

GEF  
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EVALUATION

# Evaluation of the Special Climate Change Fund

## Volume 2: Annexes



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## Annexes

# Evaluation of the Special Climate Change Fund (SCCF)

Annex A: Approach Paper  
Annex B: Project Portfolio Overview  
Annex C: Chronology of UNFCCC COP Guidance and LDCF/SCCF Council Decisions  
Annex D: Interviewees  
Annex E: Project Portfolio Review Template  
Annex F: Summary of Projects  
Annex G: Literature Review  
Annex H: Meta-Review of the History and Preassessments of the Special Climate Change Fund  
Annex I: Indicator Analysis  
Annex J: Adaptation Monitoring and Assessment Tool (AMAT)  
Annex K: Management Response

*[Minor editorial changes have been made for clarity, style, and consistency.]*



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**Evaluation of the  
Special Climate Change Fund (SCCF)  
Approach Paper**

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## A.1 Introduction

1. At the eighth meeting in July 2010, the LDCF/SCCF Council requested that the GEF Evaluation Office 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 designed in July 2001 with the approval of Decision 5/CP.6<sup>1</sup> by the sixth Conference of the Parties (COP6, Part II) of the United Nations Framework Convention on Climate Change (UNFCCC). The decision, in its Annex, states that the SCCF will:

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: (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)* [i.e., economies dependent on income from fossil fuels], *in diversifying their economies*.
3. Six months later, at COP7 held in Marrakesh (December 2001), three decisions (Decision 5/CP.7, 6/CP.7, and 7/CP.7)<sup>2</sup> defined in a comprehensive manner a broad field of interventions to address effects of climate change to be funded by the SCCF, a new Trust Fund to be managed by an entity entrusted with the operation of the financial mechanism of the convention, i.e., the GEF. Subsequent guidance was provided to the GEF by COP8 (2002),<sup>3</sup> COP9 (2003),<sup>4</sup> COP10 (2004),<sup>5</sup> and COP12 (2006)<sup>6</sup> which further defined the design of the SCCF. Particularly at COP9, the SCCF was requested to prioritize funding for different activities granting “top priority” to adaptation activities to address adverse impacts of climate change.
4. Furthermore, COP9 decision 5/CP.9 (2003)<sup>7</sup> defined technology transfer and associated capacity-building activities as an “essential area to receive funding” from the SCCF. Additional guidance on technology transfer was given in 2007 with the decision on the Development and Transfer of Environmentally Sound Technologies (ESTs) approved by COP13 in Bali and further made operational by COP14 in 2007 in Poznan.<sup>8</sup>
5. With its broad scope covering adaptation to climate change impacts as well as greenhouse gas mitigation, the SCCF represented the only comprehensive climate change fund directly under the UNFCCC until the Cancun Agreements by COP16 established the Green Climate Fund. The emergence of the Green Climate Fund will change the landscape of international climate finance and with it the role of the SCCF.

## A.2 Context and Design of the SCCF

### Adaptation to Climate Change Impacts and the GEF

6. GEF eligibility criteria for adaptation projects were first defined at COP1 in 1995 in Decision 11/CP.1 presenting three stages for adaptation activities:

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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> FCCC/CP./2001/13/Add.1

<sup>3</sup> FCCC/CP./2002/7/Add.1

<sup>4</sup> FCCC/CP./2003/6/Add.1

<sup>5</sup> FCCC/CP./2004/10/Add.1

<sup>6</sup> FCCC/CP./2006/5/Add.1

<sup>7</sup> FCCC/CP./2003/6/Add.1

<sup>8</sup> FCCC/CP/2008/7/Add.1.

- **Stage I:** Planning, including studies of possible impacts of climate change
  - **Stage II:** Measures, including further capacity building, that may be taken to prepare for adaptation, as envisioned under Article 4.2 (e) of the convention
  - **Stage III:** Measures to facilitate adequate adaptation, including insurance, and other adaptation measures as envisioned under Article 4.1 (b) and Article 4.4 of the convention
7. As the UNFCCC financial mechanism, the GEF initially supported Stage I activities, mostly through the formulation of national communications under the GEF Trust Fund.
  8. At COP6 and COP7 held at the Hague in 2000 and Marrakesh in 2001, the parties to the UNFCCC adopted several decisions to establish a number of new funding mechanisms for financing climate change adaptation activities:
    - a) A pilot program on adaptation under the GEF Trust Fund (SPA)
    - b) The Least Developed Countries Funds (LDCF)
    - c) The Special Climate Change Fund (SCCF)
    - d) The Adaptation Fund under the Kyoto Protocol
  9. In response to the COP guidance concerning the pilot program on adaptation, the GEF allocated an initial \$50 million in 2003 for a Strategic Priority for Adaptation (SPA).<sup>9</sup> The SPA portfolio is now complete. It consists of 26 projects that leveraged \$649 million in cofinancing.
  10. The GEF Secretariat jointly manages the SCCF and the LDCF. These two funds receive direct guidance from the UNFCCC COP and are managed separately from the GEF Trust Fund, with their own governance structure and strategic priorities.
  11. The LDCF addresses the special needs of the least developed countries (LDCs) under the climate convention. Primarily, the LDCF finances the preparation and implementation of national adaptation programs of action (NAPAs). The LDCF has approved approximately \$177 million for 47 projects.
  12. While the SCCF features a broad scope of objectives, COP9 requested that the SCCF prioritize funding for adaptation: 31 of the 35 approved SCCF projects to date include activities that address adaptation to climate change. As of June 2011, the LDCF/SCCF Council has approved \$136 million of SCCF funding.
  13. The Adaptation Fund was created to fund adaptation projects in developing countries that are parties to the Kyoto Protocol. The Fund is financed with 2 percent of the proceeds from certified emissions reductions issued for projects of the Clean Development Mechanism and other sources of funding. In accordance with decision 1/CMP.3 of the COP serving as the meeting of the parties to the Kyoto Protocol, the GEF provides secretariat services to the Adaptation Fund Board on an interim basis. As of June 30, 2011, the Fund has approved 10 projects for \$60.5 million.
  14. Finally, at COP16 held in Cancun, Mexico (2010), the COP adopted a decision to establish a Green Climate Fund:
 

to be designated as an operating entity of the financial mechanism of the Convention under Article 11, with arrangements to be concluded between the COP and the Green Climate Fund to ensure that it is accountable to and functions under the guidance of the COP. The Green Climate Fund will support projects, programmes, policies and other activities in developing country Parties using thematic funding windows.

