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# Evaluation of the Special Climate Change Fund (SCCF)

## *Terms of Reference*

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## A. Introduction

1. At its 8<sup>th</sup> meeting in July 2010, the LDCF/SCCF Council requested the GEF Evaluation Office to undertake an evaluation of the SCCF to be presented at the November 2011 LDCF/SCCF Council meeting. This document describes the context and the approach by which the evaluation will be carried out.
2. The *Special Climate Change Fund* (SCCF) was first established in July 2001 with the approval of Decision 5/CP.6<sup>1</sup> by the 6<sup>th</sup> Conference of the Parties (COP) of the UN Framework Convention on Climate Change (UNFCCC) held at The Hague.
3. Following COP guidance, the SCCF shall finance activities within four funding windows:<sup>2</sup>
  - a) *Adaptation*: to support the implementation of adaptation actions in non-annex I parties.
  - b) *Transfer of technologies*: to support transfer of environmentally sustainable technologies, concentrating on, but not limited to, technologies to reduce emissions or atmospheric concentrations of greenhouse gases, in line with the recommendations from the national communications, technology assessments (TNAs) and other relevant information.
  - c) Support six specific sectors, *Energy, transport, industry, agriculture, forestry, and waste management*
  - d) *Economic diversification for fossil fuel dependent countries*: activities to assist developing countries whose economies are highly dependent on income generated from the production, processing, and export or on consumption of fossil fuels and associated energy-intensive products in diversifying their economies.
4. Among these four funding windows, COP9 defined adaptation activities as the “top priority” of the SCCF and technology transfer and its associated capacity-building activities as an “essential area to receive funding”.
5. The COP requested the GEF to manage the SCCF under direct guidance from the COP and separately from the GEF Trust Fund. The governing body of the SCCF is the LDCF/SCCF Council which meets two times a year. The SCCF follows GEF procedures and operational policies except where the LDCF/SCCF Council decides otherwise in response to COP guidance.
6. The SCCF is envisioned to complement the GEF mandate and is therefore connected to adaptation (e.g. Strategic Priority for Adaptation) and technology transfer (e.g. Strategy on Technology Transfer) under the GEF Trust Fund.
7. As of June 2011, the LDCF/SCCF Council has approved \$136 million<sup>3</sup> from the SCCF Trust Fund to finance 33 SCCF projects plus two Multi Trust Fund (MTF)

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<sup>1</sup> FCCC/CP/2001/5 (Annex, Core Elements for the Implementation of the Buenos Aires Plan of Action).

<sup>2</sup> COP Decision 7/CP.7.

<sup>3</sup> This amount includes the grant and the GEF agency fee.

projects that feature an SCCF contribution.<sup>4</sup> This is in addition to \$862 million provided in co-financing from other sources.<sup>5</sup> Available SCCF funding is about \$13.7 million as of June 2011.

8. The GEF agencies primarily implementing SCCF projects are UNDP and the World Bank. IFAD, EBRD, ADB and UNEP are involved in a smaller number of projects.<sup>6</sup>
9. Most SCCF projects are located in Africa (9 projects), but the larger amount of overall funding was allocated to projects in East Asia and Pacific (28%) and Latin American and the Caribbean (24%).
10. The majority of SCCF projects fall under SCCF A (Adaptation, 31 projects), primarily in the water and agriculture sectors. Four projects are funded under SCCF B (Transfer of Technologies). Windows C and D do not feature available funding nor approved projects.<sup>7</sup>

## **B. Evaluation Limitations**

11. The main limitation of the evaluation lies in the young age of the portfolio with few projects completed or under implementation. This translates into a limited availability of documents on implementation experience for the evaluation team in terms of project implementation reports, progress reports, project completion reports and ex-post evaluations.
12. The evaluation will accordingly concentrate on an assessment of the strategies and project designs as put forward by the project documents and complement this information with project results or preliminary results when available and appropriate. Information will be aggregated at the portfolio level.
13. In addition, the evaluation can only consider a small number of projects under SCCF window B and of course no projects under funding windows C and D. Therefore, the evaluation will primarily concentrate on assessing the SCCF experience with adaptation strategies and projects. Projects and strategies in the other three windows will be considered in a more limited way, particularly assessing issues such as responsiveness to guidance as well as availability and accessibility of funds.

## **C. Evaluation Objectives and Key Areas of Interest**

14. The main objective of the evaluation is to provide the LDCF/SCCF Council with evaluative evidence on the progress towards SCCF objectives as well as main achievements and lessons learned from the implementation of the SCCF so far, and to provide recommendations on the way forward for the SCCF.

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<sup>4</sup> Includes the four most recent projects approved under the LDCF/SCCF Joint Work Program at the May 2011 Council Meeting. The evaluation will include all approved projects up to June 30, 2011.

<sup>5</sup> SCCF Monthly Status report. Obtained through the SCCF team at the GEF Secretariat. December 2010 and July 2011.

<sup>6</sup> PMIS, June 2011.

<sup>7</sup> COP Decision 1/CP12.

