similar trend is observed for the larger project portfolio analyzed for the sixth Overall Performance Studies (OPS6).⁵⁴

Table 16: Inclusion of a Gender-Responsive Results Framework, Including Gender Disaggregated Indicators, by GEF Replenishment Phase

Gender results framework and gender disaggregated indicators?	GEF-3		GEF-4		GEF-5		GEF-6		Total	
	(#)	(%)	(#)	(%)	(#)	(%)	(#)	(%)	(#)	(%)
Yes	0	0.0%	5	26.3%	26	63.4%	7	87.5%	38	51.4%
No, but development implied	0	0.0%	1	5.3%	9	22.0%	0	0.0%	10	13.5%
No	6	100.0%	13	68.4%	6	14.6%	1	12.5%	26	35.1%
Total:	6	100.0%	19	100.0%	41	100.0%	8	100.0%	74	100.0%

Gender mainstreaming

105. The final part of the gender analysis focused on the ultimate goal of gender mainstreaming. For this analysis, the evaluation team made use of a new gender rating, which was initially developed as part of the 2016 LDCF program evaluation. The gender ratings used to assess the SCCF portfolio of projects are as follows:

- (a) **Not gender relevant.** Gender plays no role in the planned intervention.
- (b) **Gender blind.** Project does not demonstrate awareness of the set of roles, rights, responsibilities, and power relations associated with being male or female.
- (c) **Gender aware.** Project recognizes the economic/social/political roles, rights, entitlements, responsibilities, obligations, and power relations socially assigned to men and women, but might work around existing gender differences and inequalities or does not sufficiently show how it addresses gender differences and promotes gender equalities.
- (d) **Gender sensitive.** Project adopts gender-sensitive methodologies (a gender assessment is undertaken, gender-disaggregated data are collected, gender-sensitive indicators are integrated in M&E) to address gender differences and promote gender equality.
- (e) **Gender mainstreamed.** Project ensures that gender perspectives and attention to the goal of gender equality are central to most, if not all, activities. It assesses the implications for women and men of any planned action, including legislation, policies, or programs, in any area and at all levels.

⁵⁴ IEO, OPS6 Sub-study on Gender Mainstreaming in the GEF, May 2017.

- (f) **Gender transformative.** Project goes beyond gender mainstreaming and facilitates a critical examination of gender norms, roles, and relationships; strengthens or creates systems that support gender equity; and/or questions and changes gender norms and dynamics.

The gender ratings are further explained in annex H, as part of the portfolio review protocol.

106. Firstly, no projects within the entire SCCF portfolio were identified as ‘not gender relevant’; gender therefore played or plays a role in *all* SCCF interventions. Conversely, no projects were identified as gender-transformative; from a gender perspective there are no exceptional performers within the SCCF portfolio, going beyond being gender mainstreamed. However, a majority of projects – over 65 percent – was assessed as either gender-sensitive or gender-mainstreamed.

107. Continuing the same pattern identified within the evaluation’s other gender-related analyses, gender mainstreaming performance has improved over time. Again, this improvement is most apparent within the GEF-5 and GEF-6 cycles (table 17 and figure 15).

Table 17: Overall Assessment of Projects' Inclusion of Gender Component, by GEF Replenishment Phase

Gender rating	GEF-3		GEF-4		GEF-5		GEF-6		Total	
	(#)	(%)	(#)	(%)	(#)	(%)	(#)	(%)	(#)	(%)
Gender-blind	1	16.7%	7	36.8%	1	2.4%	1	12.5%	10	13.5%
Gender-aware	5	83.3%	4	21.1%	7	17.1%	0	0.0%	16	21.6%
Gender-sensitive	0	0.0%	7	36.8%	29	70.7%	6	75.0%	42	56.8%
Gender-mainstreamed	0	0.0%	1	5.3%	4	9.8%	1	12.5%	6	8.1%
Total:	6	100.0%	19	100.0%	41	100.0%	8	100.0%	74	100.0%

108. The evaluation team used a Weighted Gender Rating Score to make comparisons between sets of projects. The score gives one point for a gender aware project, two points for gender sensitive, three points for gender mainstreamed and four points for each gender transformative project. The sum of these is then divided by the total number of projects, giving a Weighted Gender Rating Score, with a value between zero and four; zero being gender blind, four being gender transformative, and a value of three being gender mainstreamed (figure 16).

Figure 15: Gender rating by GEF Replenishment Phase

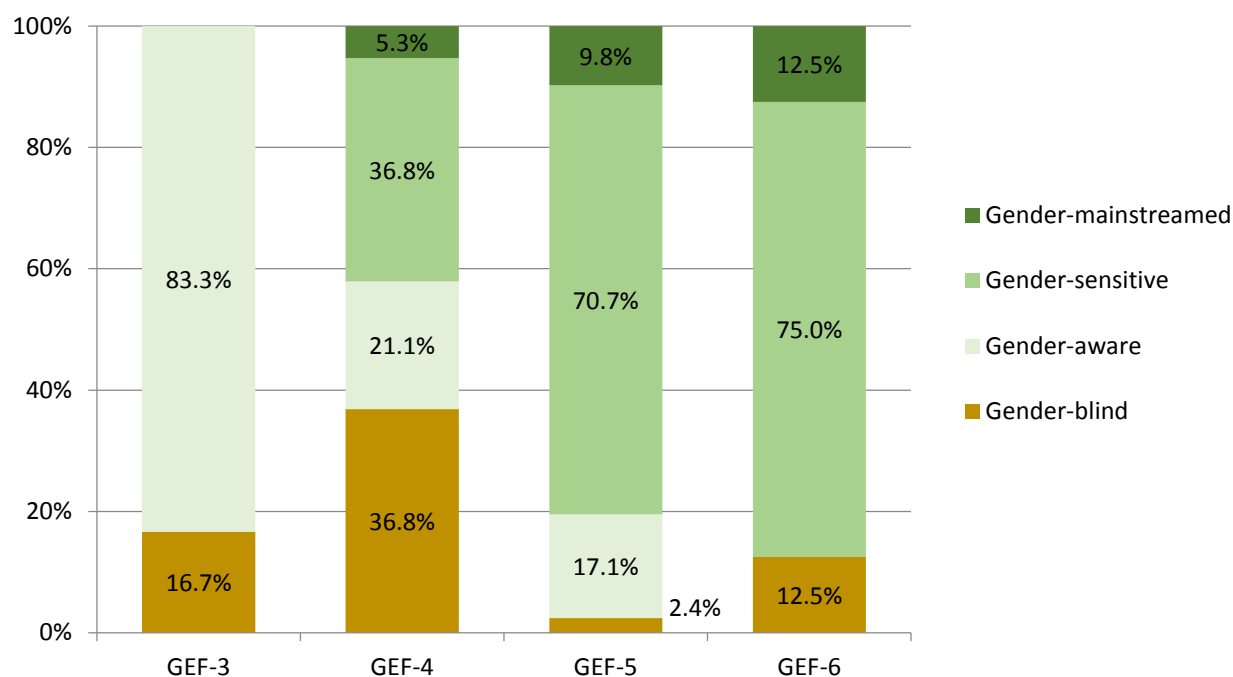


Figure 16: Weighted Gender Rating Score Equation

$$\text{Weighted gender rating score} = \frac{\text{No. of gender aware projects} + (\text{No. of gender sensitive projects} \times 2) + (\text{No. of gender mainstreamed projects} \times 3) + (\text{No. of gender transformative projects} \times 4)}{\text{Total number of projects}}$$

109. Given that similar gender data is available from the Program Evaluation of the LDCF⁵⁵ and the Sixth Overall Performance Study of the GEF (OPS6) Gender Sub-Study⁵⁶ it is possible to compare the score between Funds. When excluding LDCF/SCCF data from the OPS6 Gender Sub-Study's quality-at-entry analysis, the Weighted Gender Rating Score for GEF-6 is 1.62. The quality-at-entry score from the LDCF and SCCF data sets - as part of the LDCF and SCCF Program Evaluations of 2016 and 2017 - is 1.77 and 1.82 respectively. This shows that the adaptation focused sets of projects under the LDCF and SCCF score slightly higher than the GEF Trust Fund projects part of the OPS6 cohort.

110. Country field visits were used to validate the gender ratings derived through the portfolio analysis. The initial ratings were found to be mostly accurate, although the Ghanaian

⁵⁵ IEO, [Program Evaluation of the Least Developed Countries Fund](#), September 2016.

⁵⁶ IEO, OPS6 Sub-study on Gender Mainstreaming in the GEF, May 2017.

PROVACCA project (GEF ID 4368) - currently under implementation - was found to be 'gender-mainstreamed' rather than 'gender-sensitive'.

111. The same project also serves to illustrate some typical characteristics of a 'gender-mainstreamed' project within the context of SCCF. A gender definition and guiding principles for the project were developed, a gender specialist is part of the core project team, and several direct actions have been undertaken to ensure gender sensitivity. These include gender sensitivity training for all implementation team members, and ensuring that women, youth and vulnerable people are not excluded from community-level capacity development (with, for example, women-only training and consultation sessions delivered where necessary). The project's approach and activities are geared towards ensuring the broad participation of women, particularly during decision-making processes. The participation of women is particularly strong within the project's producer group-focused activities, given that women dominate this part of the cassava production value chain in Ghana. There are initial signs that some gender-related results have been delivered. Unprompted, one male farmer participant stated that (to paraphrase) *"the project has increased our respect for women...we now recognize the value they can bring to farming...it has been a real eye-opener."* While this kind of result was commonly reported by project implementation team members, it was striking to hear the same assertion being made directly and spontaneously by a project beneficiary.

112. Other SCCF projects assessed during country visits illustrate typical characteristics of 'gender-aware' and 'gender-sensitive' interventions. The PhilCCAP project in the Philippines (GEF ID 3243) was rated 'gender-aware'. While an initial social assessment informed the project's design (and this assessment looked at potential impacts across a large cross-section of social groups), there was no subsequent analysis of – or reporting on – gender dimensions. Moreover, no gender focal point was appointed to the project team.

113. Also in the Philippines, the WIBI Mindanao project (GEF ID 4967) was rated 'gender-sensitive'. This project benefited from an initial gender assessment, which consistently applied gender-disaggregated and gender-sensitive data to inform and develop project design. Subsequently, clear steps were taken to proactively address gender-related problems; for example, project partners were appointed explicitly on the basis of their prior experience in using women's empowerment and gender equity approaches. However, the project is at too early a stage to assess the actual or even potential results from a gender perspective.

114. The PROLENCA-GEF project in Honduras (GEF ID 4657) that started implementation recently was also rated 'gender sensitive'. The project is currently developing a gender strategy as called for in the project design. This strategy will consider the different gender roles, responsibilities, and rights at the level of production chains in the context of the rural and indigenous cultures of the population living in the project site areas. The startup workshop held in March 2017 with key stakeholders established criteria to identify barriers faced by vulnerable groups, especially indigenous peoples, to define activities to reduce their vulnerability. It is expected that these actions will ensure that women's participation is integrated into project activities. A gender specialist will assist the project team with the development and implementation of the gender strategy.

115. Across all projects assessed during country visits, there was limited awareness amongst SCCF project implementation teams of either the GEF's *Policy on Gender Mainstreaming*, or the *GEAP*. However, it is not clear whether this lack of awareness had any detrimental effect on gender performance. After all – and as discussed above – the GEF *Policy on Gender Mainstreaming* and *GEAP* requirements are that GEF Agencies have a robust gender policy, and that they systematically apply that policy within all GEF related work. So by applying their own robust gender policies, GEF Agencies and implementation partners are *inherently* adhering to the GEF's *Policy on Gender Mainstreaming* and the *GEAP*.

VIII. EMERGING RESULTS AND THEIR SUSTAINABILITY

116. This chapter explores the extent to which tangible results have been delivered through SCCF support. This includes an analysis of the SCCF portfolio of completed projects' catalytic effects, and an assessment of the portfolio's contributions to global environmental benefits beyond the SCCF's primary focus of climate change adaptation. Factors that could affect the sustainability of emerging results are also discussed. The following evaluation questions are addressed:

- (a) What are the emerging results produced by the SCCF to this point?
- (b) To what extent are the emerging results of SCCF support sustainable?

117. The results assessment was mainly informed by the evaluation's portfolio analysis of completed projects, but country visits and key stakeholder interviews helped to validate and deepen the portfolio-level results analysis.

Catalytic Effects of the SCCF

118. Two different sets of potential catalytic effects were analyzed. The first analysis considered SCCF projects against a broadly linear sequence of four catalytic effects that influential projects could be expected to follow:

- (a) **Production of a public good.** The project developed or introduced new technologies and/or approaches. No significant actions were taken to build on this achievement, so the catalytic effect is left to market forces
- (b) **Demonstration.** After the production of a public good, demonstration sites, successful information dissemination, and/or training was implemented to further catalyze the new technologies/approaches
- (c) **Replication.** Activities, demonstrations, and/or techniques are repeated within or outside the project
- (d) **Scaling-up.** Approaches developed through the project are taken up on a regional/national scale, becoming widely accepted.

119. This first analysis focused on 15 completed projects for which terminal evaluations (TEs) were available (table 18). Virtually all projects were found to have achieved – at least to a

moderate extent – the first two effects on the catalytic chain, namely ‘production of a public good’ and ‘demonstration’. Farmer-focused projects were the most typical, with – for example – drought resistant crop varieties introduced and demonstrated to new farmers and communities. Performance was not as strong against the latter two catalytic steps, ‘replication’ and ‘scaling-up’, nevertheless two-thirds of projects did deliver ‘replication’ to at least a moderate extent, and over half of projects demonstrated a degree of ‘scaling-up’ (again, to at least a moderate extent). See figure 17.