The Green Climate Fund is currently under discussion; its functioning and funding remain unknown. This SCCF evaluation will contribute to provide objective elements to the ongoing process.

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<sup>9</sup> GEF (2003).

## Transfer of Environmentally Sound Technologies and the GEF

15. Technology transfer plays a critical role in the global response to the challenge of climate change.<sup>10</sup> The transfer of ESTs is embodied in the UNFCCC (Article 4.5):

Developed country Parties and other developed Parties included in Annex II shall take all practicable steps to promote, facilitate and finance, as appropriate, the transfer of, or access to, environmentally sound technologies and know-how to other Parties, particularly developing country Parties, to enable them to implement the provisions of the Convention.

16. In order to pursue these goals, the convention proposed the creation of a financial mechanism of the convention:

A mechanism for the provision of financial resources on a grant or concessional basis, including for the transfer of technology, is hereby defined. It shall function under the guidance of and be accountable to the Conference of the Parties, which shall decide on its policies, program priorities and eligibility criteria related to this Convention. Its operation shall be entrusted to one or more existing international entities (UNFCCC Article 11).

17. Since COP1, the GEF has served as the entity operating as the financial mechanism of the UNFCCC, also holding a mandate to fund ESTs. The GEF has since evolved into the largest public sector funding source for ESTs, investing about \$250 million annually.
18. The COP regularly provides further guidance to the GEF addressing the financing of EST transfer. The most recent was the approval of the COP14 Poznan Decision in 2008<sup>11</sup> on the development and transfer of technologies.
19. In response to COP14 guidance, the GEF introduced a strategic priority on technology transfer as part of its climate change focal area during the GEF-5 replenishment period. The GEF Technology Transfer Strategy endeavors to “exert a transformative impact in helping GEF-recipient countries to move along a low-carbon development path through investment in, and market transformation of, ESTs.”<sup>12</sup> According to COP guidance, the SCCF should play a complementary role to technology transfer activities under the GEF Trust Fund.

## Design of the Special Climate Change Fund

20. The features of the SCCF were first described in an annex to Decision 5/CP.6. This guidance was formally approved by the three decisions agreed upon by COP7 requiring that the SCCF shall finance activities within four fields:
- A. **Adaptation:** to support the implementation of adaptation actions in non-Annex I parties
  - B. **Transfer of technologies:** to focus on support to the 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 needs assessments, 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.
21. COP8 (2002), COP9 (2003), COP10 (2004), and COP12 (2006) successively provided further detailed guidance, in particular about prioritization to the GEF. COP 9 stated that:

<sup>10</sup> The GEF and Its Role in The Transfer of Environmentally-Sound Technologies, July 2008.

<sup>11</sup> FCC/CP/2008/7/Add.1

<sup>12</sup> GEF (2011), Technology Transfer for Climate Change [<http://www.thegef.org/gef/TT>].

- a) The Special Climate Change Fund should serve as a catalyst to leverage additional resources from bilateral and other multilateral sources;
- b) Activities to be funded should be country-driven, cost-effective and integrated into national sustainable development and poverty-reduction strategies;
- 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 SCCF.

### **The SCCF 2004 Program for Adaptation**

22. In 2004, the GEF Council approved the first “Programming to Implement the Guidance for the Special Climate Change Fund.”<sup>13</sup> This document entails the operationalization of COP guidance on the SCCF, putting forward general principles for the implementation of the Fund as well as specific programs for funding windows A and B that correspond to the first two fields adopted by COP9 in 2003.

23. The GEF SCCF programming stipulates that the SCCF will follow GEF Trust Fund operational rules, guidelines, and procedures, except when COP guidance decides otherwise. This includes

- applying the GEF project cycle,
- expedited procedures,
- GEF Council rules and procedures during the SCCF/LDCF Council meetings, and
- monitoring and evaluation policies and procedures.

24. The document defines the application of the “additional adaptation cost” and the incremental cost in the context of the SCCF:

For activities under window A (as classified under the GEF funding programming) access to SCCF adaptation funding requires the application of the “additional cost of adaptation,” referring to additional costs incurred for adaptation activities addressing climate change impacts. Additional adaptation costs are defined in the context of a specific development project/program and are **not aimed at generating global environmental benefits**.<sup>14</sup>

25. The Program for Adaptation included into the GEF SCCF 2004 programming document reiterates the SCCF’s focus on the priority areas defined by the COP and states that, in accordance with COP guidance, adaptation activities under the SCCF will

- a) be country-driven, cost-effective and integrated into national sustainable development and poverty-reduction strategies; and
- b) take into account national communications or NAPAs and other relevant studies and information provided by the party.

### **The SCCF 2010 GEF Adaptation Programming Strategy**

26. A new programming document for an overall GEF Adaptation Programming strategy was proposed and adopted for the LDCF/SCCF, covering operations from July 1, 2010, until June 30, 2014. The 2010 financing strategy proposes to<sup>15</sup>

- increase funding to support the growing volume and scale of interventions, taking advantage, for example, of the programmatic approach and other appropriate modalities;

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<sup>13</sup> GEF/C.24/12.

<sup>14</sup> GEF Secretariat, 2004b.

<sup>15</sup> GEF Secretariat, 2010a.