15. The evaluation therefore focuses on the overarching question:

**What are the key lessons that can be drawn from the implementation of the SCCF ten years after its establishment?**

16. As the COP has requested feedback from parties and other entities on their experience with the SCCF, it is expected that the findings and recommendations from this evaluation will also be shared with the UNFCCC COP 17.
17. The evaluation will target two levels: at the fund level and at the project level. At the fund level, the evaluation will focus on the governance and management of the fund as a whole.
18. The SCCF evaluation will assess the implementation of the SCCF using aggregated data along four standard evaluation criteria: **relevance, efficiency, effectiveness, and results** (and their sustainability). Within each of these, the evaluation will identify and focus on a set of key areas of interest to specify and substantiate the respective criterion.

**Four evaluation criteria:**

I. Relevance: How relevant are the SCCF programming and its portfolio to the guidance of the UNFCCC, the GEF mandate including its connection to other GEF projects and the recipient countries' environmental and sustainable development agendas?

II. Efficiency: How efficient are the SCCF programming and its portfolio in reaching their objectives and expected outcomes?

III. Effectiveness: How effective are the SCCF programming and its portfolio in achieving expected outcomes or progress towards achieving expected outcomes?

IV. Results/Sustainability: What are the positive and negative, foreseen or unforeseen effects produced by the SCCF to this point, including results already achieved by the fund and its portfolio, and how sustainable are these results?

**I. RELEVANCE**

***How relevant are the SCCF programming and its portfolio to the guidance of the UNFCCC, the GEF mandate including its connection to other GEF projects and the recipient countries' environmental and sustainable development agendas?***

**A. UNFCCC guidance.** The evaluation will assess the relevance of the SCCF programming and its portfolio to UNFCCC guidance (in particular Decision 5/CP.9) by assessing how the guidance provided by the COP is reflected in the SCCF on the management of the fund as well as the aggregated project level. The way in which

COP guidance is operationalized by the GEF as the entity entrusted with managing the SCCF will also be assessed. The following table presents the key aspects of guidance given by UNFCCC COP 9:

**UNFCCC guidance.** Decision 5/CP9 requires the SCCF to focus on:

- a) Adaptation activities in the priority areas (see above) under funding window A that provide sufficient information to warrant climate change adaptation activities;
- b) In particular, capacity-building relating to the monitoring of diseases affected by climate change, as well as
- c) Prevention, preparedness and management of disasters and extreme weather conditions relating to climate change, and
- d) Strengthening of existing and establishing new national and regional centers and information networks for rapid response to extreme weather events, utilizing information technology as much as possible;
- e) Promotion of technology transfer (adaptation and mitigation) and its associated capacity-building activities in the priority areas (see above) under funding window B;
- f) Activities complementary to national sustainable development and poverty reduction agendas and integrated into them;
- g) Projects that are cost-effective and develop catalytic effects for leveraging additional resources from bilateral and multilateral sources.

**B. GEF mandate.** Following UNFCCC guidance, projects under the SCCF need to complement GEF activities funded under the climate change focal area. The evaluation will therefore assess how the SCCF relates to and complements the GEF mandate on climate change and how SCCF projects relate to other GEF activities.

The GEF programming to implement COP guidance on the SCCF (GEF/C24/12) highlights the following aspects in addition to the COP guidance presented above:

**Relationship with GEF Mandate.** GEF/C24/12 requires SCCF to focus on:

- a) Projects to remove barriers to development affected by impacts of climate change focusing on the realization of local benefits;
- b) The most vulnerable countries and regions within countries, recognizing the link between adaptation and poverty reduction;
- c) Activities that prevent additional impacts from climate change as opposed to merely reacting to these impacts;
- d) The transfer and application of technologies that are of high interest to a large number of countries.

**C. Recipient countries.** Decision 5/CP.9 calls for projects funded under the SCCF to be complementary to national agendas of recipient countries and integrated into national policies. The evaluation will therefore assess if the projects across the portfolio:

- a) Feature a high level of country-ownership, including drivenness, commitment and involvement of the governments of recipient countries;
- b) Have clear links with recipient countries' sustainable development and environmental agendas;
- c) Display a strong relationship with countries' existing national communications for Non-Annex I countries as well as NAPAs for LDCs.

**D. State of science.** Given the dynamic development of knowledge and scientific information in the field of climate change adaptation, the evaluation will also assess the SCCF's relevance to the current state and advancement of knowledge on adaptation activities. The evaluation will assess if the projects across the portfolio:

- a) Base the proposed adaptation activities on the best scientific information currently available;
- b) Have the potential to contribute to the advancement of the state of science by facilitating learning with regards to effective climate change adaptation.

## **II. EFFICIENCY**

***How efficient are the SCCF programming and its portfolio in reaching their objectives and expected outcomes?***

**A. Fund level efficiency.** Concerning the efficiency of the SCCF's operation overall, the evaluation will assess:

- a) The efficiency of the governance and management of the SCCF in following GEF guidance, fulfilling its objectives of funding provision and deliver projects and results.

The following table presents key aspects of GEF programming for the implementation of COP guidance and management of the SCCF:

**GEF Programming to implement COP guidance.** GEF/C.24/12 and the RMB framework call for:

- a) transparent, accountable and streamlined operational policies and procedures;
- b) avoidance of duplication with other GEF activities;
- c) timeliness and responsiveness of funding provision;
- d) efficiency of cost structure;
- e) accessibility of resources to recipient countries;
- f) efficient monitoring and evaluation, knowledge sharing and dissemination efforts.