Table 18: Overview of Completed SCCF Projects

GEF ID	Agency	Project Title	Country	Year of Project Completion	SCCF Funding (M\$) ¹	Outcome rating ²	Sustainability of Outcomes rating ³	Quality-at-Entry: Probability that the project will deliver tangible adaptation benefits in line with set objectives ⁴
2553	WHO	Piloting Climate Change Adaptation to Protect Human Health	Global	2015	4.97	MS	MU	Very high
2832	UNDP	Mainstreaming Climate Change in Integrated Water Resource Management in Pangani River Basin	Tanzania	2011	1.00	MS	ML	High
2902	World Bank	Adaptation to the Impact of Rapid Glacier Retreat in the Tropical Andes	Regional	2014	8.08	MS	ML	Very high
2931	UNDP	Adaptation to Climate Change through Effective Water Governance	Ecuador	2015	3.35	MS	L	High
3101	UNDP	Pacific Adaptation to Climate Change Project (PACC)	Regional	2014	13.48	MS	ML	High
3154	UNDP	Coping with Drought and Climate Change	Ethiopia	2013	1.00	S	MU	High
3155	UNDP	Coping with Drought and Climate Change	Mozambique	2013	0.96	MS	ML	Very High
3156	UNDP	Coping with Drought and Climate Change	Zimbabwe	2012	0.98	S	ML	Very high
3218	UNDP	Integrating Climate Change into the Management of Priority Health Risks	Ghana	2016	1.72	TER rating not yet available		
3227	World Bank	Conservancy Adaptation	Guyana	2013	3.80	MS	ML	Very High

¹ GEF Funding amount excludes agency fees. If available, at completion values are used, otherwise the values at endorsement are used.

² GEF/GEF Agency six-point rating scale: Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), and Highly Unsatisfactory (HU). Alternatively, the rating might be Not Rated (NR) by the implementing agency.

³ GEF/GEF Agency four-point scale: Likely (L), Moderately Likely (ML), Moderately Unlikely (MU), and Unlikely (U).

⁴ A four-point scale is used: Very High, High, Low, Very Low.

Table 18: Continued

GEF ID	Agency	Project Title	Country	Year of Project Completion	SCCF Funding (M\$) ¹	Outcome rating ²	Sustainability of Outcomes rating ³	Quality-at-Entry: Probability that the project will deliver tangible adaptation benefits in line with set objectives ⁴
3249	UNDP	Adaptation to Climate Change in Arid Lands (KACCALI)	Kenya	2014	6.79	MS	ML	High
3265	World Bank	Mainstreaming Adaptation to Climate Change into Water Resources Management and Rural Development	People's Republic of China	2012	5.32	S	L	High
3299	UNDP	Strengthening the Capacity of Vulnerable Coastal Communities to Address the Risk of Climate Change and Extreme Weather Events	Thailand	2014	0.91	MS	ML	High
3679	UNEP	Economic Analysis of Adaptation Options	Global	2010	1.00	MU	MU	Low
3967	World Bank	Integrating Climate Change in Development Planning and Disaster Prevention to Increase Resilience of Agricultural and Water Sectors	Morocco	2015	4.55	TER rating not yet available		

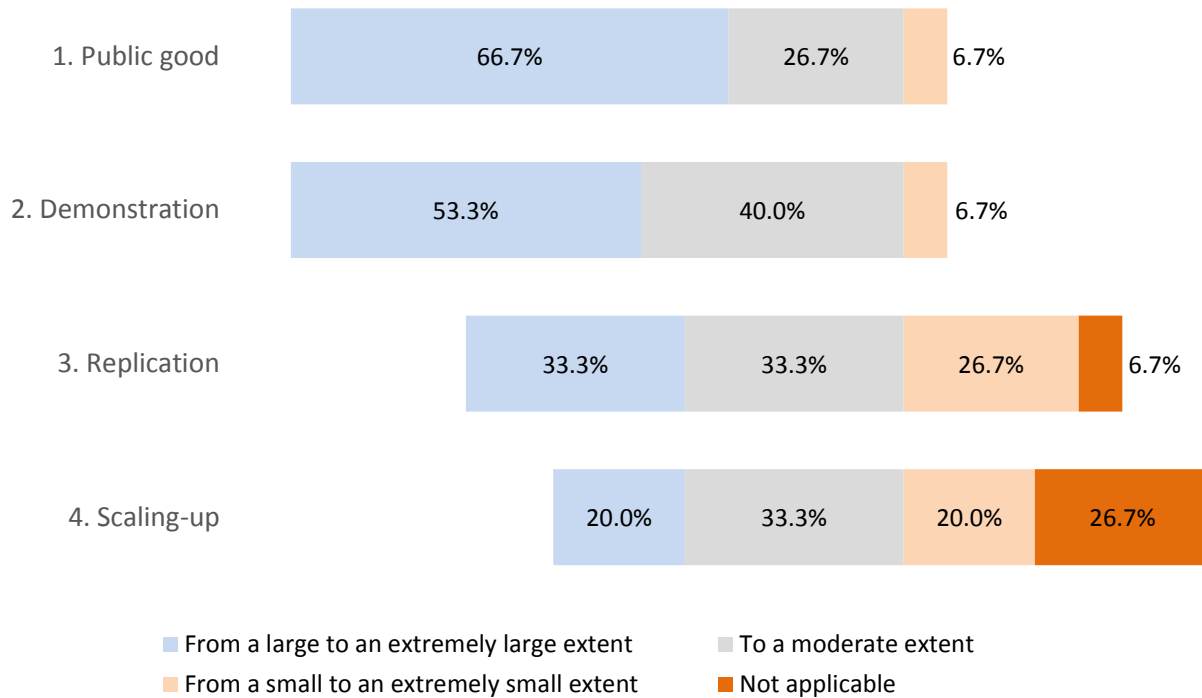
¹ GEF Funding amount excludes agency fees. If available, at completion values are used, otherwise the values at endorsement are used.

² GEF/GEF Agency six-point rating scale: Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), and Highly Unsatisfactory (HU). Alternatively, the rating might be Not Rated (NR) by the implementing agency.

³ GEF/GEF Agency four-point scale: Likely (L), Moderately Likely (ML), Moderately Unlikely (MU), and Unlikely (U).

⁴ A four-point scale is used: Very High, High, Low, Very Low.

Figure 17: Catalytic Effects of Completed Projects



120. The above findings on the catalytic chain were supported by country visits and stakeholder interviews, which validated the general finding that it becomes more challenging to achieve catalytic effects as a project moves up the catalytic chain. A frequent observation by project implementation teams and GEF Agencies was that most projects certainly had obvious *potential* to achieve the ultimate catalytic goal of scaling-up, but that the key constraint was the post-implementation difficulty in securing sufficient resources and/or mainstreaming the work within, for example, national budgets. Examples of replication effects were perhaps most prevalent within agriculture-focused projects, with farmer-to-farmer learning and exchange cited in two separate terminal evaluations of the “Coping with Drought and Climate Change” projects (Ethiopia, GEF ID 3154; Mozambique, GEF ID 3155). Although still under implementation, the Ghanaian PROVACCA project (GEF ID 4368) visited during the Ghana country field visit is already demonstrating similar agricultural replication effects between direct project beneficiaries and farmers / communities that are not formally participating in the project.

121. Scaling-up was the least evident catalytic effect, with terminal evaluations tending to discuss the *potential* for scaling-up. In this context, a number of evaluations identified the institutional capacities that were developed and the political awareness that was built as being two critical foundations for possible future upscaling of SCCF investments.

122. The World Bank's regional project, titled "Adaptation to the Impact of Rapid Glacier Retreat in the Tropical Andes" (GEF ID 2902) performed well on scaling up. The perception of the benefits of some adaptation activities implemented in Ecuador, for example the adaptive cattle management, has been so positive and immediate that replication is already taking place. It is expected that it will soon influence local and regional policy and investment decisions. The activities in Papallacta Ecuador, have served as basis upon which the Environment Ministry is building a larger adaptation program in the. Also, the project has contributed to the formulation of strategies and investment activities of the water utility company through the development of the Adaptive Management Plan for the Pita-Puengasi water supply system. In Bolivia, two investment projects, identified as immediate actions to ensure water supply in the medium term for La Paz and El Alto, have been developed by the project. In Peru, adaptation activities and scientific modeling have informed investment decisions; for instance, the municipality of Santa Teresa has developed a project on food safety based on the results of the studies of agro-biodiversity and agro-climatology under the project. Based on the experience in Santa Teresa, the local governments of Echarate and Maranura in the province of La Convencion in Cusco are developing adaptation projects with their own resources. The World Bank project in the People's Republic of China, titled "Mainstreaming Adaptation to Climate Change into Water Resources Management and Rural Development" (GEF ID 3265), provides another example of a project that performed well on scaling-up. The State Office and Provincial Offices of Comprehensive Agricultural Development (SOCAD/POCADs) are committed to scale up project success in their major ongoing national comprehensive agriculture development (CAD) programs. Good practices and lessons learned are also being scaled-up through the provincial CAD program and a World Bank-financed follow-on project; the China-Integrated Modern Agriculture Development Project (IAIL4) that will take place in six more provinces. Some of the technical and institutional innovations introduced under the project are being adopted in policy, planning and investment for climate change adaptation into the SOCAD's national CAD investment program. Both the Andean region project and the project in the People's Republic of China received outcome ratings in the satisfactory range and sustainability ratings in the likely range.

123. The completed projects in table 18 also received a quality-at-entry review, only taking into account the project documentation available at CEO endorsement. Those projects that received a 'high' or 'very high' rating on their probability (at entry) to deliver tangible adaptation benefits in line with set objectives, also received an outcome rating in the satisfactory range upon completion.

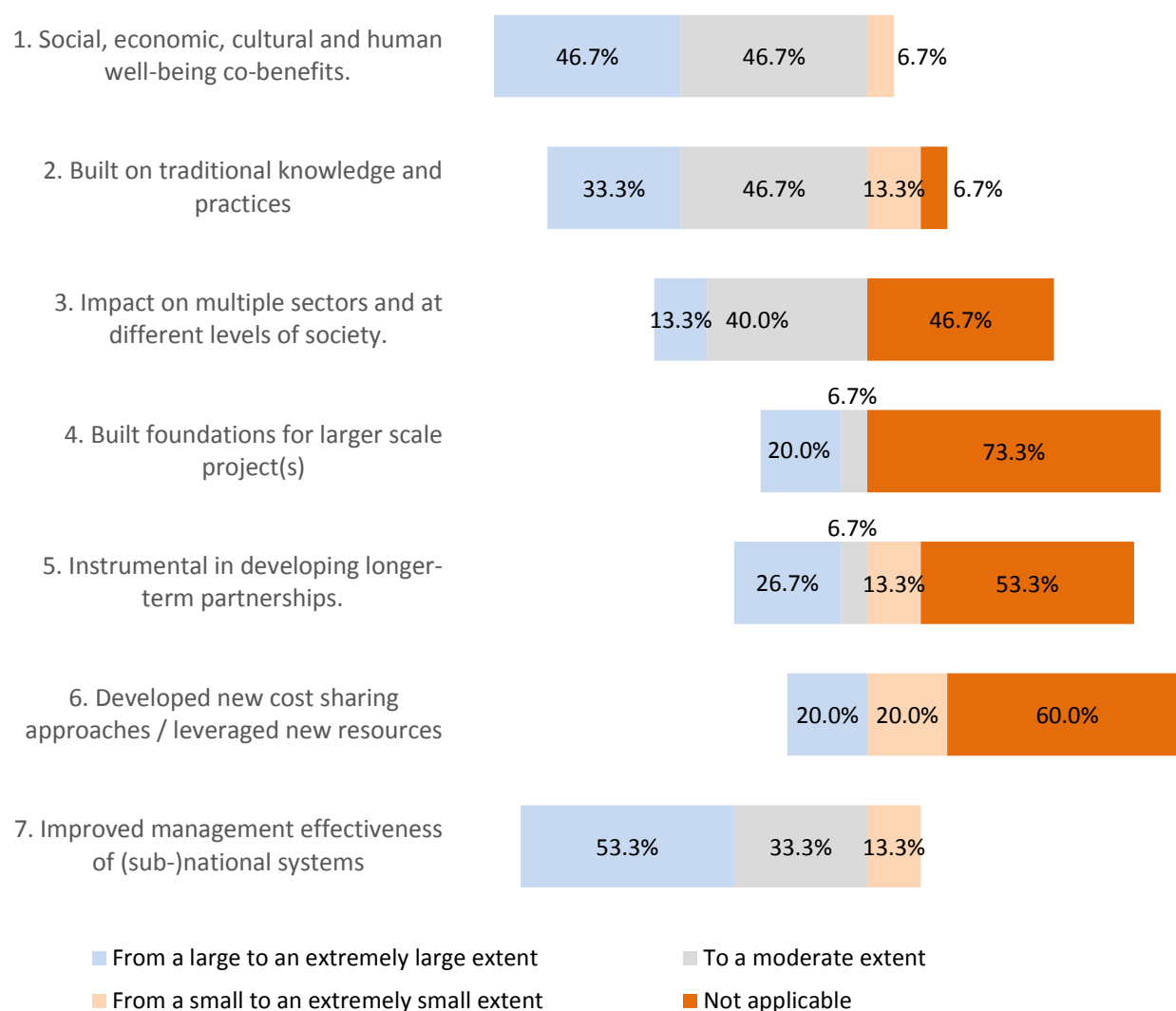
124. The same 15 completed projects were also assessed against a second set of potential catalytic effects, comprised of seven indicators relating to development results and program management processes as identified by stakeholders and noted in terminal evaluations:

- (a) Social, economic, cultural and human well-being co-benefits
- (b) Built on traditional knowledge and practices
- (c) Impact on multiple sectors and at different levels of society
- (d) Built foundations for larger scale project(s)

- (e) Instrumental in developing longer-term partnerships
- (f) Developed new cost sharing approaches / leveraged new resources
- (g) Improved management effectiveness of (sub-)national systems.

125. While the SCCF portfolio delivered at least some catalytic effects against all seven indicators, results were considerably more pronounced against three indicators, namely ‘social, economic, cultural and human well-being co-benefits’, ‘built on traditional knowledge and practices’, and ‘improved management effectiveness of (sub-)national systems’ (figure 18). The relative strength of contribution against these three catalytic effects can largely be explained by the SCCF’s focus on adaptation. The three effects – co-benefits, building on traditional practice, adjusting/improving national systems – are more adaptation-relevant and focused than the other effects, so it follows that SCCF interventions would be more aligned to those indicators.