- increase the predictability of funding, in order to better facilitate medium-term planning of the resources; and
  - channel GEF-managed adaptation financing resources through the SCCF and the LDCF, as the GEF-5 programming documents do not include adaptation.
27. This evaluation will largely take into consideration the programming strategy as endorsed by the GEF Council in November 2004, as the activities being evaluated have taken place before the adoption of the revised strategy of 2010.

### **The SCCF 2004 Program for Technology Transfer**

28. The 2004 GEF SCCF programming strategy (GEF/C.24/12) also includes a Program for Technology Transfer, which describes that activities funded under SCCF-B should seek to catalyze additional resources and focus on the transfer of ESTs, concentrating on, but not limited to, technologies to reduce emissions or atmospheric concentrations of greenhouse gases. The SCCF does not provide investment capital for the transfer of technologies.
29. The objective of SCCF-B is to be achieved through the following two-step process:
- a) Identifying key technologies for transfer
  - b) Building local capacity and improving the local enabling environment to facilitate the transfer of technologies
30. The SCCF *Program for Transfer of Technologies* (window B) is responding to the COP guidance Decision 5/CP.7. The SCCF will finance projects incremental costs and seek to serve as a catalyst to leverage additional resources for the transfer of technology. The program states that
- the incremental costs will be those costs directly associated with securing the global benefits arising from the wide scale adoption of clean technologies in participating countries. [...]** Incremental analysis of proposals for consideration will focus on defining the additional costs of the proposed activities; demonstrating how they are distinct from but make use of existing programs; and how the technology transfer process would be completed, that is, what are the avenues envisioned for the eventual investments.<sup>16</sup>

### **Results-Based Management Framework**

31. In addition to the programming document, a results-based management (RBM) framework for adaptation has been devised by the GEF Secretariat for the LDCF and SCCF. The LDCF/SCCF RBM applies to all adaptation projects funded under the SCCF, whether under SCCF-A or SCCF-B. Transfer of climate change mitigation technology, however, follows the RBM that applies to similar projects under the GEF Trust Fund. The LDCF/SCCF RBM framework draws upon the GEF RBM framework as well as previous work by the United Nations Development Programme (UNDP), GEF's Adaptation Task Force, and the GEF Evaluation Office. Along with the RBM framework, an Adaptation Monitoring and Assessment Tool (AMAT) has been developed by the GEF which defines the expected objectives of the SCCF within the approved thematic areas at local, national, regional, and global levels:
- a) Reduce vulnerability to the adverse impacts of climate change, including variability
  - b) Increase adaptive capacity to respond to the impacts of climate change, including variability
  - c) Promote transfer and adoption of adaptation technology
32. Expected outcomes related to these three objectives include mainstreaming adaptation into broader development frameworks; reducing vulnerability in development sectors; diversifying and strengthening livelihoods; increasing knowledge of climate change and variability; strengthening

<sup>16</sup> GEF Secretariat (2004b).

adaptive capacity as well as awareness and ownership of adaptation activities; demonstrating successful employment; and enhancing enabling environments to support adaptation technology transfer.<sup>17</sup>

### SCCF Funding Issue

33. Unlike the GEF Trust Fund, which is replenished every four years, the SCCF and LDCF receive voluntary contributions with no regular replenishment schedule. This leads to a high level of financing uncertainty, as also concluded in the recently completed LDCF evaluation.<sup>18</sup>
34. To date, the windows for adaptation (SCCF-A) and transfer of technologies (SCCF-B) feature available funding and approved projects.
35. Although the GEF received guidance from COP12 in 2006 on how to operationalize a program in the areas of C and D, these two windows still remain unfunded.<sup>19</sup>

### A.3 Overview of the SCCF Portfolio as of June 2011

36. As of the end of December 2010, 14 participating countries have made pledges to the SCCF.<sup>20</sup> The total amount pledged to date is about \$220 million. As of June 2011, the GEF LDCF/SCCF Council has approved \$136 million<sup>21</sup> from the SCCF Trust Fund to finance 33 SCCF projects plus two multi-trust fund projects that feature an SCCF contribution;<sup>22</sup> this is in addition to \$862 million provided in cofinancing from other sources.<sup>23</sup> SCCF projects are listed in annex B. Available SCCF funding is about \$13.7 million as of June 2011.
37. Excluding multi-trust fund projects, the UNDP is the GEF Agency with the largest number of projects in the SCCF portfolio, with 16 Council-approved projects accounting for about 39 percent of the SCCF allocated funding. The World Bank is the Agency with the highest SCCF funding allocations per project, with an average of \$5.9 million per project compared to \$3.6 million on average per UNDP project. The eight Council-approved World Bank projects account for about 35 percent of the SCCF allocated funding. The World Bank projects on average generate a higher amount of cofinancing compared to UNDP (\$39.3 million versus \$16.1 million). Four other GEF Agencies—the International Fund for Agricultural Development (IFAD), the European Bank for Reconstruction and Development (EBRD), the Asian Development Bank (ADB), and the United Nations Environment Programme (UNEP)—are also implementing or involved in jointly implementing a number of approved SCCF projects.<sup>24</sup>
38. In May 2011, the SCCF Council approved its first two multi-trust fund projects that combine funding from the SCCF, the LDCF, and the GEF Trust Fund. One of them is a regional project in Africa implemented through the World Bank entitled Sahel and West Africa Program in Support of the Great Green Wall Initiative. This major initiative has an overall project cost of \$1.9 billion, of which \$100 million is covered by GEF sources. The SCCF contributes only \$4.2 million to the overall costs of the project. The other multi-trust fund project is a regional project in Asia jointly implemented by the ADB and UNEP. The SCCF contribution to the overall project costs of \$75 million is \$1.8 million.

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<sup>17</sup> GEF Secretariat—SCCF team, 2010. “Adaptation Monitoring Assessment Tool (AMAT). Can be accessed through the GEF website: <http://www.thegef.org>

<sup>18</sup> Cowi/IIED prepared for DANIDA and GEFO, 2009.