**B. Portfolio level efficiency.** With regard to the efficiency of the SCCF funded portfolio in working towards its objectives, the evaluation will assess:

- a) The project cycle performance with the time elapsed between the formulation of a project idea until the project approval, implementation and completion;
- b) The level of efforts (in terms of financial and human resources) spent on the preparation and the implementation of SCCF funded projects;
- c) The projects' M&E and adaptive management systems and their ability to detect inefficient use of resources and provide solutions for improvement.

### **III. EFFECTIVENESS**

***How effective are the SCCF programming and its portfolio in achieving expected outcomes or progress towards achieving expected outcomes?***

**A. Fund level effectiveness.**

- a) Progress towards the achievement of objectives as summarized in the fund's RBM framework (GEF/LDCF.SCCF.7/4, para. 4):
  - Objective 1: Reduce vulnerability to the adverse impacts of climate change, including variability, at local, national, regional and global level.
  - Objective 2: Increase adaptive capacity to respond to the impacts of climate change, including variability, at local, national, regional and global level.
  - Objective 3: Promote the transfer and adoption of adaptation technology.

- b) Progress towards achievement of targets, expected outcomes, reported according to the agreed indicators as defined in the Adaptation Monitoring and Assessment Tool (AMAT);
- c) Effectiveness of the applied prioritization of sectors, regions and types of adaptation and technology transfer activities;
- d) The SCCF's ability to continuously improve its "responsiveness to countries and to the guidance of the Parties" (see GEF/C.24/12, para. 8).

**B. Portfolio level effectiveness:**

- a) Progress regarding the expected outcomes at the aggregated project level for each priority area of intervention as illustrated in Annex 2 of the RBM Framework (GEF/LDCF.SCCF.6/4);
- b) The methodological and scientific soundness of the assessment of vulnerability and adaptive/technology needs as well as the corresponding choice of the proposed adaptation/technology transfer activities;
- c) The effectiveness of the adaptation activities supported by the SCCF in strengthening resilience and adaptive capacity in recipient countries, including the projects' contribution to:
  - increasing awareness, knowledge and understanding of climate-induced threats in recipient countries;
  - mainstreaming adaptation into the broader political and development agenda of recipient countries;
  - enhancing an enabling environment for the transfer, demonstration and deployment of adaptation-related technologies;
- d) The degree of stakeholder involvement and level of coordination with international and regional organizations whose expertise is relevant to adaptation or technology transfer.
- e) Provisions integrated into the project design and strategy to ensure the project's flexibility to react to changes in the project context, available information, scientific advances as well as lessons learned during the project itself that require an adjustment of the project.
- f) Provisions integrated into the project design and strategy to enhance the sustainability, replicability and scalability of SCCF funded project achievements.
- g) The project's contribution to learning and knowledge dissemination regarding the effectiveness of climate change adaptation/technology transfer activities in view of effectiveness improvements of future projects.

**IV. RESULTS/SUSTAINABILITY**

***What are the positive and negative, foreseen or unforeseen effects produced by the SCCF to this point, including results already achieved by the fund and its portfolio and how sustainable are these results?***

**A. Fund level results.** The evaluation will:

- a) Assess the extent to which the fund has achieved its stated funding provision objectives in the relevant areas;
- b) Evaluate how closely the achievements of the SCCF funded portfolio reflect the objectives the SCCF initially set out to achieve following UNFCCC and GEF guidance.

**B. Sustainability of results and impacts.** Especially given the long-term horizon of the adaptation activities, the evaluation will assess the likelihood of the achieved results and impacts to be sustainable over time with regard to different dimensions of sustainability:

- a) Financial sustainability;
- b) Social sustainability;
- c) Institutional sustainability;
- d) Ecological sustainability.

## **D. Methods, Processes and Outputs**

19. The evaluation of the SCCF will be led by a task manager from the GEF Evaluation Office (GEFEO) and conducted by staff of the GEFEO along with a senior international consultant. The team should include technical and policy experts with backgrounds in adaptation and evaluation as well as knowledge of the various sectors of the COP guidance list for SCCF-A (i.e. health, water resource management, land management, agriculture, infrastructure development, fragile ecosystems, ICZM, and climate disasters risk management).
20. The GEF Adaptation Cluster is being consulted at key steps in the evaluation, for example with finalizing the approach paper and terms of reference for the evaluation, with the development the evaluation tools, identification of key documents and stakeholders to be consulted and draft reports. Furthermore, representatives from the GEF Agencies will be requested to provide assistance with project information and the organization of field visits.
21. To guide the implementation of the evaluation, the evaluation team is developing a series of protocols for conducting interviews, desk project reviews and field visits to a number of selected projects. The evaluation design includes the following four building blocks:

### **I. Evaluation Background Information**

- a) **Literature review:** A review of relevant literature will be conducted with a focus on previous evaluations of adaptation projects, programs and strategies, information on the development of adaptation activities as well as

activities dealing with mainstreaming of adaptation into national policies and procedures.