Figure 18: Catalytic Effects of Completed Projects, as Identified by Stakeholders



SCCF Support in Relation to Global Environmental Benefits (GEBs)

126. One of the pillars of the GEF Programming Strategy on Adaptation is the expansion of synergies between climate change adaptation and other GEF focal areas. In support of this strategic pillar, adaptation-focused interventions that are financed under the SCCF should also aim to contribute to GEBs.⁵⁷ While contributions to GEBs are *desirable* for all SCCF projects, this becomes a *requirement* for multi-trust fund projects and multi-focal area projects. However, there were only nine multi-trust fund SCCF projects, and only four multi-focal area SCCF projects. To obtain a broader assessment, the evaluation consequently analyzed the entire SCCF portfolio (74 projects), identifying the extent to which projects were likely to contribute to any of the following six global environmental benefits:

- (a) Maintain globally significant biodiversity and the ecosystem goods and services that it provides to society
- (b) Sustainable land management in production systems, i.e., agriculture, rangelands, and forest landscapes
- (c) Promotion of collective management of trans-boundary water systems and implementation of the full range of policy, legal, and institutional reforms and investments contributing to sustainable use and maintenance of ecosystem services
- (d) Support to transformational shifts toward a low-emission and resilient development path
- (e) Increase in phase-out, disposal, and reduction of releases of POPs, ODS, mercury, and other chemicals of global concern
- (f) Enhance capacity of countries to implement multilateral environmental agreements (MEAs) and mainstream these MEAs into national and sub-national policy, planning, financial, and legal frameworks.

127. The analysis indicates that the SCCF portfolio's likely contributions to global environmental benefits will be very limited. This is perhaps not surprising, given that GEB contributions are not mandatory for the majority of SCCF projects. Where contributions are apparent or likely, these will be delivered mainly through the 'sustainable land management' GEB (figure 19). Again this is perhaps unsurprising, as sustainable land management is arguably the GEB that has the greatest, clearest relevance to adaptation.

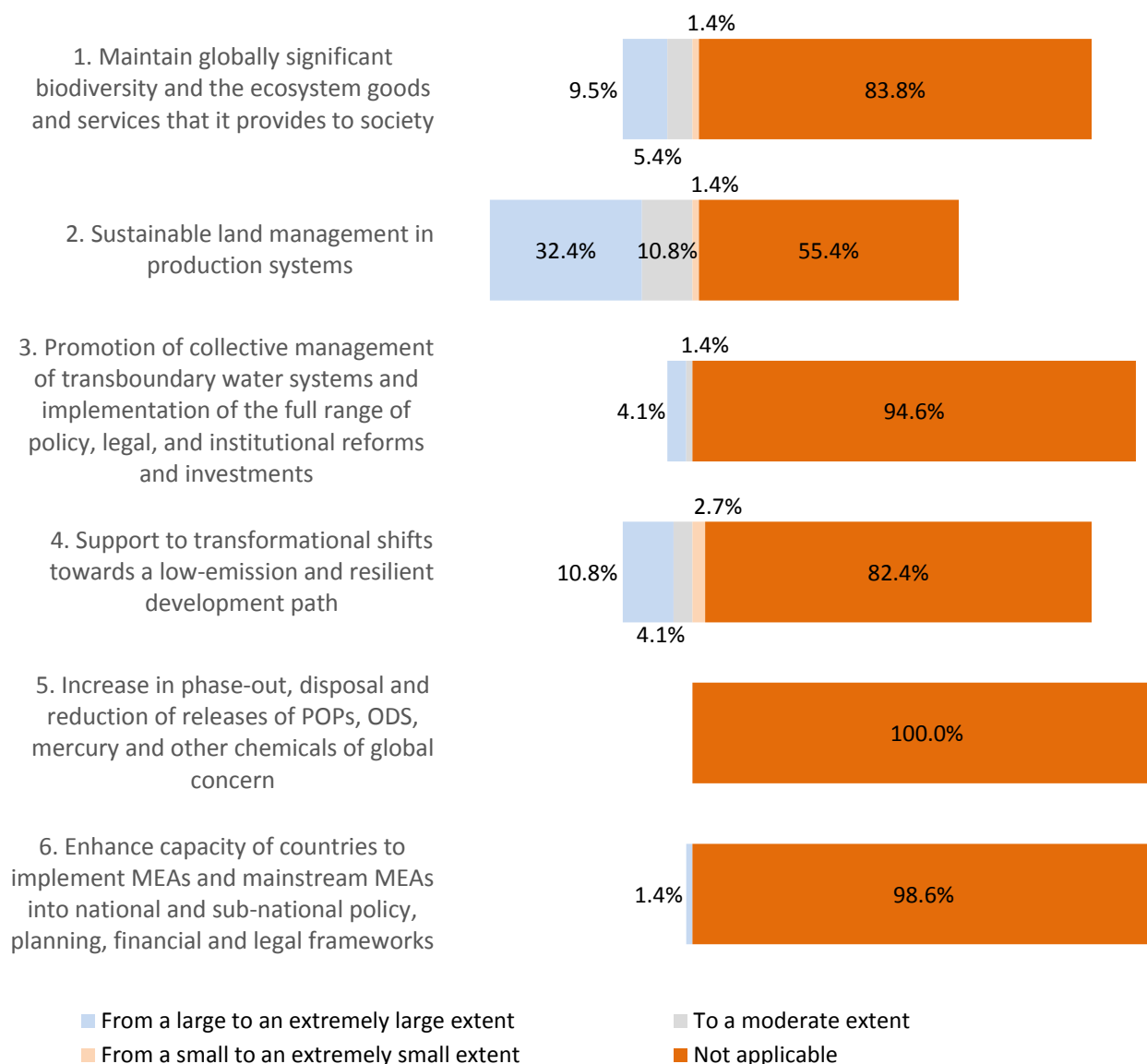
128. When reviewing the extent to which SCCF projects supported other (non-climate change) GEF focal areas, the analysis showed that close to 19 percent of projects appear likely to provide support in the ozone depleting substance (ODS) focal area (table 9). This appears to be at odds with the lack of support to the phase-out, disposal, and reduction of releases of POPs, ODS, mercury, and other chemicals of global concern (figure 19). The projects identified as supporting the ODS focal area did so by developing enabling conditions, tools and

⁵⁷ GEF, [Report on the Sixth Replenishment of the GEF Trust Fund](#) (table 2), May 2014. Assembly Document GEF/A.5/07/Rev.01.

environment for the sound management of harmful chemicals and wastes, but did not directly focus on reducing the prevalence of harmful chemicals and waste.

129. A broader point around the relationship between the SCCF and GEBs was often raised during the course of the evaluation; during interview discussions on GEB-related results, a number of stakeholders cautioned against linking the SCCF's adaptation-focused interventions to GEBs. Adaptation support was often required – and was often *of most need* – in project settings and geographic locations that do not necessarily offer *any* opportunity for delivering other, non-adaptation related GEBs. Consequently, some stakeholders felt that if projects were ever *required* to deliver GEBs, there would be a significant risk that some high priority adaptation work would 'lose' its eligibility for funding.

Figure 19: Potential Contribution of SCCF Projects to Global Environmental Benefits



Sustainability of Emerging Results

130. In line with the GEF Independent Evaluation Office's Annual Performance Reports (APRs), sustainability is defined as the likelihood that a project's initially planned outcomes (as articulated in project design documentation) will continue after project implementation. For this evaluation, the portfolio analysis' assessment of sustainability was based on all completed SCCF projects that had terminal evaluations and for which TER ratings were available (n = 13). The assessment took into account four risk factors (financial, sociopolitical, institutional frameworks and governance, and environmental), then derived a rating for each project whereby the likely sustainability of a project's outcomes was graded against a four-point scale (unlikely, moderately unlikely, moderately likely, likely).

131. The ratings were largely positive; no projects were assessed as having outcomes that were 'unlikely' to be sustainable, and only 3 projects were rated as 'moderately unlikely' (table 18). Across those projects rated 'moderately unlikely' to have sustainable outcomes, a common theme was the lack or weakness of sustainability-focused planning within the original design documentation.

132. Despite a highly diverse set of projects and activities, terminal evaluations and performance reviews were reasonably consistent when it came to identifying the likely success factors for sustainability. The most common factor was the strength of national frameworks and institutions, and the extent to which these structures were already geared towards climate change and adaptation. The existence of national climate change policies and departments were critical, but – of course – the most frequently identified determinant of sustainability was the extent of financial and human resources that would be made available to an SCCF-supported intervention, post-implementation.

133. A second, commonly identified factor was the extent to which SCCF project interventions, outputs and outcomes were grounded within existing local contexts; sustainability was assessed to be far more likely if interventions were based around existing, familiar technologies, institutions, and practices. Such approaches, after all, align with the very definition of 'adaptation'; adapting existing processes and structures, rather than introducing completely new systems and processes.

IX. CONCLUSIONS AND RECOMMENDATIONS

Conclusions

134. In its evaluation of the SCCF, the IEO reached the following eight conclusions.

135. **Conclusion 1. SCCF support has been highly relevant to UNFCCC guidance, to GEF adaptation strategic objectives, and to countries' national environmental and sustainable development goals and agendas.** The evaluation confirmed that there is a high degree of coherence between the SCCF portfolio's project objectives and the priorities and guidance provided to the Fund from the UNFCCC. The SCCF portfolio is also highly complementary to the three GEF adaptation strategic objectives of reducing vulnerability, strengthening capacities, and mainstreaming adaptation. SCCF projects were also found to be strongly country-driven, and well-aligned with national environmental and sustainable development policies, plans and priorities, including - but not limited to – countries' specific climate change goals.

136. **Conclusion 2. The relevance of SCCF support to other, non-adaptation GEF focal areas – and to GEF's global environmental benefits – is limited.** The extent to which SCCF projects were relevant to other (non-adaptation) GEF focal areas was limited. While almost 45 percent of projects will potentially contribute to the GEF focal area of 'land degradation', the apparent potential for contributing to other focal areas is far more modest. Similarly, the SCCF portfolio's likely contributions to global environmental benefits (GEBs) will be very limited, and will be restricted to the GEB of 'sustainable land management'.

137. **Conclusion 3. The SCCF's niche within the global adaptation finance arena has been its accessibility for non-Annex I countries, and its support for innovative adaptation projects.** The accessibility of the SCCF to non-Annex I countries was consistently identified by stakeholders as the main distinguishing factor of the Fund, with this being particularly important given the lack of other adaptation-focused grant sources for non-LDCs. The SCCF's support for innovative projects was also identified as another comparatively distinctive element of the Fund. This openness to innovation was seen to be particularly important in light of the nascent Green Climate Fund (GCF); a number of stakeholders felt that the SCCF had the potential to be the ideal 'incubator' for countries to test and refine project concepts, prior to seeking large-scale finance through the GCF.

138. **Conclusion 4. The SCCF portfolio is highly likely to deliver tangible adaptation benefits and catalytic effects.** The evaluation estimated that virtually all SCCF projects (98.7 percent) had either a high or a very high probability of delivering tangible adaptation benefits; this was supported by evidence gathered during evaluation country visits of benefits already being delivered by SCCF projects. Virtually all projects were also found to have achieved some degree of catalytic effect, whereby SCCF work had a positive influence on activities, outputs and outcomes beyond the immediate project.

139. **Conclusion 5. The ultimate catalytic effect of scaling-up often demands further investments.** Most projects had obvious potential to achieve the ultimate catalytic goal of scaling-up and a number of evaluations identified the institutional capacities that were developed and the political awareness that was built as being two critical foundations for possible future upscaling. But the key constraint to actual scaling-up was the post-implementation difficulty in securing sufficient resources and/or mainstreaming the work within, for example, national budgets.

140. **Conclusion 6. The SCCF's effectiveness and efficiency has been seriously undermined by limited and unpredictable resources.** Despite the continued relevance of the Fund, its popularity amongst non-Annex I countries, and evidence that tangible adaptation results are being delivered, the SCCF's resources have been completely inadequate to meet demand, with contributions to the Fund effectively stalled since 2014. This is obviously affecting the SCCF's short-term performance, but there is a significant risk that longer-term performance is also being undermined: as a direct consequence of the limited and unpredictable resources, some GEF Agencies have confirmed that they are no longer considering or promoting the SCCF when discussing proposal developments with project partners. The time, financial cost and political capital required to develop and build support for proposals could not be justified against the high risk of no funding being available. The SCCF resource situation can be characterized as a vicious circle: no resources are available, so no proposals are developed, which can be interpreted by donors as limited interest or lack of demand, so donors do not provide resources.

141. **Conclusion 7. The gender sensitivity of the SCCF portfolio has strengthened over time, with this improvement almost certainly influenced by the GEF's Policy on Gender Mainstreaming and Gender Equality Action Plan.** Based on analysis of three project elements – project design, project M&E, and project implementation – the evaluation found that the gender sensitivity of SCCF projects has improved markedly across all three elements. For example, while 84.2 percent of SCCF projects during GEF-4 had no gender mainstreaming plan, this proportion dropped to 12.5 percent during GEF-6. Important drivers behind this improvement are almost certainly the introduction of the GEF Policy on Gender Mainstreaming during the GEF-5 cycle, and the approval of the Gender Equality Action Plan during GEF-6.

142. **Conclusion 8. There are significant discrepancies in project data from the GEF Secretariat's Project Management Information System (PMIS).** A quality assessment of PMIS information was not a specific objective of this evaluation, but project data harvesting from the PMIS revealed - for example - that 64 of the 117 projects reviewed had an incorrect project status in PMIS. Moreover, cross-checking the available project data with GEF Agencies and progress reports to Council revealed further discrepancies in PMIS data.

Recommendations

143. In its evaluation of the SCCF, the IEO reached the following three recommendations.

144. Recommendation 1. Reaffirming and strengthening a recommendation from the previous SCCF Program Evaluation in 2011, the GEF Secretariat should prioritize the development of mechanisms that ensure predictable, adequate and sustainable financing for the Fund, given its support for, and focus on innovation

145. Recommendation 2. The GEF Secretariat should articulate and publicly communicate the SCCF's niche within the global adaptation finance landscape, to include an explicit statement regarding the SCCF's relation with – and complementarity to – the Green Climate Fund.