<sup>19</sup> COP Decision 1/CP12.

<sup>20</sup> Canada, Denmark, Finland, Germany, Ireland, Italy, Netherlands, Norway, Portugal, Spain, Sweden, Switzerland, United Kingdom, and the United States.

<sup>21</sup> This amount includes the grant and the Agency fee.

<sup>22</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>23</sup> SCCF Monthly Status report. Obtained through communications with the SCCF team at the GEF Secretariat. December 2010 and July 2011.

<sup>24</sup> PMIS, June 2011.

39. Following UNFCCC guidance, the majority of the projects fall under SCCF-A (31) while four projects are funded under SCCF-B (transfer of technologies). There are currently 7 medium-size projects (MSPs) and 28 full-size projects (FSPs): 6 MSPs fall under the adaptation window, and one MSP falls under the transfer of technologies window. The SCCF allocation of funding was below \$1.1 million for 7 projects, between \$1.1 and \$5.0 million for 17 projects, between \$5 and \$10 million for 10 projects, and above \$10 million for 1 project.<sup>25</sup>

<b>Table A.1: Funding by GEF Agency and SCCF Window Excluding Multi-Trust Fund (\$ million)</b>							
<b>Window/Agency</b>	<b>#</b>	<b>SCCF grant<sup>a</sup></b>	<b>Cofinancing</b>	<b>Total financing</b>	<b>Average SCCF</b>	<b>Average cofinancing</b>	<b>Average total</b>
<b>a. Adaptation</b>							
UNDP	14	49.7	254.9	304.6	3.6	18.2	21.8
World Bank	8	47.1	314.7	362.6	5.9	39.3	45.3
IFAD	3	7.6	33.7	41.3	2.5	11.2	13.8
UNEP	1	1.1	3.6	4.7	1.1	3.6	4.7
EBRD	1	2.7	23.0	25.7	2.7	23.0	25.7
Jointly implemented	2	11.3	219.2	230.5	5.6	109.6	115.2
<b>Total adaptation</b>	<b>29</b>	<b>120.3</b>	<b>849.1</b>	<b>969.4</b>	<b>4.1</b>	<b>29.3</b>	<b>33.4</b>
<b>b. Transfer of technologies</b>							
UNDP	2	3.8	3.6	7.4	1.9	1.8	3.7
IFAD	1	2.4	6.2	8.6	2.4	6.2	8.6
UNEP	1	9.0	2.9	11.9	9.0	2.9	11.9
<b>Total transfer</b>	<b>4</b>	<b>15.2</b>	<b>12.7</b>	<b>27.9</b>	<b>3.8</b>	<b>3.2</b>	<b>7.0</b>
Total UNDP	16	53.5	258.5	312.0	3.6	16.1	19.5
Total World Bank	8	47.1	314.7	362.6	5.9	39.3	45.3
Total IFAD	4	10.0	39.9	49.9	2.5	10.0	12.5
Total UNEP	2	10.1	6.4	16.5	5.1	3.2	8.3
EBRD	1	2.7	23.0	25.7	2.7	23.0	25.7
Total joint implementation	2	11.3	219.2	230.5	5.6	109.6	115.2
<b>Total SCCF</b>	<b>33</b>	<b>135.5</b>	<b>861.8</b>	<b>997.3</b>	<b>4.0</b>	<b>26.1</b>	<b>30.2</b>
a. Includes GEF grant, Agency fee, and GEF grants for preparation.							

40. Though SCCF projects are spread across nearly 50 different countries (including regional initiatives covering multiple countries) a preliminary review showed that the majority of projects are located in Sub-Saharan Africa (9 projects). The largest amount of overall funding was allocated to projects in the East Asia and Pacific region (28 percent) and the Latin American and the Caribbean region (24 percent). The disparity in funding allocation is due to differences in project size: that is, about \$2.5 million on average in Sub-Saharan Africa<sup>26</sup> compared to \$4 million on average overall.

41. The two main themes receiving funding under the SCCF are clearly adaptation to climate change impacts in relation to water and agriculture. In total, for both of the funding windows, the two themes account for 17 projects and roughly 42 percent of portfolio project funding (about \$57 million); 7 percent in agriculture, and 15 percent in water; while under crosscutting projects, 21 percent of funding is dedicated to projects combining water and agriculture. Disaster risk management is the third largest theme, accounting for 21 percent of total project funding distributed (about \$21.7 million). Projects that cut across themes (including water and agriculture) and projects in disaster risk management receive the most funding on average within both funding windows: an average of \$5.7 million per project for crosscutting projects compared to, e.g., \$3.1 million for disaster risk management.<sup>27</sup>

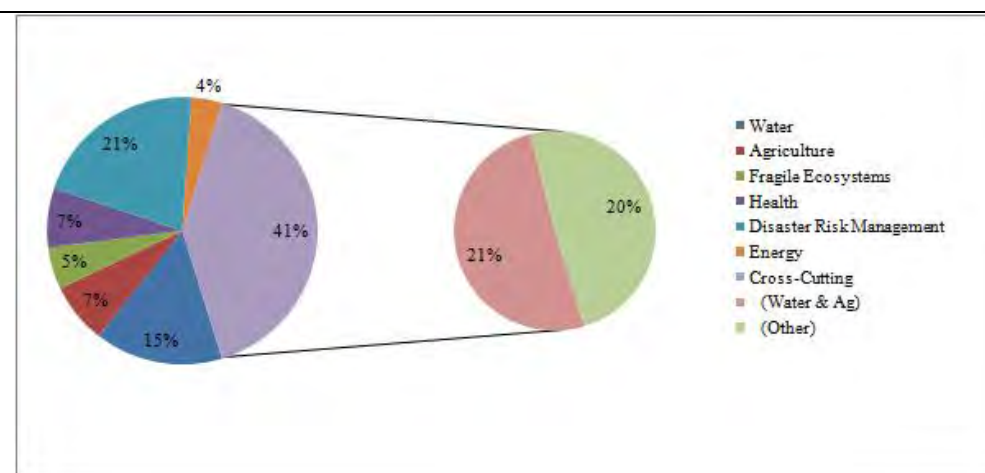
<sup>25</sup> PMIS, June 2011.