- b) **Meta evaluation of prior evaluations of SCCF projects:** Over the last few years, the GEFE0 and other agencies have conducted evaluations that have reviewed SCCF funded projects. The evaluation team will conduct a meta-evaluation to synthesize lessons, findings and experiences from prior assessments of SCCF funded projects.
- c) **Compilation of UNFCCC COP Decisions and LDCF/SCCF Council guidance:** The evaluation team will compile all relevant guidance from both institutions to be considered in the assessment.
- d) **Assessment of M&E Systems, including an initial assessment of the AMAT.**

## **II. Data Collection**

- a) **SCCF Portfolio database:** A database of all SCCF projects will be prepared including basic project information such as project cycle, financing (including co-financing), implementing institutions involved, themes, countries, main objectives, key partners, and implementation status.
- b) **Project reviews:** Every SCCF project will be subject to a desk review and all project related information available will be analyzed and interviews will be conducted with relevant project stakeholders. The data gathered from the project reviews will be aggregated at the portfolio level and used to evaluate the SCCF as a whole. A protocol will be developed to assess the projects in a systematic manner and ensure that project level key questions are addressed in coherently.

Given that the SCCF funded projects are at different stages of implementation, the status of the respective projects determines the way and extent in which it will be included in the SCCF evaluation according to the four following evaluation criteria.

| <div> <div> Evaluation criteria </div> <div> Project Status </div> </div> | Relevance | Efficiency | Effectiveness | Results    |
|---------------------------------------------------------------------------|-----------|------------|---------------|------------|
| Completed                                                                 | Full      | Full       | Full          | Full       |
| Ongoing                                                                   | Full      | Partially  | Likelihood    | Likelihood |
| Approved but not under Implementation                                     | Expected  | Process    | n.a.          | n.a.       |

- c) **Interviews with key stakeholders:** In-depth interviews will be conducted with a range of stakeholders, including GEF adaptation task force members, GEF Secretariat UNFCCC secretariat, and GEF Agencies staff, Governments, project implementers and other key project stakeholders and beneficiaries.
- d) **Field Visits:** Four projects have been selected for field visits, one in each of the four regions most extensively covered by the SCCF portfolio: East Asia Pacific (China), Middle East and North Africa (Egypt), Sub-Saharan Africa (Tanzania) and Latin America and the Caribbean (Guyana).

### **III. Data Analysis**

The evaluation team will conduct an analysis of the data collected to triangulate findings and determine trends, main findings, lessons and conclusions. Different stakeholders will be consulted during the process to test preliminary findings and trends. A draft report will be presented at a consultation workshop. Comments coming from the workshop and relevant stakeholders will be included, as appropriate.

## **E. Dissemination**

- 22. This draft evaluation report will be shared with implementing agencies and presented at the LDCF/SCCF Council meeting in November 2011. Its target audience will be the GEF Council and all GEF stakeholder as well as the general public and professionals interested in climate change adaption, technology transfer and development. The draft report will be circulated and validated before finalization through a comprehensive stakeholder feedback process.
- 23. Results of the evaluation will be presented to the UNFCCC Conference of the Parties (COP). COP Decision 4/CP.16 requested the GEF to “include in its report to the Conference of the Parties at its seventeenth session information on the implementation” of the SCCF (December 2010).
- 24. The evaluation will be made available through the GEF Evaluation Office website and will be distributed to the LDCF/SCCF Council members, GEF country focal points, GEF Secretariat, the GEF climate change task force, STAP, relevant GEF Agency and UNFCCC Secretariat staff and other interested parties through email. A two page summary (Signpost) of the report will be produced and disseminated.
- 25. Learning products from this evaluation will be identified and developed for specific and targeted audiences. The evaluation team will explore possibilities of undertaking a film recording during the field visits.
- 26. Knowledge sharing will also be explored with the activities under the Community of Practice on Climate Change and Development. The SCCF evaluation will be included in the electronic repository, published on the wiki as well as disseminated through any side-event/workshops held under the Community of Practice. The evaluation will also be disseminated through the partnerships built

under the Community of Practice initiative including e.g. DAC-DeREC, IDS- ELDIS, WB library, UNDP Adaptation Learning Mechanism, etc.

## F. Time Frame and Inputs

27. The evaluation of the SCCF is expected to be launched in May 2011 and to be finalized by November 2011. The Process Action Plan will be further revised and detailed as part of the preparation of the inception report and work plan by the Evaluation Team.

### a) Evaluation tasks and timetable

| Calendar Year: 2011 (month)  | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 |
|------------------------------|---|---|---|---|---|---|---|---|---|----|----|----|
| Tasks                        |   |   |   |   |   |   |   |   |   |    |    |    |
| <b>I Evaluation Design</b>   |   |   |   |   |   |   |   |   |   |    |    |    |
| Approach paper               |   |   |   |   |   |   |   |   |   |    |    |    |
| TORs                         |   |   |   |   |   |   |   |   |   |    |    |    |
| Select Sr. Consultant        |   |   |   |   |   |   |   |   |   |    |    |    |
| Protocol Development         |   |   |   |   |   |   |   |   |   |    |    |    |
| <b>II Evaluation Context</b> |   |   |   |   |   |   |   |   |   |    |    |    |
| Literature Review            |   |   |   |   |   |   |   |   |   |    |    |    |
| M&E Review                   |   |   |   |   |   |   |   |   |   |    |    |    |
| Guidance Review              |   |   |   |   |   |   |   |   |   |    |    |    |
| Evaluation Matrix            |   |   |   |   |   |   |   |   |   |    |    |    |
| Meta Evaluation              |   |   |   |   |   |   |   |   |   |    |    |    |
| <b>III Data Collection</b>   |   |   |   |   |   |   |   |   |   |    |    |    |
| Interviews                   |   |   |   |   |   |   |   |   |   |    |    |    |
| Project Desk Review          |   |   |   |   |   |   |   |   |   |    |    |    |
| Field Visits                 |   |   |   |   |   |   |   |   |   |    |    |    |
| <b>IV Analysis</b>           |   |   |   |   |   |   |   |   |   |    |    |    |
| Data analysis                |   |   |   |   |   |   |   |   |   |    |    |    |
| Draft Report                 |   |   |   |   |   |   |   |   |   |    |    |    |
| Consultation Workshop        |   |   |   |   |   |   |   |   |   |    |    |    |
| Final Document               |   |   |   |   |   |   |   |   |   |    |    |    |
| <b>V Presentations</b>       |   |   |   |   |   |   |   |   |   |    |    |    |
| Presentation to Council      |   |   |   |   |   |   |   |   |   |    |    |    |
| Presentation to COP17        |   |   |   |   |   |   |   |   |   |    |    |    |

