

20<sup>th</sup> LDCF/SCCF Council Meeting

June 09, 2016

Washington, D.C.

Agenda Item 08

**FY17 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.20/ME/04, *FY17 Work Program and Budget for the Independent Evaluation Office of the GEF under LDCF/SCCF*, approves an annual budget of \$112,000 for the Independent Evaluation Office for fiscal year 2017 for the proposed work program:

- a) \$36,000 from the LDCF and
- b) \$76,000 from the SCCF.

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## **INTRODUCTION**

1. During FY16 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 conducted the Program Evaluation of the LDCF and prepared the LDCF/SCCF Annual Evaluation Report (AER) 2015. At the same 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 OPS5 and the CEG6 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.

2. 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. The IEO will deliver evaluative evidence and lessons to help refine the strategic priorities contained in the GEF programming strategy on adaptation.

3. In June 2015, the LDCF/SCCF Council approved a budget for the IEO of \$83,000 for FY16. It is estimated that the budget will be fully used by the end of FY16. 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**

4. The IEO has prepared the LDCF/SCCF Annual Evaluation Report 2015 (AER) to report on the performance of the LDCF and SCCF. It presents an assessment of the terminal evaluations of eleven completed LDCF/SCCF projects that were submitted during FY 2015 and reports on project outcomes and sustainability, and the quality of project monitoring and evaluation. The AER 2015 also reports on innovative approaches and gender considerations in these projects, and includes a syntheses of lesson learned. Please see GEF/LDCF.SCCF.20/ME/03.

5. Future LDCF/SCCF AERs during FY17-19 will also assess completed projects using information from terminal evaluations. As the LDCF/SCCF portfolio matures the submission of an increasing number of terminal evaluations<sup>1</sup> will permit more detailed assessment of the portfolio's performance including project results, processes that may affect project results, and M&E arrangements. AERs will also report on other assessments and special studies during FY17-

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

19, in line with the LDCF/SCCF strategic programming pillars. AER 2015 includes innovative approaches ranging from early warning systems and related communications, innovations in climate resistant crops, and water technologies, gender considerations, and lessons learned. Potential additional topics to report on in the AER during FY17-19 are multi-trust fund projects and LDCF/SCCF thematic programming priorities.

6. The AER also presents management action records to track adoption of the LDCF/SCCF Council's decisions across the GEF partnership. At this June 2015 Council meeting a decision will be taken on the LDCF program evaluation that will be tracked in future AERs.

### **Program Evaluations of the LDCF and the SCCF**

7. 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 LDCF. The evaluation focuses on performance and progress towards LDCF objectives and emerging results. The overall purpose of the evaluation is to provide the LDCF/SCCF Council with evaluative evidence of the Fund's relevance and emerging results.

8. 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 280 projects at various stages of implementation and the quality-at-entry review protocol to 116 national projects (MSP/FSP) that were CEO endorsed/approved or under implementation as of October 2015. Given that the NAPA implementation projects are at different stages of implementation, the status of the respective projects determines the way and extent in which they were included in the LDCF program evaluation according to the core evaluation criteria.

9. In addition to the document and project reviews, the team conducted four country field visits (to Cambodia, Haiti, Lao PDR and Senegal) 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 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 LDCF is being submitted to the LDCF/SCCF Council as a separate working document (see GEF/LDCF.SCCF.20/ME/01).

10. In FY17 the IEO proposes to disseminate the findings and recommendations of the LDCF evaluation through a graphically edited report and a summary of the report that will be disseminated to LDCF stakeholders and published on the IEO website. The findings and recommendations will be included in the Report of the GEF to the Twenty-Second Session of the Conference of the Parties to the UNFCCC. This document reports on GEF's activities in FY16 relating to its implementation of guidance by the COP, its initiatives relating to programming directions, integrated approaches, private sector activities and climate summit and sustainable development goals work, and the results of its support for climate change mitigation and

adaptation. 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.