<sup>26</sup> PMIS, June 2011.

<sup>27</sup> Health receives on average the same amount in cofinancing, but is not considered here because there are only two projects in the portfolio.

Table A.2: Funding by Region and SCCF Window (\$ million)							
Agency	#	SCCF grant	Cofinancing	Total financing	Average SCCF	Average cofinancing	Average total
<b>Adaptation</b>							
EAP	7	38.1	392.1	430.2	5.4	56.0	61.5
ECA	3	11.8	51.9	63.7	3.9	17.3	21.2
LAC	5	29.0	108.3	137.3	5.8	21.6	27.5
MENA	3	12.5	126.6	139.1	4.2	42.2	46.4
SSA	9	22.4	150.2	172.6	2.5	16.7	19.2
Global	2	6.6	20.1	26.7	3.3	10.1	13.4
<b>Total adaptation</b>	<b>29</b>	<b>120.4</b>	<b>849.2</b>	<b>969.6</b>	<b>4.2</b>	<b>29.3</b>	<b>33.4</b>
<b>Transfer of technologies</b>							
LAC	2	3.8	3.6	7.4	1.9	1.8	3.7
MENA	1	2.4	6.2	8.6	2.4	6.2	8.6
Global	1	9.0	2.9	11.9	9.0	2.9	11.9
<b>Total transfer</b>	<b>4</b>	<b>15.2</b>	<b>12.7</b>	<b>27.8</b>	<b>3.8</b>	<b>3.2</b>	<b>7.0</b>
<b>Total</b>							
EAP	7	38.1	392.1	430.2	5.4	56.0	61.5
ECA	3	11.8	51.9	63.7	3.9	17.3	21.2
LAC	7	32.8	111.9	144.7	4.7	16.0	20.7
MENA	4	14.9	132.8	147.6	3.7	33.2	36.9
SSA	9	22.4	150.2	172.6	2.5	16.7	19.2
Global	3	15.6	23.0	38.6	5.2	7.7	12.9
<b>Total SCCF</b>	<b>33</b>	<b>135.5</b>	<b>861.8</b>	<b>997.3</b>	<b>4.0</b>	<b>26.1</b>	<b>30.2</b>

Figure 1. Distribution of Projects by Theme and Funding



42. Information on the implementation status of each of the projects is still under review. As of the end of June 2011, the GEF database and consultations with GEF Agencies indicated that seven projects (six FSPs and one MSP) are under implementation, and two are completed:

- Global: Economic Analysis of Adaptation Options in Support of Decision Making
- Tanzania: Mainstreaming Climate Change in Integrated Water Resources Management in the Pangani River Basin

43. All other projects are still at the early stage of the cycle, and have not started implementation: 10 projects are CEO endorsed and ready for funding disbursement, 13 projects are approved by the Council, and one project is PPG approved.<sup>28</sup>

<sup>28</sup> PMIS, June 2011.

## A.4 Evaluation Limitations

44. 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.
45. 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.
46. In addition, the evaluation can only consider a small number of projects under the 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.

## A.5 Evaluation Objectives and Key Areas of Interest

47. The main objective of the evaluation is to provide the LDCF/SCCF Council with evaluative evidence on the progress toward 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.
48. The evaluation therefore focuses on the overarching question:  
**What are the key lessons that can be drawn from the implementation of the SCCF 10 years after its establishment?**
49. 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 COP17.
50. The evaluation will target two levels: the Fund level and the project level. At the Fund level, the evaluation will focus on SCCF governance and management.
51. 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, 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 toward 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?

## 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 COP9.

**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 the 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 project 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 regard to effective climate change adaptation

## 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 toward its objectives, the evaluation will assess:

- a) The project cycle performance with the time elapsed between the formulation of a project idea until project approval, implementation, and completion
- b) The level of effort (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

## Effectiveness

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

### A. Fund-level effectiveness

- a) Progress toward 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 the local, national, regional, and global levels
  - Objective 2: Increase adaptive capacity to respond to the impacts of climate change, including variability, at the local, national, regional, and global levels
  - Objective 3: Promote the transfer and adoption of adaptation technology
- b) Progress toward 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; and
  - 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

## 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

## A.6 Methods, Processes, and Outputs

52. The evaluation of the SCCF will be led by a task manager from the GEF Evaluation Office and conducted by staff of the GEF Evaluation Office, 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 (health, water resource management, land management, agriculture, infrastructure development, fragile ecosystems, ICZM, and climate disaster risk management).

53. The GEF Adaptation Cluster is being consulted at key steps in the evaluation, e.g., in finalizing the approach paper and terms of reference for the evaluation, the development of 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.
54. 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 selected number of projects. The evaluation design includes the following four building blocks.

## 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 GEF Evaluation Office 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.**

## 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 cofinancing), 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 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 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.

Evaluation criteria \ Project Status	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 Agency 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 and Pacific (China), Middle East and North Africa (Egypt), Sub-Saharan Africa (Tanzania), and Latin America and the Caribbean (Guyana).

## Data Analysis

55. 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.

## A.7 Dissemination

56. This draft evaluation report will be shared with GEF Agencies and presented at the LDCF/SCCF Council meeting in November 2011. Its target audience will be the GEF Council and all GEF stakeholders 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.
57. Results of the evaluation will be presented to the UNFCCC Conference of the Parties. COP Decision 4/CP.16 asked 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).
58. 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, the 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 in three languages (English, French, and Spanish).
59. 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.
60. 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 further be disseminated through the partnerships built under the Community of Practice initiative including, e.g., DAC-DeREC, IDS-ELDIS, World Bank library, and the UNDP Adaptation Learning Mechanism.