**b) Inputs (in days) of evaluation team per task/month**

| Calendar Year: 2011 (month)  | 2  | 3  | 4  | 5  | 6  | 7  | 8  | 9  | 10 | 11 | 12 | Total      |
|------------------------------|----|----|----|----|----|----|----|----|----|----|----|------------|
| Tasks                        |    |    |    |    |    |    |    |    |    |    |    |            |
| <b>I Evaluation Design</b>   |    |    |    |    |    |    |    |    |    |    |    |            |
| Approach paper               |    |    | 5  | 5  | 3  |    |    |    |    |    |    | 13         |
| TORs                         |    |    |    |    | 4  |    |    |    |    |    |    | 4          |
| Select Sr. Consultant        |    |    | 2  | 2  |    |    |    |    |    |    |    | 4          |
| Protocol Development         |    |    |    | 5  | 3  |    |    |    |    |    |    | 8          |
| <b>II Evaluation Context</b> |    |    |    |    |    |    |    |    |    |    |    |            |
| Literature Review            | 8  | 8  | 8  | 5  | 5  | 1  |    |    |    |    |    | 35         |
| M&E Review                   | 8  | 8  | 8  | 5  | 5  | 1  |    |    |    |    |    | 35         |
| Guidance Review              |    |    |    |    | 4  | 1  |    |    |    |    |    | 5          |
| Evaluation Matrix            |    |    |    |    | 2  | 5  |    |    |    |    |    | 7          |
| Meta Evaluation              |    |    |    |    |    | 5  | 3  |    |    |    |    | 8          |
| <b>III Data Collection</b>   |    |    |    |    |    |    |    |    |    |    |    |            |
| Interviews                   |    |    |    |    | 12 | 15 | 5  |    |    |    |    | 32         |
| Project Desk Review          |    |    |    |    |    | 24 | 12 |    |    |    |    | 36         |
| Field Visits                 |    |    |    |    | 10 | 15 | 15 |    |    |    |    | 40         |
| <b>IV Analysis</b>           |    |    |    |    |    |    |    |    |    |    |    |            |
| Data analysis                |    |    |    |    |    |    | 20 | 10 |    |    |    | 30         |
| Draft Report                 |    |    |    |    |    |    | 10 | 16 |    |    |    | 26         |
| Consultation Workshop        |    |    |    |    |    |    |    | 5  |    |    |    | 5          |
| Final Document               |    |    |    |    |    |    |    |    | 26 |    |    | 26         |
| <b>V Presentations</b>       |    |    |    |    |    |    |    |    |    |    |    |            |
| Presentation to Council      |    |    |    |    |    |    |    |    |    | 16 |    | 16         |
| Presentation to COP17        |    |    |    |    |    |    |    |    |    |    | 15 | 15         |
| <b>TOTALS (month)</b>        | 16 | 16 | 23 | 22 | 48 | 67 | 65 | 31 | 26 | 16 | 15 | <b>345</b> |

**c) Inputs (in days) of individual team members per task**

| Team members                 | GEFEO Senior staff | Senior Consultant | GEFEO Evaluation Officer | GEFEO Evaluation Analyst | Totals |
|------------------------------|--------------------|-------------------|--------------------------|--------------------------|--------|
| Tasks                        |                    |                   |                          |                          |        |
| <b>I Evaluation Design</b>   |                    |                   |                          |                          |        |
| Approach paper               | 2                  | 4                 | 3                        | 4                        | 13     |
| TORs                         | 1                  | 1                 | 1                        | 1                        | 4      |
| Select Sr. Consultant        | 3                  | -                 | 1                        | -                        | 4      |
| Protocol Development         | 1                  | 2                 | 2                        | 3                        | 8      |
| <b>II Evaluation Context</b> |                    |                   |                          |                          |        |

