

22nd LDCF/SCCF Council Meeting
May 25, 2017
Washington, D.C.

Agenda Item 08

**FY18 WORK PROGRAM AND BUDGET FOR THE INDEPENDENT EVALUATION
OFFICE OF THE GEF UNDER THE LDCF AND SCCF**

(Prepared by the Independent Evaluation Office of the GEF)

Recommended Council Decision

The Council, having reviewed document GEF/LDCF.SCCF.22/ME/04/Rev.01, *FY18 Work Program and Budget for the Independent Evaluation Office of the GEF under LDCF/SCCF*, approves an annual budget of \$73,000 for the Independent Evaluation Office for fiscal year 2018 for the proposed work program:

- a) \$34,000 from the LDCF and
- b) \$39,000 from the SCCF.

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INTRODUCTION

1. During FY17 the IEO completed the activities of the work program approved by the LDCF/SCCF Council at the 18th Council meeting in June 2015. The IEO carried out the Program Evaluation of the SCCF and prepared the LDCF/SCCF Annual Evaluation Report (AER) 2016.
2. Also at the 18th Council meeting the IEO introduced a multiannual budget for IEO's FY16-19 work program for LDCF/SCCF. This is in line with the practice for the GEF Trust Fund and accommodates multi-year evaluations such as OPS6 and knowledge sharing activities after the completion of evaluations. As the Funds mature the number of evaluations that are multi-year by nature will grow, while the budget is approved on an annual basis. Moving from a year-by-year work program to a four-year work program is in support of the development of a longer term evaluation vision towards the Funds.
3. While the IEO continues to provide quality evaluations on the performance and results of the LDCF and SCCF for accountability purposes, the FY16-19 LDCF/SCCF work program is organized around the two strategic programming pillars as laid out in the *2014-2018 GEF Programming Strategy on Adaptation to Climate Change for the LDCF and SCCF*: integrating climate change adaptation into relevant policies, plans, programs and decision-making processes, and expanding synergies with other GEF focal areas and IAPs. The IEO will deliver evaluative evidence and lessons to help refine the strategic priorities contained in the GEF programming strategy on adaptation.
4. In June 2016, the LDCF/SCCF Council approved a budget for the IEO of \$112,000 for FY17. It is estimated that the budget will be fully used by the end of FY17. This document presents a progress report on the activities completed by the IEO in FY16 and a work program and a budget for activities proposed for FY17-19.

PROGRESS REPORT AND FOUR-YEAR WORK PROGRAM

Annual Evaluation Report

5. The IEO has prepared the LDCF/SCCF Annual Evaluation Report 2016 (AER) to report on the performance of the LDCF and SCCF. It presents an assessment of the terminal evaluations of five completed LDCF projects that were submitted during fiscal year (FY) 2016. No terminal evaluations were submitted for SCCF projects, therefore the AER 2016 only covers LDCF projects and reports on project outcomes and sustainability, and the quality of project monitoring and evaluation. The AER 2016 also reports on innovative approaches, gender considerations in these projects, and includes a syntheses of lesson learned from the FY16 cohort of completed projects. Please see GEF/LDCF.SCCF.22/ME/01.
6. Future LDCF/SCCF AERs during FY18-19 will continue assessing completed projects using information from mid-term reviews, terminal evaluations and other relevant project documents. As the LDCF/SCCF portfolio matures the submission of an increasing number of

terminal evaluations¹ will permit more detailed assessment of the portfolio's performance, including project results, processes that may affect project results, M&E arrangements, and gender and innovative approaches. AERs will also report on other assessments and special studies during FY18-19, in line with the LDCF/SCCF strategic programming pillars.

7. The AER 2016 includes innovative approaches ranging from short-cycle seeds and high yielding crop varieties, sustainable pisciculture methods, and the use of a new participatory land use planning tool to develop climate risk responsive land zoning plans, to realizing new legislations, policies and plans that changed the environment in which forestry management is being practiced, and the development of a massive online open course on adaptation. Potential additional topics to report on in the AER during FY18-19 are multi-trust fund projects and LDCF/SCCF thematic programming priorities.

8. The AER also presents management action records to track adoption of the LDCF/SCCF Council's decisions across the GEF partnership. The Council decision taken at the June 2016 meeting on the Program Evaluation of the LDCF is tracked in the AER 2016.

Program Evaluations of the LDCF and the SCCF

9. As part of the Four-Year Work Program of the IEO approved by the LDCF/SCCF Council at its 18th meeting in June 2015 the IEO conducted the 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.

10. A portfolio analysis protocol, including a quality-at-entry review, was developed using a survey tool to assess the projects in a systematic manner to ensure that key project-level questions were addressed coherently. The team applied the portfolio analysis protocol to 117 projects at various stages of implementation and the quality-at-entry review protocol to 74 national projects (MSP/FSP) that were CEO endorsed/approved or under implementation 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 evaluation according to the core evaluation criteria.

11. 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. Finally, the evaluation team conducted an analysis of, and triangulated, data collected to determine trends, formulate main

¹ It is estimated that the number of terminal evaluations submitted will grow at an increasing rate.

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.

findings, conclusions, lessons and recommendations. The evaluation matrix, summarizing the key questions, indicators or basic data, sources of information and methodology was used to guide the analysis and triangulation. The evaluation reached eight conclusions and makes three recommendations. The Program Evaluation of the SCCF is being submitted to the LDCF/SCCF Council as a separate working document (see GEF/LDCF.SCCF.22/ME/02).