## A.8 Time Frame

61. 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.

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												

## A.9 References

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## Annex B: Project Portfolio Overview

GEF ID	Project Title	Implementation Status	Country(ies)	Implementing Agency	Total SCCF Funding	Cofunding	Total Funding
<b>Adaptation</b>							
2553	Piloting Climate Change Adaptation to Protect Human Health	CEO endorsed	Barbados, Bhutan, China, Fiji, Jordan, Kenya, Uzbekistan	UNDP	5.47	15.96	21.43
2832	"Mainstreaming Climate Change Adaptation into the Pangani River Basin Water Management project"	Completed	Tanzania	UNDP	1.10	3.80	4.90
2902	Design and Implementation of Pilot Climate Change Adaptation Measures in the Andean Region	Under Implementation	Bolivia, Peru, Ecuador	WB	8.26	25.23	33.49
2931	Adaptation to Climate Change through Effective Water Governance	Under Implementation	Ecuador	UNDP	3.65	16.19	19.84
3101	Pacific Adaptation to Climate Change Project (PACC)	Under Implementation	Pacific Islands	UNDP	14.82	44.50	59.33
3103	Climate-resilient Infrastructure Planning and Coastal Zone Development	Council Approved	Vietnam	ADB/UNDP	3.85	145.17	149.02
3154	Coping with Drought and Climate Change	Under Implementation	Ethiopia	UNDP	1.08	1.87	2.95
3155	Coping with Drought and Climate Change	Under Implementation	Mozambique	UNDP	1.05	0.93	1.98
3156	Coping with Drought and Climate Change	Under Implementation	Zimbabwe	UNDP	1.07	1.16	2.23
3159	Adaptation to Climate Change Impacts on the Coastal Wetlands	CEO endorsed	Mexico	WB	5.28	19.00	24.28
3218	"Integrating climate change into the management of priority health risk in Ghana"	Under Implementation	Ghana	UNDP	2.00	55.68	57.68
3227	Conservancy adaptation project	Under Implementation	Guyana	WB	4.14	0.00	4.14
3242	Adaptation to climate change in the Nile Delta through Integrated Coastal Zone Management	Under Implementation	Egypt	UNDP	4.51	12.84	17.35

GEF ID	Project Title	Implementation Status	Country(ies)	Implementing Agency	Total SCCF Funding	Cofunding	Total Funding
3243	Climate Change Adaptation Project, Phase I	Under Implementation	Philippines	WB	5.78	50.45	56.23
3249	Adaptation to Climate Change in Arid Lands (KACCAL)	CEO endorsed	Kenya	World Bank/UNDP	7.40	42.17	49.57
3265	Mainstreaming Adaptation to Climate Change Into Water Resources Management and Rural Development	Under Implementation	China	WB	5.85	50.50	56.35
3299	Strengthening the Capacity of Vulnerable Coastal Communities to Address the Risk of Climate Change and Extreme Weather Events	CEO endorsed	Thailand	UNDP	1.00	2.70	3.70
3679	Economic Analysis of Adaptation Options in support of decision making	Completed	China, Guyana, India, Mali, Samoa, Tanzania, United Kingdom, United States	UNEP	1.10	3.50	4.60
3695	Mongolia Livestock Adaptation Project (Project for Market and Pasture Management Development)	Council Approved	Mongolia	IFAD	1.79	11.48	13.27
3934	Reducing Disaster Risks from Wildfire Hazards Associated with Climate Change	Council Approved	South Africa	UNDP	4.00	30.94	34.94
3966	Rural Livelihoods Climate Change Adaptation Support Programme	PIF Approved	Pakistan	IFAD	3.00	13.35	16.35
3967	Integrating Climate Change in Development Planning and Disaster Prevention to Increase Resilience of Agricultural and Water Sectors	CEO endorsed	Morocco	WB	4.80	26.95	31.75
4255	To promote the implementation of national and transboundary integrated water resource management that is sustainable and equitable given expected climate change.	Council Approved	Swaziland	UNDP	1.89	6.10	7.99
4261	Integrating climate change risks into water and flood management by vulnerable mountainous communities in the Greater Caucasus region of Azerbaijan	Council Approved	Azerbaijan	UNDP	3.08	7.26	10.34
4340	Strategic Planning and Action to Strengthen Climate Resilience of Rural Communities in Nusa Tenggara Timor province (SPARC)	Council Approved	Indonesia	UNDP	5.50	54.80	60.30