|                            |           |           |            |           |            |
|----------------------------|-----------|-----------|------------|-----------|------------|
| Literature Review          | 1         | 2         | 30         | 2         | 35         |
| M&E Review                 | 1         | 2         | 30         | 2         | 35         |
| Guidance Review            | 1         | 1         | -          | 3         | 5          |
| Evaluation Matrix          | 1         | 2         | 1          | 3         | 7          |
| Meta Evaluation            | 1         | 2         | 4          | 1         | 8          |
| <b>III Data Collection</b> |           |           |            |           |            |
| Interviews                 | 2         | 12        | 6          | 12        | 32         |
| Project Desk Review        | 2         | 8         | 13         | 13        | 36         |
| Field Visits               | 10        | 10        | 10         | 10        | 40         |
| <b>IV Analysis</b>         |           |           |            |           |            |
| Data analysis              | 4         | 10        | 8          | 8         | 30         |
| Draft Report               | 3         | 9         | 7          | 7         | 26         |
| Consultation Workshop      | 1         | 2         | 1          | 1         | 5          |
| Final Document             | 4         | 10        | 6          | 6         | 26         |
| <b>V Presentations</b>     |           |           |            |           |            |
| Presentation to Council    | 1         | 7         | 4          | 4         | 16         |
| Presentation to COP17      | 1         | 6         | 4          | 4         | 15         |
| <b>TOTALS (month)</b>      | <b>40</b> | <b>90</b> | <b>131</b> | <b>84</b> | <b>345</b> |

## Annex 1: Evaluation Matrix

| Evaluation criteria                                                                                                                                                                                                                                           | Sub-criteria/Indicators                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Sources of information                                                                                                                                                                                                                                                                     | Data collection method                                                                                                                         |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>RELEVANCE</b><br><i>How relevant are the SCCF programming and its portfolio to the guidance of the UNFCCC, the GEF mandate including its connection to other GEF projects, the recipient countries' environmental and sustainable development agendas?</i> | <ul style="list-style-type: none"> <li>▪ Relevance of SCCF programming and portfolio to:               <ul style="list-style-type: none"> <li>○ Guidance of the UNFCCC</li> <li>○ GEF mandate</li> <li>○ Recipient countries' environmental and sustainable development agendas</li> <li>○ Current state and advancement of knowledge on adaptation activities</li> </ul> </li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | <ul style="list-style-type: none"> <li>▪ UNFCCC documents</li> <li>▪ SCCF Council documents</li> <li>▪ GEF Secretariat documents</li> <li>▪ Project documents</li> <li>▪ Key informants (GEF Secretariat, UNFCCC Secretariat, GEF Agencies, other experts)</li> </ul>                      | <ul style="list-style-type: none"> <li>▪ Documents analyses</li> <li>▪ Interviews</li> <li>▪ Field Visits</li> <li>▪ Council survey</li> </ul> |
| <b>EFFICIENCY</b><br><i>How efficient are the SCCF programming and its portfolio in reaching their objectives and expected outcomes?</i>                                                                                                                      | <ul style="list-style-type: none"> <li>▪ Efficiency of the governance and management of the SCCF:               <ul style="list-style-type: none"> <li>○ Transparent, accountable and streamlined operational policies and procedures</li> <li>○ Avoidance of duplication with other GEF activities</li> <li>○ Timeliness and responsiveness of funding provision</li> <li>○ Efficiency of cost structure</li> <li>○ Accessibility of resources to recipient countries</li> <li>○ Efficient monitoring and evaluation, knowledge sharing and dissemination efforts</li> </ul> </li> <li>▪ Efficiency of the SCCF portfolio:               <ul style="list-style-type: none"> <li>○ Project cycle performance</li> <li>○ Level of efforts (in terms of financial and human resources) spent on the preparation and the implementation of SCCF funded projects</li> <li>○ Projects' M&amp;E and adaptive management systems and their ability to detect inefficient use of resources and provide solutions for improvement</li> </ul> </li> </ul> | <ul style="list-style-type: none"> <li>▪ SCCF Council documents</li> <li>▪ GEF Secretariat documents</li> <li>▪ Project information (PMIS, Project documents, reviews and reports)</li> <li>▪ Key informants (GEF Secretariat, UNFCCC Secretariat, GEF Agencies, other experts)</li> </ul> | <ul style="list-style-type: none"> <li>▪ Documents analyses</li> <li>▪ Interviews</li> <li>▪ Field Visits</li> </ul>                           |