146. Recommendation 3. The GEF Secretariat should ensure that PMIS data is up to date and accurate.

ANNEX A: UNFCCC COP GUIDANCE AND DECISIONS

Table 19: Overview of UNFCCC COP Guidance and Decisions

COP-6 (II): Bonn, Germany, 16 - 27 July 2001 (FCCC/CP/2001/5)	
I. DECISIONS ADOPTED BY THE CONFERENCE OF THE PARTIES AT THE FIRST PART OF ITS SIXTH SESSION	
Decision 5/CP.6 - Annex, I. FUNDING UNDER THE CONVENTION	
The Conference of the Parties agrees:	
3. That:	
(a) There is a need for funding, including funding that is new and additional to contributions that are allocated to the Global Environment Facility climate change focal area and to multilateral and bilateral funding, for the implementation of the Convention;	SCCF general SCCF target audience
(b) Predictable and adequate levels of funding shall be made available to Parties not included in Annex I;	
Decision 5/CP.6 - Annex, I. FUNDING UNDER THE CONVENTION - Special climate change fund	
The Conference of the Parties agrees:	
Par. 1. That a special climate change fund shall be established to finance activities, programmes and measures related to climate change, that are complementary to those funded by the resources allocated to the Global Environment Facility climate change focal area and by bilateral and multilateral funding, in the following areas:	SCCF funding priorities
(a) Adaptation;	
(b) Technology transfer;	
(c) Energy, transport, industry, agriculture, forestry and waste management; and	

(d) Activities to assist developing country Parties referred to under Article 4, paragraph 8 (h), in diversifying their economies.	
Par. 2. That the Parties included in Annex II and other Parties included in Annex I that are in a position to do so shall be invited to contribute to the fund, which shall be operated by an entity which operates the financial mechanism, under the guidance of the Conference of the Parties;	SCCF general
Par. 3. To invite the entity referred to in par. 2 above to make the necessary arrangements for this purpose.	SCCF general
COP-7: Marrakesh, Morocco, 29 October - 10 November 2001 (FCCC/CP/2001/13/Add.1)	
Decision 4/CP.7 - Development and transfer of technologies (decisions 4/CP.4 and 9/CP.5)	
The Conference of the Parties, [...]	
Par. 3. Requests the Global Environment Facility, as an operating entity of the financial mechanism of the Convention, to provide financial support for the implementation of the annexed framework (i.e. the framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention, [...]by increasing and improving the transfer of and access to environmentally sound technologies (ESTs) and know-how) through its climate change focal area and the special climate change fund established under decision 7/CP.7.	Technology transfer
Decision 5/CP.7 - I. ADVERSE EFFECTS OF CLIMATE CHANGE	
Par. 8. Decides that the implementation of the following activities shall be supported through the special climate change fund (in accordance with decision 7/CP.7) and/or the adaptation fund (in accordance with decision 10/CP.7), and other bilateral and multilateral sources:	SCCF funding priorities

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| (a) Starting to implement adaptation activities promptly where sufficient information is available to warrant such activities, inter alia, in the areas of water resources management, land management, agriculture, health, infrastructure development, fragile ecosystems, including mountainous ecosystems, and integrated coastal zone management; | SCCF - Health |
| (b) Improving the monitoring of diseases and vectors affected by climate change, and related forecasting and early-warning systems, and in this context improving disease control and prevention; | SCCF - DRM |
| (c) Supporting capacity building, including institutional capacity, for preventive measures, planning, preparedness and management of disasters relating to climate change, including contingency planning, in particular, for droughts and floods in areas prone to extreme weather events; | SCCF - DRM |
| (d) Strengthening existing and, where needed, establishing national and regional centres and information networks for rapid response to extreme weather events, utilizing information technology as much as possible; | |
-

Decision 5/CP.7 - III. IMPACT OF THE IMPLEMENTATION OF RESPONSE MEASURES

Par. 19. Decides that the implementation of the activities included in paragraphs 25 to 32 below shall be supported through the Global Environment Facility (in accordance with decision 6/CP.7), the special climate change fund (in accordance with decision 7/CP.7), and other bilateral and multilateral sources;	Funding priorities - General
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Decision 7/CP.7 - Funding under the Convention

Par. 2. Decides also that a special climate change fund shall be established to finance activities, programmes and measures, relating to climate change, that are complementary to those funded by the resources allocated to the climate change focal area of Global Environment Facility and by bilateral and multilateral funding, in the following areas: (a) Adaptation, in accordance with paragraph 8 of decision 5/CP.7; (b) Transfer of technologies, in accordance with decision 4/CP.7; (c) Energy, transport, industry, agriculture, forestry and waste management; (d) Activities to assist developing country Parties referred to under Article 4, paragraph 8(h), in diversifying their economies, in accordance with decision 5/CP.7;	SCCF funding priorities
Par. 4. Invites the entity referred to in paragraph 3 above to make the necessary arrangements for this purpose and report thereon to the Conference of the Parties at its eighth session for appropriate action;	SCCF general
COP-8: New Delhi, India, 23 October - 1 November 2002 (FCCC/CP/2002/7/Add.1)	
Decision 7/CP.8 - Initial guidance to an entity entrusted with the operation of the financial mechanism of the Convention, for the operation of the Special Climate Change Fund	
The Conference of the Parties, [...] Par. 1. Decides that, for the operation of the Special Climate Change Fund, the Global Environment Facility, as an entity entrusted with the operation of the financial mechanism of the Convention, should:	SCCF funding principles

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- (a) Promote complementarity of funding between the Special Climate Change Fund and other funds with which the operating entity is entrusted;
 - (b) Ensure financial separation of the Special Climate Change Fund from other funds with which the operating entity is entrusted;
 - (c) Ensure transparency in the operation of the Special Climate Change Fund;
 - (d) Adopt streamlined procedures for the operation of the Special Climate Change Fund while ensuring sound financial management;
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Par. 2. Decides to further define the prioritized activities, programmes and measures to be funded out of the Special Climate Change Fund in areas enumerated in paragraph 2 of decision 7/CP.7 by undertaking the activities described below:

SCCF funding priorities

- (a) Initiating a process now with a view to providing further guidance to the Global Environment Facility, this process to consist of:
 - (i) Requesting Parties to submit to the secretariat, by 15 February 2003, views on activities, programmes and measures referred to in paragraph 2 of decision 7/CP.7;
 - (ii) Requesting the Expert Group on Technology Transfer and the Least Developed Countries Expert Group to submit to the secretariat, as soon as possible, views, relevant to their mandates, on activities, programmes and measures referred to in paragraph 2 of decision 7/CP.7;
 - (iii) Requesting the secretariat to prepare for consideration by the Subsidiary Body for
-

Implementation, at its eighteenth session, a report summarizing and analyzing the above-mentioned submissions;

- (b) Upon completion of such a process, a decision at its ninth session will provide guidance to the Global Environment Facility in order for the Global Environment Facility to operationalize the fund without delay thereafter.

COP-9: Milan, Italy, 1 - 12 December 2003 (FCCC/CP/2003/6/Add.1)

Decision 5/CP.9 - Further guidance to an entity entrusted with the operation of the financial mechanism of the Convention, for the operation of the Special Climate Change Fund

The Conference of the Parties, [...]

Par. 1. Decides that:

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| (a) The Special Climate Change Fund should serve as a catalyst to leverage additional resources from bilateral and other multilateral sources; | SCCF funding principles |
| (b) Activities to be funded should be country-driven, cost-effective and integrated into national sustainable development and poverty-reduction strategies; | SCCF - Adaptation overall
SCCF - Technology transfer |
| (c) Adaptation activities to address the adverse impacts of climate change shall have top priority for funding; | |
| (d) Technology transfer and its associated capacity-building activities shall also be essential areas to receive funding from the Special Climate Change Fund; | |
-

Par. 2. Decides also that the implementation of adaptation activities shall be supported through the Special Climate Change Fund, taking into account national communications or national adaptation programmes of action, and other relevant information provided by the applicant Party, and include:

SCCF - Adaptation overall

(a) Implementation of adaptation activities where sufficient information is available to warrant such activities, inter alia, in the areas of water resources management, land management, agriculture, health, infrastructure development, fragile ecosystems, including mountain ecosystems, and integrated coastal zone management;	SCCF - Health
(b) Improving the monitoring of diseases and vectors affected by climate change, and related forecasting and early warning systems, and in this context improving disease control and prevention;	SCCF - DRM
(c) Supporting capacity-building, including institutional capacity, for preventive measures, planning, preparedness and management of disasters relating to climate change, including contingency planning, in particular, for droughts and floods in areas prone to extreme weather events;	SCCF - DRM
(d) Strengthening existing and, where needed, establishing national and regional centres and information networks for rapid response to extreme weather events, utilizing information technology as much as possible;	
Par. 3. Decides further that resources from the Special Climate Change Fund shall be used to fund technology transfer activities, programmes and measures that are complementary to those currently funded by the Global Environment Facility taking into account national communications or any other relevant documents in accordance with decision 4/CP.7 and its annex containing the framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention, in the following priority areas:	SCCF - Technology transfer

(a) Implementation of the results of technology needs assessments; (b) Technology information; (c) Capacity-building for technology transfer; (d) Enabling environments;	
Par. 4. Decides further that activities under paragraph 2 (c) and (d) in decision 7/CP.7 are also to be funded by the Special Climate Change Fund and to this effect invites Parties to submit to the secretariat, by 15 September 2004, further views on activities, programmes and measures in these areas for further consideration by the Subsidiary Body for Implementation, at its twenty-first session, in order for the Conference of the Parties to take a decision on this matter at its tenth session;	SCCF funding priorities
Par. 5. Requests the entity entrusted with the operation of the fund to arrange expedited access to the Special Climate Change Fund in keeping with current practices of the Global Environment Facility, taking into account the need for adequate resources to implement eligible activities, programmes and measures;	SCCF - Resource approval and disbursement
Par. 6. Invites the entity entrusted with the operation of the Special Climate Change Fund to make the necessary arrangements to mobilize resources to make the fund operational without delay;	SCCF - Resource mobilization
Par. 7. Requests the entity referred to in paragraph 5 above to include in its report to the Conference of the Parties, at its tenth session, the specific steps it has undertaken to implement this decision;	SCCF - Reporting
COP-10: Buenos Aires, Argentina, 6 - 18 December 2004 (FCC/CP/2004/10/Add.1)	

Decision 1/CP.10 - Buenos Aires programme of work on adaptation and response measures

The Conference of the Parties, [...]

SCCF - Financial resources

Par. 3. Urges Parties included in Annex II to the Convention (Annex II Parties) to contribute to the Special Climate Change Fund and other multilateral and bilateral sources, to support, as a top priority, adaptation activities to address the adverse impacts of climate change;

COP-12: Nairobi, Kenya, 6 - 17 November 2006 (FCCC/CP/2006/5/Add.1)

Decision 1/CP.12 - Further guidance to an entity entrusted with the operation of the financial mechanism of the Convention, for the operation of the Special Climate Change Fund

The Conference of the Parties, [...]

SCCF – Sectors (SCCF-C)

Par. 1. Decides that the Special Climate Change Fund shall be used to finance activities, programmes and measures relating to climate change in the areas set out in decision 7/CP.7, paragraph 2 (c), that are complementary to those funded by the resources allocated to the climate change focal area of the Global Environment Facility and by bilateral and multilateral funding, particularly in the following priority areas:

- (a) Energy efficiency, energy savings, renewable energy and less-greenhouse-gas-emitting advanced fossil-fuel technologies;
 - (b) Innovation including through research and development relating to energy efficiency and savings in the transport and industry sectors;
 - (c) Climate-friendly agricultural technologies and practices, including traditional agricultural methods;
 - (d) Afforestation, reforestation and use of marginal land;
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(e) Solid and liquid waste management for the recovery of methane;	
Par. 2. Decides that the Special Climate Change Fund shall be used to finance activities, programmes and measures relating to climate change in the areas set out in decision 7/CP.7, paragraph 2 (d), that are complementary to those funded by the resources allocated to the climate change focal area of the Global Environment Facility and by other bilateral and multilateral funding initially in the following areas: (a) Capacity-building at the national level in the areas of: (i) Economic diversification; (ii) Energy efficiency in countries whose economies are highly dependent on consumption of fossil fuels and associated energy-intensive products; (b) Support through technical assistance the creation of favourable conditions for investment in sectors where such investment could contribute to economic diversification; (c) Support through technical assistance the diffusion and transfer of less-greenhouse-gas emitting advanced fossil-fuel technologies; (d) Support through technical assistance innovative national advanced fuel technologies; (e) Support through technical assistance the promotion of investments in less-greenhouse gas- emitting, environmentally sound energy sources, including natural gas, according to the national circumstances of Parties;	SCCF – Diversification (SCCF-D)
Par. 3. Decides to assess, at its fifteenth session, the status of implementation of paragraph 2 above, with a view to	SCCF general

considering further guidance on how the fund shall support concrete implementation projects in accordance with paragraphs 22–29 of decision 5/CP.7;

Par. 4. Decides that the operational principles and criteria of the Special Climate Change Fund and the manner in which they are carried out in the operation of the Special Climate Change Fund will apply only to Global Environment Facility activities financed under the Special Climate Change Fund;	SCCF funding principles
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COP-16: Cancun, Mexico, 29 November - 10 December 2010 (FCCC/CP/2010/7/Add.2)

Decision 2/CP.16 - Fourth review of the financial mechanism

Par. 5. Decides that the Global Environment Facility should continue to provide and enhance support for the implementation of adaptation activities, including the implementation of national adaptation programmes of action, through the Least Developed Countries Fund and the Special Climate Change Fund;	CCA funding in general
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Par. 6. Requests the Global Environment Facility, in its regular report to the Conference of the Parties, to include information on the steps it has taken to implement the guidance provided in paragraphs 3, 4 and 5 above;	Reporting general
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Decision 4/CP.16 - Assessment of the Special Climate Change Fund

The Conference of the Parties, [...]	SCCF Review
Decides to conclude the assessment of the status of implementation of paragraph 2 of decision 1/CP.12 and to request the entity entrusted with the operation of the Special Climate Change Fund to include in its report to the Conference of the Parties at its seventeenth session information on the implementation of paragraph 2 (a–d) of decision 7/CP.7.	

Decision 9/CP.18 - Report of the Global Environment Facility to the Conference of the Parties and additional guidance to the Global Environment Facility

The Conference of the Parties, [...]

Par. 1. Requests the Global Environment Facility, as an operating entity of the financial mechanism of the Convention:

[...]