GEF ID	Project Title	Implementation Status	Country(ies)	Implementing Agency	Total SCCF Funding	Cofunding	Total Funding
4368	Promoting a Value Chain Approach To Adaptation In Agriculture	Council Approved	Ghana	IFAD	2.86	8.50	11.36
4422	Increasing Climate Resilience through Drinking Water Rehabilitation in North Tajikistan	Council Approved	Tajikistan	EBRD	3.00	23.01	26.01
4492	Adaptation of Nicaragua's Water Supplies to Climate Change	Council Approved	Nicaragua	WB	6.60	31.50	38.10
4511	Sahel and West Africa Program in Support of the Great Green Wall Initiative	Council Approved	Regional*	WB	5.50	84.00	89.50
4512	Pilot Asia-Pacific Climate Technology Network and Finance Center	Council Approved	Asia	ADB/UNEP	1.98	15.00	16.98
4515	Southeastern Europe and Caucasus Catastrophe Risk Insurance Facility (SEEC CRIF)	Council Approved	Albania, Macedonia, Serbia	WB	6.05	21.50	27.55
<b>Technology Transfer</b>							
3907	Technology Needs Assessments	Under Implementation	Global	UNEP	9.00	2.86	11.86
4036	Irrigation Technology Pilot project to face climate change impacts in Jordan	CEO endorsed	Jordan	IFAD	2.37	5.52	7.88
4040	TT-Pilot (GEF-4): Renewable CO2 Capture and Storage from Sugar Fermentation Industry in Sao Paulo State	Council Approved	Brazil	UNDP	2.97	7.72	10.69
4060	TT-Pilot (GEF-4): Introduction of Renewable Wave Energy Technologies for the Generation of Electric Power in Small Coastal Communities in Jamaica	PIF Approved	Jamaica	UNDP	0.82	1.42	2.24
<b>Total Adaptation</b>					127.46	826.04	953.50
<b>Total Technology Transfer</b>					15.15	17.51	32.66
<b>Grand Total</b>					142.62	843.55	986.16
* AFRICA: Benin, Burkina Faso, Chad, Ethiopia, Ghana, Mali, Mauritania, Niger, Nigeria, Senegal, Sudan, Togo							
** (AFRICA) Cote d'Ivoire, Ethiopia, Kenya, Ghana, Mali, Morocco, Mauritius, Rwanda, Senegal, Sudan, Zambia; (EUROPE & CENTRAL ASIA) Azerbaijan, Georgia, Kazakhstan, Moldova, Lebanon; (ASIA) Bangladesh, Bhutan, Cambodia, Indonesia, Laos, Mongolia, Nepal, Sri Lanka, Thailand, Vietnam; (3) (LATIN AMERICA) Argentina, Bolivia, Colombia, Costa Rica, Cuba, Dominican Republic, Ecuador, El Salvador, Guatemala, Peru.							



## Annex C: Chronology of UNFCCC COP Guidance and LDCF/SCCF Council Decisions

Year	UNFCCC adaptation and SCCF and related decisions	GEF/SCCF Secretariat	GEF LCCF/SCCF Council decisions
1995	COP1 Berlin <ul style="list-style-type: none"> <li>Decision 11/CP.1: Initial Guidance on Policies, Programme Priorities</li> </ul>		
1998	COP4 Buenos Aires <ul style="list-style-type: none"> <li>Buenos Aires Action Plan - Decision 2/CP.4</li> </ul>		
2000	COP6 The Hague <ul style="list-style-type: none"> <li>Decision 5/CP.6 (Part II): Bonn Agreements on the Implementation of the Buenos Aires Plan of Action; Annex to Decision 5/CP.6 p. 37.</li> </ul>		
2001	COP7 Marrakesh—Marrakesh Accords <ul style="list-style-type: none"> <li>Decision 4/CP.7</li> <li>Decision 5/CP.7: Implementation of Article 4, para 8 &amp; 9 of the Convention</li> <li>Decision 6/CP.7: Additional Guidance to the Operating Entity of the Financial Mechanism</li> <li>Decision 7/CP.7: Funding under the Convention: para 2 d</li> <li>Decision 10/CP.7: Establishment of the Adaptation Fund</li> </ul>		
2002	COP8 New Delhi <ul style="list-style-type: none"> <li>Decision 7/CP.8: Initial Guidance to the GEF for the Operation of the Special Climate Change Fund</li> <li>Decision 8/CP.8: Guidance to an Entity Entrusted with the Operation of the LDCF</li> </ul>		
2003	COP9 Milan <ul style="list-style-type: none"> <li>Decision 4/CP.9: Additional Guidance Special Climate Change Fund</li> <li>Decision 5/CP.9 Further Guidance for the Operation of the SCCF</li> </ul>		

Year	UNFCCC adaptation and SCCF and related decisions	GEF/SCCF Secretariat	GEF LDCF/SCCF Council decisions
<b>2004</b>	COP 10. Buenos Aires <ul style="list-style-type: none"> <li>Decision 1/CP.10: Buenos Aires Programme of Work on Adaptation and Response Measures</li> <li>Decision 8/CP.10: Additional Guidance to an Operating Entity of the Financial Mechanism</li> </ul>	<ul style="list-style-type: none"> <li>GEF Assistance to Address Adaptation GEF/C.23/Inf.8/Rev.1.May 11, 2004</li> <li>Programming to Implement the Guidance for the SCCF Adopted by COP9, GEF/C.24/12October 2004: Five-year program to respond to COP9 guidance</li> </ul>	GEF Council Meeting, November 17-19, 2004 <ul style="list-style-type: none"> <li>Joint Summary of the Chairs, Decision on Agenda Item 16: Climate Change Funds</li> </ul>
<b>2005</b>	COP11, Montreal <ul style="list-style-type: none"> <li>Decisions on CDM, Adaptation Fund, and LDCF (further guidance for the operation of the LDCF); additional guidance to an operating entity of the financial mechanism</li> </ul>	<ul style="list-style-type: none"> <li>Operational Guidelines for the Strategic Priority: Piloting an Operational Approach to Adaptation (SPA), GEF/C.23/Inf.8/Rev.1.May 11, 2004</li> </ul>	GEF Council October 14, 2005 <ul style="list-style-type: none"> <li>Joint Summary of the Chairs, document approved</li> </ul>
<b>2006</b>	COP 12, Nairobi <ul style="list-style-type: none"> <li>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</li> <li>Decision 2-CP.12 Review of the Financial Mechanism</li> <li>Decision 3/CP.12 Additional Guidance to the GEF</li> </ul>	<ul style="list-style-type: none"> <li>Programming paper of the LDCF</li> <li>Governance of Climate Change Funds, GEF/C 29/5</li> <li>Status Report on the Climate Change Funds: 2 LDCF and SCCF pledging meetings were held in 2006: April 28 in Copenhagen, October 31 in Paris (see status report below, GEF/LDCF.SCCF.2/Inf.2)</li> <li>Work Program Guyana and Kenya GEF/LDCF/SCCF 1/Inf / Rev1</li> </ul>	GEF Council June 2006 Adoption of the LDCF programming paper GEF LDCF/SCCF Council Meeting December, 2006 <b>[1<sup>st</sup> LDCF/SCCF COUNCIL]</b> Joint Summary of the Chair
<b>2007</b>	COP13 Bali <ul style="list-style-type: none"> <li>Decision 1/CP.13 Bali Action Plan—Enhanced Action on Adaptation</li> <li>Decision 7/CP.13 Additional Guidance to the GEF</li> </ul>	<ul style="list-style-type: none"> <li>LDCF and SCCF Programming Update, GEF/LDCF.SCCF.2/Inf.3, June 17, 2007; 10 SCCF PPG /PIF of PDF B Formulation</li> <li>Work Program Regional (Bolivia, Peru, Ecuador); GEF/LDCF/SCCF.2/3</li> <li>Programming to Implement the Guidance for the Special Climate Change Fund Adopted by the Conference of the Parties to the UNFCCC COP12, GEF/LDCF.SCCF.2/4, May 17, 2007</li> <li>Status Report of the Climate Change Funds GEF/LDCF.SCCF/Inf.2</li> <li>Progress Report on the LDCF and the SCCF GEF/LDCF.SCCF/Inf 3</li> <li>Notice of Council Approval of Revised Document “Programming to Implement the</li> </ul>	LDCF-SCCF Council Meeting, June 15, 2007, Agenda Item 5 Joint Summary of the Chairs, Meeting of the Council, June 2007 <ul style="list-style-type: none"> <li>Work program approved?</li> <li>Programming document endorsed as an operational basis for funding activities.</li> </ul> LDCF/SCCF Council Meeting, November 26, 2007 Highlights of Council’s Discussions, LDCF-SCCF Meeting November 17, 2007, November 26, 2007