11. In regard to the SCCF, the IEO proposes an update of the *Evaluation of the Special Climate Change Fund* (2011) which covered 35 projects, including two multi-trust fund projects. The number of projects has increased considerably since then, with 76 SCCF projects including 12 multi-trust fund projects at various stages of approval and/or implementation as of September 2015. The portfolio is still young with only 10 projects completed. The update will provide evaluative evidence on the progress towards SCCF objectives as well as the major achievements and lessons learned from the operations of the SCCF in financing and promoting its broad mandate covering adaptation to climate change impacts and mitigation of greenhouse gas emissions, accessible to all developing countries that are parties under the UNFCCC. The evaluation will follow-up on the conclusions and recommendations of the 2011 SCCF evaluation and will provide inputs to the ongoing process of reshaping the architecture of climate finance.

12. The IEO proposes to conduct the SCCF evaluation in FY17. The IEO will develop a draft evaluation approach paper which will be shared with stakeholders for comments in September 2016. The full report of the SCCF evaluation will be submitted to the LDCF/SCCF Council as a working document in June 2017.

### **Adaptation in the Sixth Comprehensive Evaluation of the GEF**

13. 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 the 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 (CEG6) through various channels. It will bring in evaluative evidence from the AERs prepared during FY16-19, the completed Program Evaluations of the LDCF, the proposed Program Evaluation of the SCCF, and from planned GEF Trust Fund evaluations conducted by the IEO during GEF-6. Many of these evaluations will integrate adaptation to climate change, in particular, the Evaluation of Programmatic Approaches in the GEF and the Evaluation of Multiple Benefits of GEF Support. Both of these evaluations are ongoing. Adaptation to climate change will also be included in special studies for the CEG6 on, for example, performance, strategies and approaches, and multi-trust fund projects, and gender mainstreaming.

### **Policy and Guidance**

14. The 2010 GEF Monitoring and Evaluation (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) 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 guidance document is available on the GEF IEO website.<sup>2</sup>

15. In line with the GEF M&E Policy, the LDCF/SCCF M&E Policy requires that all full-size projects (medium-size projects are encouraged) complete a terminal evaluation upon the completion of their implementation. Terminal evaluations are the responsibility of GEF Partner Agencies and recipients of GEF grants. The IEO issued Terminal Evaluation Guidelines to provide the GEF Partner Agencies guidance on the preparation of terminal evaluations in 2008. The IEO has adopted a consultative approach to update the terminal evaluation guidelines. The IEO will finalize the new terminal evaluation guidelines during FY17. Once this is done, 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).

#### **MULTIANNUAL EVALUATION BUDGET**

16. 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.

17. At its 18th meeting in June 2015, the LDCF/SCCF Council approved a budget for the IEO of \$83,000 for FY16. It is estimated that the budget will be fully used by the end of FY16. The IEO requests the LDCF\SCCF Council's approval for the proposed annual budget of \$112,000 for FY17 to cover the cost of the second year of the activities presented above.

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<sup>2</sup> <https://www.thegef.org/gef/M-and-E-in-the-LDCF-SCCF>.

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

<b>Evaluation Activity</b>	<b>FY16</b>	<b>Estimated FY16 Expenditures</b>	<b>FY17</b>	<b>FY18</b>	<b>FY19</b>	<b>Total FY16- FY19</b>
<b>LDCF</b>						
- Annual Evaluation Report	14	14	16	18	20	68
- LDCF Evaluation	55	55	10	0	0	65
- Adaptation in CEG6	0	0	10	13	2	25
- Policy and Guidance	0	0	0	5	2	7
Sub-total	69	69	36	36	24	165
<b>SCCF</b>						
- Annual Evaluation Report	14	14	16	18	20	68
- SCCF Evaluation	0	0	50	5	0	55
- Adaptation in CEG6	0	0	10	13	2	25
- Policy and Guidance	0	0	0	5	2	7
Sub-total	14	14	76	41	24	155
<b>Total</b>	<b>83</b>	<b>83</b>	<b>112</b>	<b>77</b>	<b>48</b>	<b>320</b>