- | | |
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| (c) Through the Special Climate Change Fund, to consider how to enable activities for the preparation of the national adaptation plan process for interested developing country Parties that are not least developed country Parties, as it requested the Global Environment Facility, through the Least Developed Countries Fund, to consider how to enable activities for the preparation of the national adaptation plan process for the least developed country Parties in decision 5/CP.17, paragraph 22; | SCCF - NAP process |
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Par. 2. Also requests the Global Environment Facility, as an operating entity of the financial mechanism of the Convention, in its annual report to the Conference of the Parties, to include information on the steps it has taken to implement the guidance provided in paragraph 1 above;	SCCF - Reporting
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Par. 5. Also urges developed country Parties to mobilize financial support for the national adaptation plan process for interested developing country Parties that are not least developed country Parties through bilateral and multilateral channels, including through the Special Climate Change Fund, in accordance with decision 1/CP.16, as it urged developed country Parties to mobilize financial support for the national adaptation plan	SCCF - Resource mobilization
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process for least developed country Parties in decision 5/CP.17,
paragraph 21

COP-21: Paris, France, 30 November - 13 December 2015 (FCC/CP/2015/10/Add.1)

Decision 1/CP.21 - III. Decisions to give effect to the Agreement (i.e. the Paris Agreement)

Par. 58. Decides that the Green Climate Fund and the Global Environment Facility, the entities entrusted with the operation of the Financial Mechanism of the Convention, as well as the Least Developed Countries Fund and the Special Climate Change Fund, administered by the Global Environment Facility, shall serve the Agreement;	General funding
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ANNEX B: OVERVIEW OF COMPLETED SCCF PROJECTS

Table 20: Overview of Completed SCCF Projects

GEF ID	Agency	Project Title	Country	Year of Project Completion	SCCF Funding (M\$) ¹	Outcome rating ²	Sustainability of Outcomes rating ³	M&E design at entry rating ²	M&E plan implementation rating ²
2553	WHO	Piloting Climate Change Adaptation to Protect Human Health	Global	2015	4.97	MS	MU	S	MS
2832	UNDP	Mainstreaming Climate Change in Integrated Water Resource Management in Pangani River Basin	Tanzania	2011	1.00	MS	ML	NR	MU
2902	World Bank	Adaptation to the Impact of Rapid Glacier Retreat in the Tropical Andes	Regional	2014	8.08	MS	ML	MU	MU
2931	UNDP	Adaptation to Climate Change through Effective Water Governance	Ecuador	2015	3.35	MS	L	S	S
3101	UNDP	Pacific Adaptation to Climate Change Project (PACC)	Regional	2014	13.48	MS	ML	MU	MU
3154	UNDP	Coping with Drought and Climate Change	Ethiopia	2013	1.00	S	MU	MS	MS
3155	UNDP	Coping with Drought and Climate Change	Mozambique	2013	0.96	MS	ML	U	MU
3156	UNDP	Coping with Drought and Climate Change	Zimbabwe	2012	0.98	S	ML	MS	MS
3159	World Bank	Adaptation to Climate Change Impacts on the Coastal Wetlands	Mexico	2015	4.50	TE and TER ratings not yet available			
3218	UNDP	Integrating Climate Change into the Management of Priority Health Risks	Ghana	2016	1.72	TER ratings not yet available			

¹ GEF Funding amount excludes agency fees. If available, at completion values are used, otherwise the values at endorsement are used.

² GEF/GEF Agency six-point rating scale: Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), and Highly Unsatisfactory (HU). Alternatively, the rating might be Not Rated (NR) by the implementing agency.

³ GEF/GEF Agency four-point scale: Likely (L), Moderately Likely (ML), Moderately Unlikely (MU), and Unlikely (U).

Table 20 Continued

GEF ID	Agency	Project Title	Country	Year of Project Completion	SCCF Funding (M\$) ¹	Outcome rating ²	Sustainability of Outcomes rating ³	M&E design at entry rating ²	M&E plan implementation rating ²
3227	World Bank	Conservancy Adaptation	Guyana	2013	3.80	MS	ML	MU	MU
3249	UNDP	Adaptation to Climate Change in Arid Lands (KACCALI)	Kenya	2014	6.79	MS	ML	MU	MU
3265	World Bank	Mainstreaming Adaptation to Climate Change into Water Resources Management and Rural Development	People's Republic of China	2012	5.32	S	L	MS	MS
3299	UNDP	Strengthening the Capacity of Vulnerable Coastal Communities to Address the Risk of Climate Change and Extreme Weather Events	Thailand	2014	0.91	MS	ML	S	MU
3679	UNEP	Economic Analysis of Adaptation Options	Global	2010	1.00	MU	MU	MU	MU
3907	UNEP	Technology Needs Assessment	Global	2012	8.18	TE and TER ratings not yet available			
3967	World Bank	Integrating Climate Change in Development Planning and Disaster Prevention to Increase Resilience of Agricultural and Water Sectors	Morocco	2015	4.55	TER ratings not yet available			
4515	World Bank	Southeastern Europe and Caucasus Catastrophe Risk Insurance Facility (SEEC CRIF)	Regional	2015	5.50	TE and TER ratings not yet available			

¹ GEF Funding amount excludes agency fees. If available, at completion values are used, otherwise the values at endorsement are used.

² GEF/GEF Agency six-point rating scale: Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), and Highly Unsatisfactory (HU). Alternatively, the rating might be Not Rated (NR) by the implementing agency.

³ GEF/GEF Agency four-point scale: Likely (L), Moderately Likely (ML), Moderately Unlikely (MU), and Unlikely (U).

ANNEX C: SCCF PORTFOLIO COMPOSITION

Table 21: Number of SCCF Projects by Project Status

Project Status ¹	Medium-size projects (MSP)		Full-size projects (FSP)		Totals	
	SCCF	MTF	SCCF	MTF	SCCF	MTF
Cancelled	4		2		6	
Dropped	7		18	3	25	3
Rejected				1		1
CEO PIF Rejected	1		7		8	
CEO Endorsed			9	4	9	4
Under Implementation	1	1	37	4	38	5
Project Completion	6		12		18	
Grand Total	20		97		117	
Grand Total²	8		66		74	

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count and status might have changed since.

² Only CEO endorsed/approved, under implementation and completed projects taken into account.

Table 22: Budgetary Allocation by Project Status

Project Status ¹	Medium-size projects (MSP)		Full-size projects (FSP)		Totals	
	SCCF	MTF	SCCF	MTF	SCCF	MTF
Cancelled	3.74		5.86		9.60	
Dropped	5.74		74.21	25.43	79.95	25.43
Rejected				18.53		18.53
CEO PIF Rejection	1.00		29.47		30.47	
CEO Endorsed			47.60	8.21	47.60	8.21
Under Implementation	2.19	0.50	176.02	14.78	178.21	15.28
Project Completion	6.39		77.77		84.16	
Grand Total²	19.57		477.86		497.43	
Grand Total³	9.09		324.37		333.45	

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count, status and value might have changed since.

² Values for cancelled, dropped and rejected projects show original project value, not disbursements to implementing agencies.

³ Only CEO endorsed/approved, under implementation and completed projects taken into account.

Table 23: Summary of Number of SCCF Projects by Project Status

Project Status ¹	Medium-size projects (MSP)		Full-size projects (FSP)		Totals		% of Grand Total
	SCCF	MTF	SCCF	MTF	SCCF	MTF	
CEO Endorsed			9	4	9	4	17.6%
Under Implementation	1	1	37	4	38	5	58.1%
Project Completion	6		12		18		24.3%
Total	7	1	58	8	65	9	100.0%
Grand Total²	8		66		74		

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count and status might have changed since.

² Only CEO endorsed/approved, under implementation and completed projects taken into account.

Table 24: Summary of Budgetary Allocation by Project Status

Project Status ¹	Budgetary Allocation (M\$)						% of Grand Total
	Medium-size projects (MSP)		Full-size projects (FSP)		Grand Total		
	SCCF	MTF	SCCF	MTF	SCCF	MTF	
CEO Endorsed			47.60	8.21	47.60	8.21	16.7%
Under Implementation	2.19	0.50	176.02	14.78	178.21	15.28	58.0%
Project Completion	6.39		77.77		84.16		25.2%
Total	8.59	0.50	301.38	22.98	309.97	23.48	100.0%
Grand Total ²	9.09		324.37		333.45		

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count, status and value might have changed since.

² Only CEO endorsed/approved, under implementation and completed projects taken into account.

SCCF Portfolio by GEF Replenishment Phase

Table 25: Number of SCCF Projects by Replenishment Phase

GEF Replenishment Phase ¹	MSP	FSP	Total	% of Total
GEF-3	4	2	6	8.1%
GEF-4	2	17	19	25.7%
GEF-5	2	39	41	55.4%
GEF-6		8	8	10.8%
Grand Total²	8	66	74	100.0%

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count might have changed since.

² Only CEO endorsed/approved, under implementation and completed projects taken into account.

Table 26: Project Status versus Replenishment Phase, in Numbers

Project Status vs. Replenishment phase¹	GEF-3	GEF-4	GEF-5	GEF-6	Total	% of Total
CEO Endorsed			9	4	13	17.6%
Under Implementation		8	31	4	43	58.1%
Project Completion	6	11	1		18	24.3%
Grand Total²	6	19	41	8	74	100.0%
% of Grand Total	8.1%	25.7%	55.4%	10.8%	100.0%	

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count and status might have changed since.

² Only CEO endorsed/approved, under implementation and completed projects taken into account.

Table 27: Project Status versus Replenishment Phase, in Percentages

Project Status^{1,2}	GEF-3 (%)	GEF-4 (%)	GEF-5 (%)	GEF-6 (%)	Total (%)
CEO Endorsed			12.2%	5.4%	17.6%
Under Implementation		10.8%	41.9%	5.4%	58.1%
Project Completion	8.1%	14.9%	1.4%		24.3%
Total (%)	8.1%	25.7%	55.4%	10.8%	100.0%

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count and status might have changed since.

² Only CEO endorsed/approved, under implementation and completed projects taken into account.

Table 28: Project Status versus Replenishment Phase, in Budgetary Allocation

Project Status¹	Budgetary Allocation (M\$)					% of Total
	GEF-3	GEF-4	GEF-5	GEF-6	Total	
CEO Endorsed			37.31	18.50	55.80	16.7%
Under Implementation		27.27	141.27	24.94	193.48	58.0%
Project Completion	15.84	62.28	6.05		84.16	25.2%
Grand Total²	15.84	89.55	184.63	43.44	333.45	100.0%

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count, status and value might have changed since.

² Only CEO endorsed/approved, under implementation and completed projects taken into account.

SCCF Portfolio by GEF Agency

Table 29: Number of SCCF Projects by GEF Agency

GEF Agency ¹	MSP	FSP	Total	% of Total
ADB	1	4	5	6.8%
AfDB		3	3	4.1%
EBRD		4	4	5.4%
FAO		6	6	8.1%
IADB		2	2	2.7%
IFAD		9	9	12.2%
UNDP	5	18	23	31.1%
UNEP	2	5	7	9.5%
UNIDO		1	1	1.4%
World Bank		14	14	18.9%
Grand Total²	8	66	74	100.0%

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count might have changed since.

² Only CEO endorsed/approved, under implementation and completed projects taken into account.

Table 30: Budgetary Allocation by GEF Agency

GEF Agency ¹	Budgetary Allocation (M\$)			% of Total
	MSP	FSP	Total	
ADB	0.50	13.00	13.50	4.0%
AfDB		13.22	13.22	4.0%
EBRD		17.72	17.72	5.3%
FAO		23.06	23.06	6.9%
IADB		6.64	6.64	2.0%
IFAD		42.18	42.18	12.7%
UNDP	5.29	86.10	91.39	27.4%
UNEP	3.29	31.91	35.20	10.6%
UNIDO		3.72	3.72	1.1%
World Bank		86.81	86.81	26.0%
Grand Total²	9.09	324.37	333.45	100.0%

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count and value might have changed since.

² Only CEO endorsed/approved, under implementation and completed projects taken into account.

SCCF Portfolio by Region

Table 31: Number of SCCF Projects by Region

Region ¹	MSP	FSP	Total	% of Total
Africa	4	18	22	29.7%
Asia	2	17	19	25.7%
Europe and Central Asia	1	11	12	16.2%
Latin America and the Caribbean		16	16	21.6%
Global	1	4	5	6.8%
Grand Total²	8	66	74	100.0%

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count might have changed since.

² Only CEO endorsed/approved, under implementation and completed projects taken into account.

Table 32: Budgetary Allocation by Region

Region ¹	Budgetary Allocation (M\$)			% of Total
	MSP	FSP	Total	
Africa	4.29	86.07	90.36	27.1%
Asia	1.50	85.50	87.00	26.1%
Europe and Central Asia	2.19	50.20	52.39	15.7%
Latin America and the Caribbean		77.54	77.54	23.3%
Global	1.10	25.06	26.16	7.8%
Grand Total²	9.09	324.37	333.45	100.0%

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count and value might have changed since.

² Only CEO endorsed/approved, under implementation and completed projects taken into account.

ANNEX D: RESULTS FRAMEWORK OF THE GEF ADAPTATION PROGRAM

The revised results framework of the GEF Adaptation Program is structured around three strategic objectives with associated outcomes and indicators. As of July 1, 2014, project and program proponents that seek funds from the LDCF and/or the SCCF for climate change adaptation will be requested to align their proposals with one or more of these strategic objectives.