| Evaluation criteria                                                                                                                                                                                                                                              | Sub-criteria/Indicators                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Sources of information                                                                                                                                                                                                                                                                     | Data collection method                                                                                               |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------|
| <p><b>EFFECTIVENESS</b><br/> <i>How effective are the SCCF programming and its portfolio in achieving expected outcomes or progress towards achieving expected outcomes?</i></p>                                                                                 | <ul style="list-style-type: none"> <li>▪ Effectiveness of the governance and management of the SCCF: <ul style="list-style-type: none"> <li>○ Progress towards the achievement of objectives, targets, expected outcomes</li> <li>○ Effectiveness of the applied prioritization of sectors, regions and types of adaptation and technology transfer activities;</li> <li>○ Ability to continuously improve its “responsiveness to countries and to the guidance of the Parties”</li> </ul> </li> <li>▪ Effectiveness of the SCCF portfolio: <ul style="list-style-type: none"> <li>○ Increased awareness, knowledge and understanding of climate-induced threats in recipient countries;</li> <li>○ Mainstreaming of adaptation into the broader political and development agenda of recipient countries;</li> <li>○ Enhanced an enabling environment for the transfer, demonstration and deployment of adaptation-related technologies;</li> <li>○ Degree of stakeholder involvement and level of coordination with international and regional organizations</li> </ul> </li> </ul> | <ul style="list-style-type: none"> <li>▪ SCCF Council documents</li> <li>▪ GEF Secretariat documents</li> <li>▪ Project information (PMIS, Project documents, reviews and reports)</li> <li>▪ Key informants (GEF Secretariat, UNFCCC Secretariat, GEF Agencies, other experts)</li> </ul> | <ul style="list-style-type: none"> <li>▪ Documents analyses</li> <li>▪ Interviews</li> <li>▪ Field Visits</li> </ul> |
| <p><b>RESULTS/ SUSTAINABILITY</b><br/> <i>What are the positive and negative, foreseen or unforeseen effects produced by the SCCF to this point, including results already achieved by the fund and its portfolio and how sustainable are these results?</i></p> | <ul style="list-style-type: none"> <li>▪ Fund level results: <ul style="list-style-type: none"> <li>○ Achievement of stated funding provision objectives</li> <li>○ Concurrence of achievements and initial objectives of the SCCF</li> </ul> </li> <li>▪ Result sustainability: <ul style="list-style-type: none"> <li>○ Financial sustainability</li> <li>○ Social sustainability</li> <li>○ Institutional sustainability</li> <li>○ Ecological sustainability</li> </ul> </li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | <ul style="list-style-type: none"> <li>▪ SCCF Council documents</li> <li>▪ GEF Secretariat documents</li> <li>▪ Project information (PMIS, Project documents, reviews and reports)</li> <li>▪ Key informants (GEF Secretariat, UNFCCC Secretariat, GEF Agencies, other experts)</li> </ul> | <ul style="list-style-type: none"> <li>▪ Documents analyses</li> <li>▪ Interviews</li> <li>▪ Field Visits</li> </ul> |

## Annex 2: Overview of SCCF Portfolio

| PMIS ID           | Country                                                           | Project Title                                                                                                                                       | Agency          | Project Status                   | SCCF Total Costs (Approved) | Co-financing Total (Approved/Expected) | Total project Cost |
|-------------------|-------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|----------------------------------|-----------------------------|----------------------------------------|--------------------|
| <b>Adaptation</b> |                                                                   |                                                                                                                                                     |                 |                                  |                             |                                        |                    |
| 4261              | Azerbaijan                                                        | Integrating climate change risks into water and flood management by vulnerable mountainous communities in the Greater Caucasus region of Azerbaijan | UNDP            | Council Approved                 | 3.1                         | 7.4                                    | 10.4               |
| 3265              | China                                                             | Mainstreaming Adaptation to Climate Change Into Water Resources Management and Rural Development                                                    | World Bank      | Under implementation             | 5.8                         | 50.5                                   | 56.3               |
| 2931              | Ecuador                                                           | Adaptation to Climate Change through Effective Water Governance                                                                                     | UNDP            | Under implementation             | 3.7                         | 16.3                                   | 20.0               |
| 3242              | Egypt                                                             | Adaptation to Climate Change in the Nile Delta                                                                                                      | UNDP            | CEO Endorsed                     | 4.5                         | 12.9                                   | 17.4               |
| 3154              | Ethiopia                                                          | Coping with Drought and Climate Change                                                                                                              | UNDP            | Under implementation             | 1.1                         | 1.9                                    | 3.0                |
| 4368              | Ghana                                                             | Promoting a Value Chain Approach to Adaptation in Agriculture                                                                                       | IFAD            | Council Approved                 | 2.9                         | 8.6                                    | 11.5               |
| 3679              | Global                                                            | Economic Analysis of Adaptation Options in support of decision making                                                                               | UNEP            | Project completion               | 1.1                         | 3.6                                    | 4.7                |
| 3218              | Ghana                                                             | Climate Change and Human Health Programme                                                                                                           | UNDP            | CEO Endorsed                     | 2.0                         | 55.8                                   | 57.8               |
| 2553              | Global (Barbados, Fiji, Uzbekistan, Jordan, Bhutan, Kenya, China) | Piloting Climate Change Adaptation to Protect Human Health                                                                                          | UNDP            | CEO Endorsed                     | 5.5                         | 16.6                                   | 22.1               |
| 3227              | Guyana                                                            | Conservancy Adaptation Project                                                                                                                      | World Bank      | Under implementation             | 4.1                         | 16.2                                   | 20.3               |
| 4340              | Indonesia                                                         | Strategic Planning and Action to strengthen climate Resilience of rural Communities in Nusa Tenggara Timor province (SPARC)                         | UNDP            | PIF cleared for Council Approval | 5.0                         | 54.9                                   | 59.9               |
| 3249              | Kenya                                                             | Adaptation to Climate Change in Arid Lands (KACCAL)                                                                                                 | World Bank/UNDP | CEO Endorsed                     | 7.4                         | 42.2                                   | 49.6               |
| 3159              | Mexico                                                            | Adaptation to Climate Change Impacts on the Coastal Wetlands in the Gulf of Mexico through Improved Water Resource Management                       | World Bank      | CEO Endorsed                     | 5.3                         | 19.0                                   | 24.3               |
| 3695              | Mongolia                                                          | Mongolia Livestock Sector Adaptation Project                                                                                                        | IFAD            | CEO Endorsed                     | 1.8                         | 11.6                                   | 13.4               |
| 3967              | Morocco                                                           | Integrating Climate Change in Development Planning and Disaster Prevention to Increase Resilience of Agricultural and Water Sectors                 | World Bank      | Council Approved                 | 5.0                         | 100.2                                  | 105.2              |