12. In FY17, the findings and recommendations of Program Evaluation of the LDCF were disseminated through a graphically edited report shared with LDCF stakeholders and published on the IEO website. The findings and recommendations were included in the Report of the GEF to the Twenty-Second Session of the Conference of Parties to the UNFCCC. Evaluation elements on resilience thinking and evidence-based learning were also presented at conferences, including the Adaptation Futures Conference in Rotterdam, the Netherlands, May 2016.

13. In FY18 the IEO proposes to disseminate the findings and recommendations of the SCCF evaluation through a graphically edited report and a summary of the report that will be disseminated to SCCF stakeholders and published on the IEO website. The findings and recommendations will be included in the Report of the GEF to the Twenty-Third Session of the Conference of the Parties to the UNFCCC. Findings will also be shared through a Climate-Eval blog post and a webinar will be developed to share the main findings of the evaluation. The findings may also be presented at key conferences.

Adaptation in the Sixth Comprehensive Evaluation of the GEF (OPS6)

14. The Fifth Overall Performance Study (OPS5) synthesized conclusions and evaluative evidence on adaptation to climate change. During GEF-5 adaptation to climate change was considered a focal area and included in IEO's evaluations of the GEF Trust Fund, such as performance and country level evaluations. Adaptation to climate change will be included in the Sixth Comprehensive Evaluation of the GEF (OPS6) through various channels. It will bring in evaluative evidence from the AERs completed since OPS5, the completed Program Evaluations of the LDCF and SCCF, and from GEF Trust Fund evaluations conducted by the IEO during GEF-6. Many of these evaluations will include LDCF/SCCF projects and/or cover projects that include adaptation to climate change activities, in particular, the Evaluation of Programmatic Approaches in the GEF, the Evaluation of Multiple Benefits of GEF Support, and the Annual Performance Report 2015. LDCF/SCCF financed activities and/or adaptation to climate change is included in OPS6 special studies, such as the Climate Change Focal Area Study, the Land Degradation Focal Area Study, the Sub-study on Gender Mainstreaming in the GEF, and evaluations and reviews like the Evaluation of GEF's Engagement with the Private Sector, performance reviews on project-level accomplishments, results-based management and the project cycle, and reviews of integrated approach pilot programs.

15. The IEO submitted 23 evaluation briefs to the first meeting for the seventh replenishment of the GEF held in March 2017. This included a brief of the completed LDCF program evaluation and a brief on findings of the SCCF program evaluation, which was still ongoing. The briefs are available on the IEO web site: <http://www.gefio.org/evaluations/ops6-briefs>. In FY18 the IEO proposes to continue including LDCF and SCCF projects and adaptation to

climate change in its evaluations and OPS6 studies and reviews. It will synthesize evaluative evidence and findings from evaluations of LDCF/SCCF financed activities and on adaptation to climate change in the final report of OPS6. For up-to-date information on OPS6 please see the IEO web site: <http://www.gefio.org/ops/ops-6>.

Policy and Guidance

16. The GEF Monitoring and Evaluation Policy requires all full-size projects (medium-size projects are encouraged) to complete a terminal evaluation upon the completion of their implementation. Terminal evaluations are the responsibility of GEF Partner Agencies and recipients of GEF grants. In April 2017 the IEO issued revised terminal evaluation guidelines⁴ to provide GEF Agencies guidance on the preparation of terminal evaluations. The IEO will prepare guidance for conducting terminal evaluations of LDCF/SCCF projects including guidelines on the independence of evaluators, issues relevant to the funds, and a rating system for selected criteria (i.e., outcomes, risks to sustainability, M&E systems) in FY18.

17. The 2010 M&E Policy is being reviewed and updated given the evolving nature of the GEF partnership—notably including the expansion of the number of GEF Agencies. Once the IEO has revised the M&E Policy, the *Guidance Document: Monitoring and Evaluation in the LDCF/SCCF* (2014)⁵ will be updated. This guidance document discusses the fundamentals of M&E practices within the context of the funds' M&E policies and requirements, and provides guidance to apply the M&E Policy to LDCF/SCCF activities in accordance with GEF policies and practices. The work is planned for FY19.

MULTIANNUAL EVALUATION BUDGET

18. In June 2015 the IEO introduced the first multiannual budget for IEO's FY16-19 work program for LDCF/SCCF. Table 1 presents the estimated budget by activity and fiscal year for a total of \$320,000. The amounts shown for the activities cover the cost of a Senior Evaluation Officer from the IEO to manage and contribute to the activities, and the cost of other IEO staff to carry out the activities.

19. At its 20th meeting in June 2016, the LDCF/SCCF Council approved a budget for the IEO of \$112,000 for FY17. It is estimated that the budget will be fully used by the end of FY17. The IEO requests the LDCF/SCCF Council's approval for the proposed annual budget of \$73,000 for FY18 to cover the cost of the third year of the activities presented above.

⁴ <http://www.gefio.org/sites/default/files/ieo/evaluations/files/gef-guidelines-te-fsp-2017.pdf>

⁵ <http://www.gefio.org/sites/default/files/ieo/evaluations/gef-me-ldcf-sccf-2014.pdf>

Table 1 Estimated Budget of the Independent Evaluation Office of the GEF (thousands \$)

Evaluation Activity	FY17	Estimated FY17 Expenditures	FY18	FY19	Total FY16- FY19
LDCF					
- Annual Evaluation Report	16	16	18	20	68
- LDCF Evaluation	10	10	0	0	65
- Adaptation in OPS6	10	10	13	2	25
- Policy and Guidance	0	0	3	4	7
Sub-total	36	36	34	26	165
SCCF					
- Annual Evaluation Report	16	16	18	20	68
- SCCF Evaluation	50	50	5	0	55
- Adaptation in OPS6	10	10	13	2	25
- Policy and Guidance	0	0	3	4	7
Sub-total	76	76	39	26	155
Total	112	112	73	52	320