Table 33: Results Framework of the GEF Adaptation Program

Goal	Increase resilience to the adverse impacts of climate change in vulnerable developing countries, through both near- and long-term adaptation measures in affected sectors, areas and communities; leading to a reduction of expected socio-economic losses associated with climate change and variability.
Objective 1	Reduce the vulnerability of people, livelihoods, physical assets and natural systems to the adverse effects of climate change
<u>Indicator 1</u>	Number of direct beneficiaries
<i>Outcome 1.1</i>	<i>Vulnerability of physical assets and natural systems reduced</i>
<u>Indicator 2</u>	Type and extent of assets strengthened and/or better managed to withstand the effects of climate change
<i>Outcome 1.2</i>	<i>Livelihoods and sources of income of vulnerable populations diversified and strengthened</i>
<u>Indicator 3</u>	Population benefiting from the adoption of diversified, climate-resilient livelihood options
<i>Outcome 1.3</i>	<i>Climate-resilient technologies and practices adopted and scaled up</i>
<u>Indicator 4</u>	Extent of adoption of climate-resilient technologies/ practices
Objective 2	Strengthen institutional and technical capacities for effective climate change adaptation
<i>Outcome 2.1</i>	<i>Increased awareness of climate change impacts, vulnerability and adaptation</i>
<u>Indicator 5</u>	Public awareness activities carried out and population reached
<i>Outcome 2.2</i>	<i>Access to improved climate information and early-warning systems enhanced at regional, national, sub-national and local levels</i>
<u>Indicator 6</u>	Risk and vulnerability assessments, and other relevant scientific and technical assessments carried out and updated
<u>Indicator 7</u>	Number of people/ geographical area with access to improved climate information services
<u>Indicator 8</u>	Number of people/ geographical area with access to improved, climate-related early-warning information

Table 33 Continued

<i>Outcome 2.3</i>	<i>Institutional and technical capacities and human skills strengthened to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures</i>
<u>Indicator 9</u>	Number of people trained to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures
<u>Indicator 10</u>	Capacities of regional, national and sub-national institutions to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures
Objective 3	Integrate climate change adaptation into relevant policies, plans and associated processes
<i>Outcome 3.1</i>	<i>Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes established and strengthened</i>
<u>Indicator 11</u>	Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes
<i>Outcome 3.2</i>	<i>Policies, plans and associated processes developed and strengthened to identify, prioritize and integrate adaptation strategies and measures</i>
<u>Indicator 12</u>	Regional, national and sector-wide policies, plans and processes developed and strengthened to identify, prioritize and integrate adaptation strategies and measures
<u>Indicator 13</u>	Sub-national plans and processes developed and strengthened to identify, prioritize and integrate adaptation strategies and measures
<i>Outcome 3.3</i>	<i>Systems and frameworks for the continuous monitoring, reporting and review of adaptation established and strengthened</i>
<u>Indicator 14</u>	Countries with systems and frameworks for the continuous monitoring, reporting and review of adaptation

ANNEX E: CORE GENDER INDICATORS

Table 34: Core Gender Indicators

Outcomes	Gender Indicators	Source of Verification
Project design fully integrates gender concerns.	1. Percentage of projects that have conducted gender analysis during project preparation. 2. Percentage of projects that have incorporated gender responsive project results framework (e.g. gender responsive output, outcome, indicator, budget, etc.).	Project Document at CEO endorsement
Project implementation ensures gender equitable participation in and benefit from project activities.	3. Share of women and men as direct beneficiaries of project. 4. Share of convention related national reports incorporated gender dimensions (e.g. NBSAP, NAPA/NAP, TDA/SAP, etc.).	Project Implementation Reports, Mid-Term Evaluation Reports, and Terminal Evaluation Reports.
Project monitoring and evaluation give adequate attention to gender mainstreaming.	5. Percentage of monitoring and evaluation reports (e.g. Project Implementation Reports, Mid-term Evaluation Reports, and Terminal Evaluation Reports) that incorporates gender equality/women's empowerment issues and assess results/progress.	Project Implementation Reports (PIR), Mid-Term Evaluation Reports, and Terminal Evaluation Reports (TER).

ANNEX F: INTERVIEWEES

< To be completed in final document to council >

ANNEX G: EVALUATION MATRIX

Key question	Indicators/basic data
1) Relevance - How relevant is SCCF support in the light of UNFCCC COP guidance and decisions, and the GEF adaptation programming strategy?	
1. A. How relevant is LDCF support in relation to the guidance and decisions of the UNFCCC, informing the Fund's mandate?	Level of coherence between COP guidance the GEF adaptation programming strategy and LDCF support Project alignment with UNFCCC guidance and decisions Project alignment with GEF adaptation strategic pillars
2) Effectiveness and Efficiency - How effective and efficient is the SCCF in reaching its objectives, based on emerging results?	
2. A) How effective is the SCCF in reaching the GEF's three strategic adaptation objectives?	Degree to which the SCCF supported projects have helped reduce vulnerability, built adaptive capacity, integrate adaption into policies and processes. Project alignment with GEF adaptation strategic objectives Degree of projects reaching anticipated adaptation benefits Project documentation, Council documents, GEF SEC and Agency staff, government partners, in-country stakeholders Meta-evaluation review, portfolio analysis – including quality-at-entry reviews, interviews, field visits

Key question	Indicators/basic data	Sources of information	Methodology
2. B) What are the main factors that have been affecting the Fund's efficiency?	Effective communication between GEF SEC, Agencies, and national stakeholders GEF funding vs. co-funding Delays (planned versus actual time for each stage of project development) of projects	Project documentation, Council documents, GEF SEC and Agency staff, government partners, in-country stakeholders	Meta-evaluation review, portfolio analysis, interviews, field visits
2. C) How has resource predictability, or the lack thereof, affected the Fund's programming?	Availability of resources for project concepts, LDCF/SCCF Council doc info on pending projects, changes in how the project pipeline functions	Council documents, GEF SEC and Agency staff, government partners, in-country stakeholders	Council document review, interviews, field visits
2) Effectiveness and Efficiency - How effective and efficient is the SCCF in reaching its objectives, based on emerging results?			
2. D) How efficient is the Fund's project cycle?	Time between project cycle milestones; planned versus actual time for each stage of project development Percentage of dropped and cancelled projects in the portfolio; evidence of the impacts of slow / irregular / unreliable commitment of funds	Project documentation, GEF SEC and Agency staff, government partners, in-country stakeholders	Portfolio analysis, interviews

Key question	Indicators/basic data	Sources of information	Methodology
3) Results and sustainability - What are the emerging results and factors that affect the sustainability and resilience of these results?			
3. A) To what extent has SCCF support had a catalytic effect?	Catalytic effect indicators from the portfolio analysis for SCCF supported projects Global Environmental Benefits indicators from the portfolio analysis for SCCF supported projects	Project documentation, Council documents, GEF SEC and Agency staff, government partners, in-country stakeholders	Portfolio analysis, meta-evaluation review, interviews, field visits
3. B) How does LDCF support relate to other GEF focal areas beyond climate change adaptation?	Other focal area indicator from the portfolio analysis for both the NAPA report and the implementation projects.	Project documentation, Council documents, GEF SEC and Agency staff, government partners, in-country stakeholders	Portfolio analysis, meta-evaluation review, interviews, field visits
3. C) What are the GEEW (Gender equality and the empowerment of women) objectives achieved (or likely to be achieved) and gender mainstreaming principles adhered to by the LDCF?	Gender indicators from the portfolio analysis, including rating on gender strategy and plan, gender data disaggregation and gender mainstreaming rating	Project documentation, Council documents, GEF SEC and Agency staff, government partners, in-country stakeholders	Portfolio analysis, meta-evaluation review, interviews, field visits
3) Results and sustainability - What are the emerging results and factors that affect the sustainability and resilience of these results?			
3. D) To what extent are the emerging results of LDCF support sustainable?	Catalytic effects indicators from the portfolio analysis for the completed projects Sustainability ratings of the TER's for completed projects	Project documentation, Council documents, GEF SEC and Agency staff, government partners, in-country stakeholders	Portfolio analysis, meta-evaluation review, interviews, field visits

ANNEX H: PORTFOLIO ANALYSIS PROTOCOL

The portfolio analysis protocol was developed in SurveyMonkey, and includes advanced branching and skip logic elements. It consists of 74 questions over 19 pages, but not all questions apply to all projects being reviewed (see figure 19).

General information

Page 1 Information on reviewer and data source

- *Q.1 Name of reviewer* (open text field)
- *Q.2 Documents used for review* (multiple choice checklist with 'other' option)

Page 2 Basic project information (EA/MSP/FSP)

- *Q.3 Program's/Project's GEF ID* (numerical 4 digit field)
- *Q.4 Name of the program/project* (open text field)
- *Q.5 Lead implementing agency* (single choice pull down menu)
- *Q.6 Main focal area* (single choice pull down menu)
- *Q.7 Project status* (single choice pull down menu)
- *Q.8 Part of GEF replenishment phase* (single choice pull down menu)
- *Q.9 Main trust fund for as registered in PMIS* (single choice pull down menu)
- *Q.10 Type of in-country executing partner / agency* (multiple choice checklist with 'other' option)
- *Q.11 Name(s) of in-country executing partner(s) / agency(ies)* (open text field)

Page 3 Type, duration of project and country targeted

- *Q.12. Program/project type description* (single choice pull down menu; MSP/PSF standalone/child regional/global)
- *Q.13 Program/project duration in months* (numerical 4 digit field)
- *Q.14 Program/project target country* (single choice pull down menu)

Page 4 Target region and countries for regional or global projects

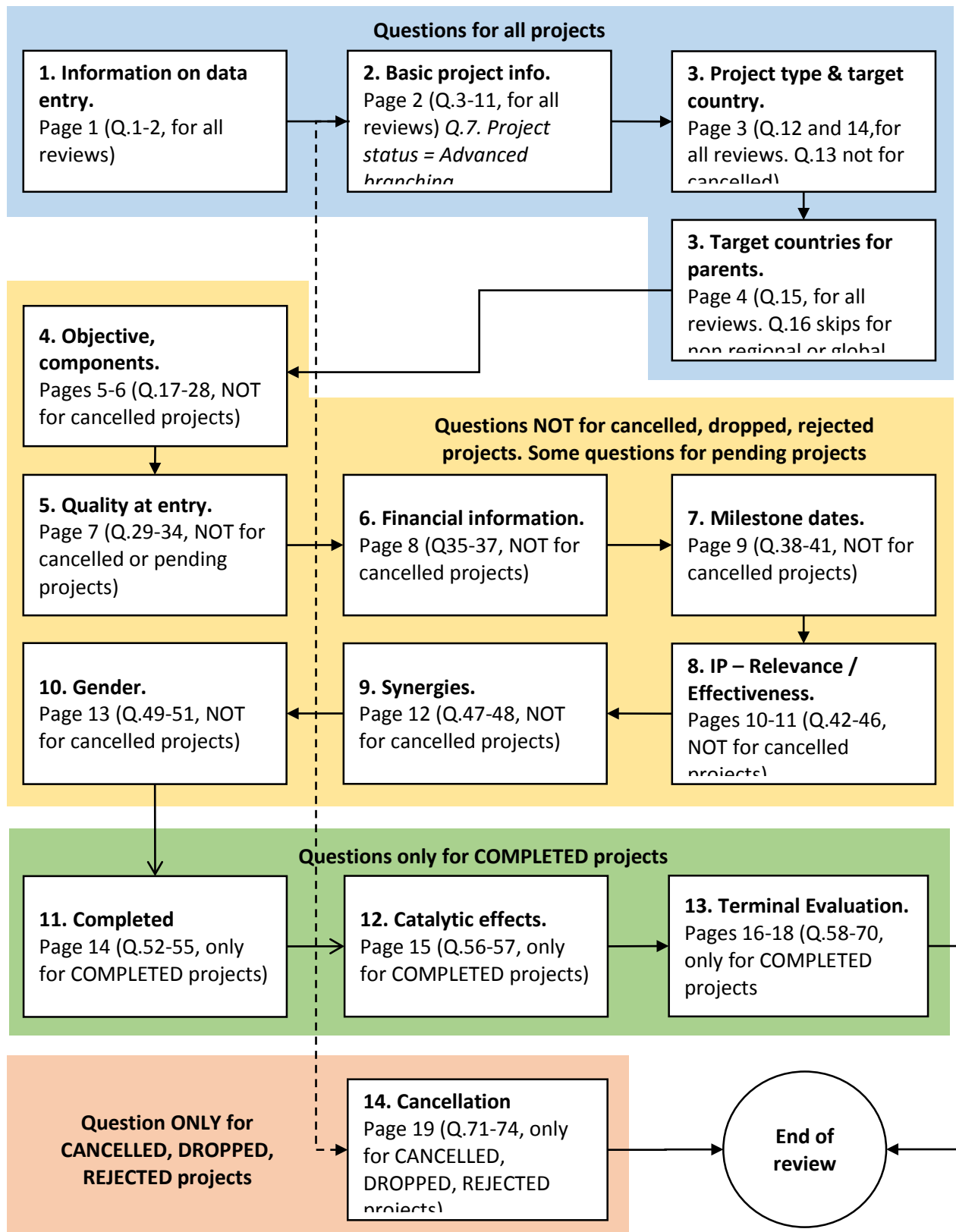
- *Q.15 Region that applies to the program/project* (single choice pull down menu)
- *Q.16 Countries targeted by regional or global program/project* (multiple choice)

Quality-at-entry and more in-depth program / project information

Pages 5-6 Objectives, components and expected outcomes

- *Q.17 The program's/project's overarching objective?* (open text field)
- *Q.18 The main program/project components* (10 open text fields)
- *Q.19-Q.28 Expected outcomes under program/project components 1 to x* (Open text fields for x components, x being the number of components filled out in Q.18)

Figure 20: Review Protocol Flowchart



Page 7 Quality-at-entry

Ratings for Q.29, 30 and 31 are on a seven-point scale from 'to an extremely large extent' up to 'to an extremely small extent', including the 'unable to assess' option. A text field is added to provide rating explanation.