| PMIS ID | Country                                                                                                            | Project Title                                                                                                                                                   | Agency     | Project Status       | SCCF Total Costs (Approved) | Co-financing Total (Approved/Expected) | Total project Cost |
|---------|--------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|----------------------|-----------------------------|----------------------------------------|--------------------|
| 3155    | Mozambique                                                                                                         | Coping with Drought and Climate Change                                                                                                                          | UNDP       | CEO Approved         | 1.0                         | 0.9                                    | 2.0                |
| 4492    | Nicaragua                                                                                                          | Adaptation of Nicaragua's Water Supplies to Climate Change                                                                                                      | World Bank | CEO Approved         | 6.6                         | 31.5                                   | 38.1               |
| 3966    | Pakistan                                                                                                           | Promotion of Rural Livelihoods through Adaptation Support Programme                                                                                             | IFAD       | Council Approved     | 3.0                         | 13.5                                   | 16.5               |
| 3243    | Philippines                                                                                                        | Climate Change Adaptation Project                                                                                                                               | World Bank | CEO Endorsed         | 5.8                         | 50.6                                   | 56.4               |
| 2902    | Regional (Bolivia, Peru, Ecuador)                                                                                  | Design and Implementation of Pilot Climate Change Adaptation Measures in the Andean Region                                                                      | World Bank | Under implementation | 9.3                         | 25.2                                   | 34.5               |
| 3101    | Regional (Cook Islands, Micronesia, Fiji, Nauru, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu, Vanuatu) | Pacific Islands Adaptation to Climate Change Project (PACC)                                                                                                     | UNDP       | Under implementation | 14.8                        | 44.7                                   | 59.5               |
| 4515    | Regional (Albania, Macedonia, Serbia)                                                                              | Southeastern Europe and Caucasus Catastrophe Risk Insurance Facility (SEEC CRIF)                                                                                | World Bank | Council Approved     | 6.0                         | 21.5                                   | 27.5               |
| 3934    | South Africa                                                                                                       | Reducing Disaster Risks from Wildfire Hazards Associated with Climate Change in South Africa                                                                    | UNDP       | Council Approved     | 4.0                         | 32.0                                   | 36.0               |
| 4255    | Swaziland                                                                                                          | Adapting National and Transboundary Water Resource Management in Swaziland to Manage Expected Climate Change                                                    | UNDP       | Council Approved     | 1.8                         | 6.1                                    | 7.9                |
| 4422    | Tajikistan                                                                                                         | Increasing Climate Resilience through Drinking Water Resources Management in North Tajikistan                                                                   | EBRD       | CEO Endorsed         | 2.7                         | 23.0                                   | 25.7               |
| 2832    | Tanzania                                                                                                           | Mainstreaming Climate Change in Integrated Water Resources Management in Pangani River Basin                                                                    | UNDP       | Project completion   | 1.1                         | 1.6                                    | 2.7                |
| 3299    | Thailand                                                                                                           | Climate Change Disaster Risk Reduction: Strengthening Vulnerable People's Capacity to Address the Risk and Impacts of Climate Change and Extreme Weather Events | UNDP       | CEO Approved         | 1.0                         | 2.7                                    | 3.7                |
| 3103    | Vietnam                                                                                                            | Climate-resilient Infrastructure Planning and Coastal Zone Development in Vietnam                                                                               | ADB/UNDP   | Council Approved     | 3.9                         | 177.1                                  | 180.9              |

| PMIS ID                    | Country  | Project Title                                                                                                                   | Agency | Project Status       | SCCF Total Costs (Approved) | Co-financing Total (Approved/Expected) | Total project Cost |
|----------------------------|----------|---------------------------------------------------------------------------------------------------------------------------------|--------|----------------------|-----------------------------|----------------------------------------|--------------------|
| 3156                       | Zimbabwe | Coping with Drought and Climate Change                                                                                          | UNDP   | Under implementation | 1.1                         | 1.2                                    | 2.2                |
| <b>Technology Transfer</b> |          |                                                                                                                                 |        |                      |                             |                                        |                    |
| 4040                       | Brazil   | RCCS - Renewable CO2 Capture and Storage from Sugar Fermentation Industry in Sao Paulo State                                    | UNDP   | Council Approved     | 3.0                         | 2.7                                    | 5.7                |
| 3907                       | Global   | Technology Needs Assessment                                                                                                     | UNEP   | CEO Endorsed         | 9.0                         | 2.9                                    | 11.9               |
| 4036                       | Jordan   | DHRS Irrigation Technology Pilot Project to face Climate Change impact in Jordan                                                | IFAD   | Council Approved     | 2.4                         | 6.2                                    | 8.6                |
| 4060                       | Jamaica  | Introduction of Renewable Wave Energy Technologies for the Generation of Electric Power in Small Coastal Communities in Jamaica | UNDP   | PPG Approved         | 0.8                         | 0.9                                    | 1.7                |
| <b>Total</b>               |          |                                                                                                                                 |        |                      | <b>135.5</b>                | <b>861.8</b>                           | <b>997.3</b>       |

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