- *Q.29 The adaptation benefits are clearly described.* (They clearly convey the country's adaptation aspirations in the light of the program/project reviewed – seven-point agreement scale, and text field for rating explanation)
- *Q. 30 The adaptation benefits described are realistic in the country's context.* (They make sense in the light of direct and indirect pressures / drivers of change – seven-point agreement scale, and text field for rating explanation)
- *Q.31 The adaptation benefits are explained in terms of measurable results.* (A results framework, SMART indicators and target setting are part of the explanation – seven-point agreement scale, and text field for rating explanation)
- *Q.32 The project takes into account potential major risks.* (Four answer options; (1) Yes, sufficiently / (2) Yes, but not sufficiently / (3) Yes, but with serious omissions / (4) No, and text field for rating explanation)
- *Q.33 The program/project provides risk mitigation measures or strategies for risks identified.* (Three answer options; (1) Yes, for all or most / (2) Yes, for some / (3) No, and text field for rating explanation)
- *Q.34 Probability that the program/project will deliver tangible adaptation benefits in line with set objectives.* (four-point probability rating from 'very high' to 'very low', with an 'unable to assess' option, and text field for rating explanation). The rating is based on the answers on Q.29 to Q.33)

Page 8 Financial information

- *Q.35 Total funding in USD* (numerical fields, split into 8 groups, being (1) PPG / (2) SCCF grant / (3) Agency fee / (4) GEF-TF funding / (5) LDCF funding / (6) Co-finance / (7) Total excluding co-finance / (8) Total including co-finance) groups 4 and 5 only show for multi-trust fund interventions.
- *Q.36 Co-funding sources.* (multiple choice checklist, with 'other' option)
- *Q.37 Write down co-funding by source in USD.* (open numeric fields)

Page 9 Milestone dates

- *Q.38 Milestone dates* (date field, split into the following 4 groups, being (1) Date of the first entry into PMIS / (2) Date of CEO endorsement / (3) Date of project implementation start / (4) Date of project completion. Reviewers were instructed to take 'actual date' if available and 'expected date' otherwise.
- *Q.39 Any indication of delays?* (Yes / No)
- *Q.40 In case of delays, what is the biggest delay, between expected and actual, that can be identified?* (numeric field, days)
- *Q.41 Explain the delay and the milestone it relates to.* (open text field)

Pages 10-11 Relevance and effectiveness

Ratings for Q.42, 43 and 46 are on a seven-point scale from 'to an extremely large extent' up to 'to an extremely small extent', including the 'unable to assess' option. A text field is added to provide rating explanation.

- *Q.42 Alignment of program/project with GEF adaptation strategic pillars.* (Rating on the seven-point scale was done in 2 categories, being (1) Integrating climate change adaptation into relevant policies, plans, programs and decision-making processes in a continuous, progressive and iterative manner as a means to identify and address short-, medium- and long-term adaptation needs / (2) Expanding synergies with other GEF focal areas)
- *Q.43 Alignment of program/project with GEF adaptation strategic objectives.* (Rating on the seven-point scale was done in 3 categories, being (1) Reduce the vulnerability of people, livelihoods, physical assets and natural systems to the adverse effects of climate change / (2) Strengthen institutional and technical capacities for effective climate change adaptation / (3) Integrate climate change adaptation into relevant policies, plans and associated processes)
- *Q.44 SCCF activity windows and specific activities that apply.* (single choice pull down menu)
- *Q.45 SCCF activity window that applies according to progress reports to Council.* (single choice pull down menu)
- *Q.46 Alignment of program/project with UNFCCC guidance and decisions.* (Rating on the seven-point scale was done in 8 categories, being (1) SCCF-A: Adaptation activities in one or more of the 7 areas / (2) SCCF-A: Improve disease control and prevention of diseases and vectors affected by climate change / (3) SCCF-A: Build disaster risk management capacity in areas prone to extreme weather events / (4) SCCF-A: Support of the NAP process in non-LDCs / (5) SCCF-B: Implementation of the results of technology needs assessments / (6) SCCF-B: Technology information to support technology transfer / (7) SCCF-B: Capacity-building for technology transfer / (8) SCCF-B: Support of enabling environment for technology transfer)

Page 12 Synergies

- *Q.47 Select focal areas – other than the main focal area – to which the program/project (potentially) contributes.* (multiple choice checklist with the options being, (1) Biodiversity / (2) Land Degradation / (3) International Waters (4) Mercury / (5) Ozone Depleting Substances (ODS) / (6) Persistent Organic Pollutants (POP) / (7) NO FOCAL AREAS OTHER THAN CLIMATE CHANGE APPLY)
- *Q.48 (Potential) contribution of program/project to GEF Global Environmental Benefits (GEBs).* (Rating on the seven-point scale was done in 6 categories, being (1) Maintain globally significant biodiversity and the ecosystem goods and services that it provides to society / (2) Sustainable land management in production systems, i.e. agriculture, rangelands, and forest landscapes / (3) Promotion of collective management of trans-boundary water systems and implementation of the full range of policy, legal, and

institutional reforms and investments contributing to sustainable use and maintenance of ecosystem services / (4) Support to transformational shifts towards a low-emission and resilient development path / (5) Increase in phase-out, disposal and reduction of releases of POPs, ODS, mercury and other chemicals of global concern / (6) Enhance capacity of countries to implement MEAs (multilateral environmental agreements) and mainstream MEAs into national and sub-national policy, planning, financial and legal frameworks, and text field for rating explanation)

Page 13 Gender

- *Q.49 Does the program/project include a gender mainstreaming strategy or plan?* (Reviewer rates on a three-point scale, being (1) Yes / (2) No, but its/their development is implied / (3) No)
- *Q.50 Does the program/project incorporate a gender responsive results framework, including gender disaggregated indicators?* (Reviewer rates on a three-point scale, being (1) Yes / (2) No, but its/their development is implied / (3) No)
- *Q.51 Overall assessment of program's/project's inclusion of the gender component.* (Reviewer rates on a five-point scale, being (1) Gender-blind / (2) Gender-aware / (3) Gender-sensitive / (4) Gender-mainstreamed / (5) Gender-transformative, with a separate category 'Not gender-relevant', and text field for rating explanation)

Completed programs and projects

Page 14 Basic questions

- *Q.52 Is there a terminal evaluation (TE) document for the program/project?* (Yes/No, and open text field to indicate anticipated TE date if not available)
- *Q.53 Are the annual performance review (APR) ratings available in the IEO's terminal evaluation review (TER) ratings database?* (Yes/No)
- *Q.54 Is there a terminal evaluation review (TER) or implementation completion report review (ICRR) document for the completed program/project?* (Yes/No)
- *Q.55 Provide the year for the following deadlines* ((1) Year of program/project completion / (2) Year of TE completion / (3) Year of inclusion in the APR)

Page 15 Catalytic effects

Rating for Q.56 and 57 are on a seven-point scale from 'to an extremely large extent' up to 'to an extremely small extent', including the 'unable to assess' option. A text field is added to provide rating explanation.

- *Q.56 Identify the Implementation program's/project's alignment with the following catalytic effects.* (Rating on the seven-point scale was done in 4 categories, being (1) Public Good: The project developed or introduced new technologies and/or approaches (CE1) / (2) Demonstration: Demonstration sites and/or training was implemented to

further catalyze the new technologies / approaches (CE2) / (3) Replication: Activities, demonstrations, and/or techniques are repeated within or outside the project (CE3) / (4) Scaling-up: Approaches developed through the project are taken up on a regional, national scale, becoming widely accepted (CE4))

- *Q.57 Identify the program's/project's alignment with the following catalytic effects, identified in terminal evaluations as being catalytic elements of the project. (Rating on the seven-point scale was done in 7 categories, being (1) Project generated significant social, economic, cultural and human well-being co-benefits. / (2) Project built on the traditional knowledge and practices of local communities. / (3) The project had impact on multiple sectors and at different levels of society. / (4) Project built foundations for larger scale project(s) through analytic work, assessments and capacity building activities. / (5) The project was instrumental in developing longer-term partnerships. / (6) Project was successful in developing new cost sharing approaches / leveraging new resources. / (7) Project improved management effectiveness of adaptation-relevant (sub-)national systems)*

Page 16 APR ratings

- *Q.58 What is the program's/project's outcome rating according to the TER ratings? (Rating on a six-point scale from 'highly satisfactory' to 'highly unsatisfactory', with two separate categories being 'not rated' and 'unable to assess', and text field for rating explanation)*
- *Q.59 What is the program's/project's sustainability of outcomes rating according to the TER ratings? (Rating on a four-point scale from 'likely' to 'unlikely', with two separate categories being 'not rated' and 'unable to assess', and text field for rating explanation)*
- *Q.60 What is the program's/project's M&E design at entry rating according to the TER ratings? (Rating on a six-point scale from 'highly satisfactory' to 'highly unsatisfactory', with two separate categories being 'not rated' and 'unable to assess', and text field for rating explanation)*
- *Q.61 What is the program's/project's M&E plan implementation rating according to the TER ratings? (Rating on a six-point scale from 'highly satisfactory' to 'highly unsatisfactory', with two separate categories being 'not rated' and 'unable to assess', and text field for rating explanation)*
- *Q.62 What is the program's/project's quality of implementation rating according to the TER ratings? (Rating on a six-point scale from 'highly satisfactory' to 'highly unsatisfactory', with two separate categories being 'not rated' and 'unable to assess', and text field for rating explanation)*
- *Q.63 What is the program's/project's quality of execution rating according to the TER ratings? (Rating on a six-point scale from 'highly satisfactory' to 'highly unsatisfactory', with two separate categories being 'not rated' and 'unable to assess', and text field for rating explanation)*

- *Q.64 What is the program's/project's quality of TE report rating according to the TER ratings? (Rating on a six-point scale from 'highly satisfactory' to 'highly unsatisfactory', with two separate categories being 'not rated' and 'unable to assess', and text field for rating explanation)*

Pages 17-18 Innovation and lessons learned

- *Q.65 Provide a synopsis of innovations that have been identified in the program's/project's PIRs, mid-term review (MTR), terminal evaluation (TE) and/or TER / ICRR documents. (Open text field)*
- *Q.66 What were the lessons learned on Communications and Stakeholder Involvement? (Open text field)*
- *Q.67 What were the lessons learned on Project Management? (Open text field)*
- *Q.68 What were the lessons learned on Monitoring and Evaluation? (Open text field)*
- *Q.69 What were the content-technical lessons learned in relation to Climate Change Adaptation? (Open text field)*
- *Q.70 Add any other lessons learned that would not be covered in the answers to the above 4 questions. (Open text field)*

Cancelled, dropped or rejected projects

Page 19 Information on cancelled, dropped or rejected projects

- *Q.71 Status according to PMIS. (single choice pull down menu)*
- *Q.72 Has money been disbursed before cancellation, dropping or rejecting? (Yes / Yes, but disbursed money was returned / Probably / No / Unable to assess, and text field for rating explanation)*
- *Q.73 Indication as to when and why this project was cancelled, dropped or rejected? (open text field)*
- *Q.74 Amount of money disbursed and not returned, in USD (numeric field).*

Explanation of ratings used

The use of a seven-point agreement scale

A first choice in the development of the agreement scale for the portfolio analysis protocol was to make use of either an even number or an odd number of options, in the latter case there being a middle category. In the case of this analysis, the middle category does not separate positive from negative answers but is part of a continuum of options. The continuum of options is moving from agreed or aligned to an extremely large extent to agreed or aligned to an extremely small extent. Ethnic and racial preferences for odd and even scales were taken into account and a choice was made for an odd numbered Likert-type scale.

A second choice relates to the number of answer options to choose from, and with an earlier choice being made for an odd number of options the choice was to either opt for a five-point scale or a seven-point scale. Given that the same rating scale would be used by the reviewers for a multitude of questions, it was pertinent that the scale was applicable to all questions. In some cases, there was a demand for more options in order to be able to nuance answers, while for other questions this was not entirely necessary. A seven-point scale was chosen in order to increase variance in the measure. Note that for each rating the reviewer would need to explain in an open text field why this specific point in the scale was chosen.

Given the type of questions being ‘whether project x contributes to a specific Global Environmental Benefit’, ‘extent to which project x is aligned with the second adaptation pillar’, a choice was made to use a seven-point Likert-type scale that would entirely be in the ‘positive spectrum’. There is no negative alignment, or disagreement, and the questions in the portfolio analysis are written in a way that a positive spectrum of answer categories makes sense. The reviewers were briefed on the selection and use of the scale, which looks as follows:

- To an Extremely Large Extent
- To a Very Large Extent
- To a Large Extent
- To a Moderate Extent
- To a Small Extent
- To a Very Small Extent
- To an Extremely Small Extent
- Unable to assess, or not applicable

The gender rating

The gender mainstreaming description as part of the GEAP glossary states that “Mainstreaming involves ensuring that gender perspectives and attention to the goal of gender equality are central to all activities.” And “It [gender mainstreaming] is a strategy for making the concerns and experiences of women as well as of men an integral part of the design, implementation, monitoring and evaluation of policies and programs in all political, economic and societal spheres, so that women and men benefit equally, and inequality is not perpetuated”.⁵⁸

The ultimate goal of mainstreaming is to achieve gender equality, and the goal of projects taking into account gender is to mainstream gender according to the above description. It was decided to ‘relax’ the gender mainstreaming description a little in the gender rating and not aim for gender perspectives and gender equality being central to ‘all activities’, but to ‘most, if not all, activities’.

⁵⁸ GEF, [Gender Equality Action Plan \(GEAP\)](#), October 2014. Council Document GEF/C.47/09/Rev.01.

The Fifth Overall Performance Study's (OPS5) "Sub-study on the GEF's Policy on Gender Mainstreaming" makes use of the following project rating categories for gender mainstreaming:

- *Serious Omission*: The project contained little or no reference to gender issues, but it should have included gender concerns because of the nature of the project.
- *Not Sufficient*: Gender issues were mentioned in the project documents, but no real attention was paid to these concerns in project activities.
- *Gender Mainstreamed*: Gender issues were integrated into the project.
- *Not Relevant*: Gender and social issues were not considered and were not expected to be considered in the project.⁵⁹

In line with the gender rationale of the UNDP Gender Marker, it was questioned whether it is appropriate to have initiatives where gender equality and/or women's empowerment issues can be considered 'not applicable', or 'not relevant'. In practice it is rare for projects to not have any gender relevance, given they then would be assumed to have no relevance to humans. The OPS5 sub-study also stated that "International gender specialists are increasingly providing evidence that the categories that do not take gender into account (such as energy technologies, street lighting and energy efficiency) are in fact gender relevant." (p. 35) The evaluation team of this sub-study agrees that projects that touch upon the lives of people – and GEF supported interventions do, either directly or indirectly through, for example, employment opportunities created – always have gender relevance.

The rating category 'gender blind' was added for those projects that do not demonstrate any gender awareness, but should. Gender aware and gender sensitive are chosen as categorizations, because their connotation is seen as more positive than the categories used in the earlier mentioned sub-study. The gender rating takes gender mainstreaming as the goal for projects, but has added an even higher goal of being gender transformative to identify those projects that go beyond gender mainstreaming and could be an example to others when it comes to gender.

The gender rating applied makes use of the following five scales:

1. **Gender-blind**: Project does not demonstrate awareness of the set of roles, rights, responsibilities, and power relations associated with being male or female.

Gender is not mentioned in the project documents beyond an isolated mention in the context description, gender is not tracked by the tracking tools and M&E instruments, no gender analysis took place, no gender action plan or gender strategy was developed for the project.

⁵⁹ IEO, [OPS5 - TD16 - Sub-study on the GEF's Policy on Gender Mainstreaming](#), October 2013. Fifth Overall Performance Studies, Technical Document 16.

2. **Gender-aware:** Project recognizes the economic / social / political roles, rights, entitlements, responsibilities, obligations and power relations socially assigned to men and women, but might work around existing gender differences and inequalities, or does not sufficiently show how it addresses gender differences and promotes gender equality.

Gender is mentioned in the project document, but it is unclear how gender equality is being promoted. There might be one or two gender disaggregated indicators, but it is unclear whether and how that data informs project management. Gender might be mentioned in a social assessment, but it is unclear what is done with that information. No gender action plan or gender strategy was developed for the project.

3. **Gender-sensitive:** Project adopts gender sensitive methodologies to address gender differences and promote gender equality.

A gender analysis or social analysis with gender aspects is undertaken, gender disaggregated data are collected, gender sensitive indicators are integrated in monitoring and evaluation, and the data collected informs project management. But the gender focus is only apparent in a limited number of project activities.

4. **Gender-mainstreamed:** Project ensures that gender perspectives and attention to the goal of gender equality are central to most, if not all, activities. It assesses the implications for women and men of any planned action, including legislation, policies or programs, in any area and at all levels.

Like gender-sensitive, but there are gender relevant components in most, if not all, activities.

5. **Gender-transformative:** Project goes beyond gender-mainstreaming and facilitates a 'critical examination' of gender norms, roles, and relationships; strengthens or creates systems that support gender equity; and/or questions and changes gender norms and dynamics.

Like gender-mainstreamed, but the way gender is addressed might result in behavioral changes towards gender norms and dynamics in the systems targeted by the project.

Terminal evaluation report review guidelines

The assessments in the terminal evaluation reviews are based largely on the information presented in the terminal evaluation report. If insufficient information is presented in a terminal evaluation report to assess a specific issue such as, for example, quality of the project's monitoring and evaluation system or a specific aspect of sustainability, then the preparer of the terminal evaluation reviews briefly indicates so in that section and elaborate more if appropriate in the section of the review that addresses quality of report. If the review's preparer possesses other first-hand information such as, for example, from a field visit to the project, and this information is relevant to the terminal evaluation reviews, then it should be included in the reviews only under the heading "Additional independent information available to the reviewer." The preparer of the

terminal evaluation review has taken into account all the independent relevant information when verifying ratings.

Criteria for Outcome Ratings

Based on the information provided in the terminal evaluation report, the terminal evaluation review makes an assessment of the extent to which the project's major relevant objectives were achieved or are expected to be achieved, relevance of the project results, and the project's cost-effectiveness. The ratings on the outcomes of the project are based on performance on the following criteria:

- a) **Relevance.** Were project outcomes consistent with the focal area/operational program strategies and country priorities?
- b) **Effectiveness.** Are project outcomes commensurate with the expected outcomes (as described in the project document) and the problems the project was intended to address (that is, the original or modified project objectives)?
- c) **Efficiency.** Include an assessment of outcomes and impacts in relation to inputs, costs, and implementation times based on the following questions: Was the project cost-effective? How does the project's cost/time versus outcomes equation compare to that of similar projects? Was the project implementation delayed due to any bureaucratic, administrative, or political problems and did that affect cost-effectiveness?

An overall rating is provided according to the achievement and shortcomings in the three criteria ranging from highly satisfactory, satisfactory, moderately satisfactory, moderately unsatisfactory, unsatisfactory, highly unsatisfactory, and unable to assess.

The reviewer of the terminal evaluation provides a rating under each of the three criteria (relevance, effectiveness, and efficiency). Relevance of outcomes is rated on a binary scale: a 'satisfactory' or an 'unsatisfactory' rating is provided. If an 'unsatisfactory' rating has been provided on this criterion, the overall outcome achievement rating may not be higher than "unsatisfactory". Effectiveness and Efficiency is rated as follows:

- **Highly satisfactory.** The project had no shortcomings.
- **Satisfactory.** The project had minor shortcomings.
- **Moderately satisfactory.** The project had moderate shortcomings.
- **Moderately unsatisfactory.** The project had noticeable shortcomings.
- **Unsatisfactory.** The project had major shortcomings.
- **Highly unsatisfactory.** The project had severe shortcomings.
- **Unable to assess.** The reviewer was unable to assess outcomes on this dimension.

The calculation of the overall outcomes score of projects considers all three criteria, of which relevance criterion will be applied first - the overall outcome achievement rating may not be higher than “unsatisfactory”. The second constraint that is applied is that the overall outcome achievement rating may not be higher than the “effectiveness” rating. The third constraint that is applied is that the overall rating may not be higher than the average score of effectiveness and efficiency criteria calculated using the following formula:

$$\text{Outcomes} = (b + c) \div 2$$

In case the average score is lower than the score obtained after application of the first two constraints, then the average score will become the overall score. The score is converted into an overall rating with mid values being rounded up upwards.

Impacts

Has the project achieved impacts, or is it likely that outcomes will lead to the expected impacts? Impacts will be understood to include positive and negative, primary and secondary long-term effects produced by a development intervention. They could be produced directly or indirectly and could be intended or unintended. The terminal evaluation review’s preparer takes note of any mention of impacts, especially global environmental benefits, in the terminal evaluation report including the likelihood that the project outcomes will contribute to their achievement. Negative impacts mentioned in the terminal evaluation report should be noted and recorded in section 2 of the terminal evaluation reviews template in the subsection on “Issues that require follow-up.” Although project impacts are to be described, they will not be rated.

Criteria for Sustainability Ratings

Sustainability will be understood as the likelihood of continuation of project benefits after completion of project implementation (GEF 2000). To assess sustainability, the terminal evaluation reviewer identifies and assesses key risks that could undermine continuation of benefits at the time of the evaluation. Some of these risks might include the absence of or inadequate financial resources, an enabling legal framework, commitment from key stakeholders, and enabling economy. The following four types of risk factors are assessed by the terminal evaluation reviewer to rate the likelihood of sustainability of project outcomes: financial, sociopolitical, institutional frameworks and governance, and environmental.

The following questions provide guidance to assess if the factors are met:

- *Financial resources.* What is the likelihood that financial resources will be available to continue the activities that result in the continuation of benefits (income-generating activities, and trends that may indicate that it is likely that in future there will be adequate financial resources for sustaining project outcomes)?

- *Sociopolitical.* Are there any social or political risks that can undermine the longevity of project outcomes? What is the risk that the level of stakeholder ownership is insufficient to allow for project outcomes/benefits to be sustained? Do the various key stakeholders see in their interest that the project benefits continue to flow? Is there sufficient public/stakeholder awareness in support of the long-term objectives of the project?
- *Institutional framework and governance.* Do the legal frameworks, policies, and governance structures and processes pose any threat to the continuation of project benefits? While assessing this parameter, consider if the required systems for accountability and transparency, and the required technical know-how, are in place.
- *Environmental.* Are there any environmental risks that can undermine the future flow of project environmental benefits? The terminal evaluation should assess whether certain activities in the project area will pose a threat to the sustainability of project outcomes. For example, construction of dam in a protected area could inundate a sizable area and thereby neutralize the biodiversity-related gains made by the project.

The reviewer provides a rating under each of the four criteria (financial resources, sociopolitical, institutional, and environmental) as follows:

- **Likely.** There are no risks affecting that criterion of sustainability.
- **Moderately likely.** There are moderate risks that affect that criterion of sustainability.
- **Moderately unlikely.** There are significant risks that affect that criterion of sustainability.
- **Unlikely.** There are severe risks affecting that criterion of sustainability.
- **Unable to assess.** Unable to assess risk on this dimension.
- **Not applicable.** This dimension is not applicable to the project.

A number rating 1–4 is provided in each category according to the achievement and shortcomings with likely = 4, moderately likely = 3, moderately unlikely = 2, unlikely = 1, and not applicable = 0. A rating of unable to assess will be used if the reviewer is unable to assess any aspect of sustainability. In such instances, it may not be possible to assess the overall sustainability.

All the risk dimensions of sustainability are critical. Therefore, the overall rating will not be higher than the rating of the dimension with the lowest rating. For example, if the project has an unlikely rating in either of the dimensions, then its overall rating cannot be higher than unlikely, regardless of whether higher ratings in other dimensions of sustainability produce a higher average

Criteria for Assessment of Quality of Project M&E Systems

GEF projects are required to develop M&E plans by the time of work program inclusion, to appropriately budget M&E plans, and to fully carry out the M&E plan during implementation. Project managers are also expected to use the information generated by the M&E system during project implementation to improve and adapt the project to changing situations. Given the long-term nature of many GEF projects, projects are also encouraged to include long-term monitoring plans that measure results (such as environmental results) after project completion. Terminal evaluation reviews will include an assessment of the achievement and shortcomings of M&E systems.

- a) *M&E design.* Project should have a sound M&E plan to monitor results and track progress in achieving project objectives. An M&E plan should include a baseline (including data, methodology, and so on), SMART (specific, measurable, achievable, realistic, and timely) indicators and data analysis systems, and evaluation studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified. Questions to guide this assessment include: In retrospect, was the M&E plan at entry practicable and sufficient (sufficient and practical indicators identified; timely baseline; targets created; effective use of data collection; analysis systems including studies and reports; practical organization and logistics in terms of what, who, and when for M&E activities)?
- b) *M&E plan implementation.* The M&E system was in place and allowed the timely tracking of results and progress toward project objectives throughout the project. Annual project reports were complete, accurate, and with well-justified ratings. The information provided by the M&E system was used to improve and adapt project performance. An M&E system should be in place with proper training for parties responsible for M&E activities to ensure that data will continue to be collected and used after project closure. Question to guide this assessment include: Did the project M&E system operate throughout the project? How was M&E information used during the project? Did it allow for tracking of progress toward project objectives? Did the project provide proper training for parties responsible for M&E activities to ensure data will continue to be collected and used after project closure?
- c) *Other questions.* This includes questions on funding and whether the M&E system was a good practice.
 - Was sufficient funding provided for M&E — in the budget included in the project document?
 - Was sufficient and timely funding provided – for M&E during project implementation?
 - Can the project M&E system be considered – a good practice?

A number rating 1–6 is to be provided for each criterion according to the achievement and shortcomings with highly satisfactory = 6, satisfactory = 5, moderately satisfactory = 4, moderately unsatisfactory = 3, unsatisfactory = 2, highly unsatisfactory = 1, and unable to assess = no rating. The reviewer of the terminal evaluation provides a rating

under each of the three criteria (M&E design, M&E plan implementation, and M&E properly budgeted and funded) as the Effectiveness and Efficiency is rated on a six-point satisfaction scale.

The rating for M&E during implementation will be the overall rating of the M&E system:
Rating on the Quality of the Project Monitoring and Evaluation System = b

ANNEX I: CONCLUSIONS AND RECOMMENDATIONS OF THE 2011 SCCF EVALUATION

Conclusion 1: The four SCCF programming strategies are relevant to the COP guidance.

Conclusion 2: The adaptation projects are relevant to the COP guidance and SCCF programming.

Conclusion 3: The technology transfer projects are relevant to COP guidance and SCCF programming.

Conclusion 4: The funding of SCCF is not commensurate with the global mandate of the COP guidance.

Conclusion 5: Although SCCF programming was formulated to implement activities under windows C and D, COP guidance for these windows was not implemented because of lack of funding.

Conclusion 6: The adaptation projects are highly relevant to national sustainable development agendas of beneficiary countries, contributing to socio-economic development goals.

Conclusion 7: Projects employ innovative approaches to overcome the lack of data on many emerging adaptation issues.

Conclusion 8: In general projects are well geared towards replication and up-scaling, yet follow-up is uncertain due to lack of funding.

Conclusion 9: The SCCF has been managed by the GEF in a cost-effective way; its management costs are lowest of comparable funds.

Conclusion 10: The formal project cycle is implemented in accordance to GEF standards and rules. However, due to the unpredictability of funding availability, an informal project pre-selection process has been introduced which is non-transparent.

Conclusion 11: Opportunities for learning – highly relevant given the innovative nature of the projects – may be lost because no knowledge exchange and learning mechanism exists.

Conclusion 12: SCCF projects are systematically perceived as GEF Trust Fund projects.

Recommendation 1: The LDCF/SCCF Council should appeal to donors to adequately fund the SCCF in a predictable manner, preferably through a replenishment process.

Given the severe underfunding of the SCCF, the GEF Council should appeal to donors for a substantial replenishment of the SCCF for the following reasons:

- The creation of the SCCF by the UNFCCC COP was a response to the developing countries' needs with regards to abating climate change impacts. However, as the evidence in this evaluation shows the SCCF has not fulfilled its role due to the limited availability of funds.
- Nevertheless the SCCF has built up a portfolio of innovative projects, yielding valuable experiences on adaptation issues, building on agencies' and countries' learning curves, and providing a critical mass of expertise on climate change funding.
- The SCCF is cost-effective: it has the lowest management costs of the current funds operating on adaptation issues.
- Except for the Adaptation Fund, no other major sources of funding of adaptation have emerged in recent years and the GEF itself in its programming document for GEF-5 specifies that „the GEF Trust fund will provide resources for climate change mitigation, while climate change adaptation will be funded through the Least Developed Countries (LDCF) and the Special Climate Change Fund (SCCF)’ confirming the SCCF's future role as crucial channel for adaptation financing through the GEF.

If funding of the SCCF would reach levels commensurate with its mandate, some of the current problems of the fund would disappear, like the lack of transparency in the pre-selection process.

Recommendation 2: The LDCF/SCCF Council should ask the Secretariat to prepare proposals to ensure:

- Transparency of the project pre-selection process: the current lack of transparency is linked to the mismatch between the mandate, available funding and good project proposals.
- Dissemination of good practices through existing channels: of eminent concern where the achievements are relevant beyond the SCCF itself.
- Visibility of the fund by requiring projects to identify their funding source: a clear identification of the SCCF in outreach documents, press releases, websites and so on.