Year	UNFCCC adaptation and SCCF and related decisions	GEF/SCCF Secretariat	GEF LDCF/SCCF Council decisions
		Guidance for the SCCF Adopted by the COP to the UNFCCC 12th Session, GEF/LDCF.SCCF/Inf 4	
2008	COP14 Poznan <ul style="list-style-type: none"> <li>Decision 2/CP.14: Development and Transfer of Technologies</li> <li>Decision 4/CP.14: Additional Guidance to the Global Environment Facility</li> </ul>	<ul style="list-style-type: none"> <li>Background and Elements for a GEF Monitoring and Evaluation Framework on Adaptation, Lessons from GEF Climate Adaptation Projects, GEF/LDCF.SCCF.4/Inf.4</li> <li>Elaborating a Strategic Program to Scale-up the Level of Investment in the Transfer of Environmentally Sound Technologies, GEF/LDCF/SCCF.5/4 Agenda Item 8</li> <li>Recommended Revisions to Decision on the Strategic Program to Scale up the Level of Investment in the Transfer of EST GEF/C.34/CRP.2</li> <li>Elaborating a Strategic Program to Scale-up the Level of Investment in the Transfer of Environmentally Sound Technologies, GEF/LDCF/SCCF.5/4 REVISED</li> <li>Implementing the Poznan Strategic Program on Technology Transfer, GEF publication</li> </ul>	LDCF/SCCF Council meeting, 25 April 2008 (summary of the LDCF SCCF chairs April 08 Council) Decision on RBM framework for LDCF and SCCF projects??  LDCF/SCCF Council Meeting, November 13, 2008 Joint Summary of the Chairs, GEF LDCF/SCCF.
2009	COP 15 Copenhagen <ul style="list-style-type: none"> <li>Decision 2/CP.15 <b>Copenhagen Green Climate Fund</b></li> </ul>	<ul style="list-style-type: none"> <li>Work program GEF/LDCF.SCCF.6/3 Rev 1 (Global health, Ghana, Morocco, Pakistan, South Africa, Vietnam)</li> <li>Status Report on the LDCF and the SCCF, GEF/LDCF.SCCF.6/Inf.2, May 2006</li> <li>Draft Adaptation to Climate Change Programming Strategy GEF/LDCF/SCCF.6/Inf.4, June 2, 2009</li> <li>Results-Based Management Framework for the Least developed Countries Fund (LDCF) and the Special Climate Change Fund (SCCF) GEF/LDCF.SCCF.7/4 May, revised October 2009, Agenda Item 5</li> </ul>	GEF/LDCF.SCCF Council meeting, June 24, 2009 <ul style="list-style-type: none"> <li>Joint Summary of the Chairs, GEF/LDCF/SCCF Council</li> </ul> Work program approved RBM supporting proposed approach and request that GEF Secretariat work with Agencies to report on program through annual monitoring review GEF/LDCF.SCCF Council meeting, November 12, 2009 (Summary of the LDCF SCCF Chairs November Council)
2010	COP 16 Cancun <ul style="list-style-type: none"> <li>Decision 1 CP.16 The Cancun Agreement :</li> </ul>	<ul style="list-style-type: none"> <li>LDCF and SCCF Report (16 pages), February 2010</li> </ul>	LDCF/SCCF Council Meeting July 1, 2010 <ul style="list-style-type: none"> <li>Joint Summary of the Chairs GEF LDCF/SCCF</li> </ul>

Year	UNFCCC adaptation and SCCF and related decisions	GEF/SCCF Secretariat	GEF LCCF/SCCF Council decisions
	<b>Green Climate Fund, Adaptation Committee</b> <ul style="list-style-type: none"> <li>Decision 2/CP.16 Special Climate Change Fund</li> <li>Decision 3/CP.16: Additional Guidance to the GEF</li> <li>Decision 4/CP.16, Assessment of the Status of the Special Climate Change Fund</li> </ul>	<ul style="list-style-type: none"> <li>Work program GEF/LDCF.SCCF.9/3</li> <li>Progress report on the Least Developed Countries Fund (SCCF). GEF/LDCF.SCCF.9/Inf.3, October 20, 2010</li> <li>Status Report on the Least Developed Countries Fund and the Special Climate Change Fund GEF/LDCF.SCCF.9/Inf.2/Rev2, October 8 2010</li> <li>Revised Programming Strategy on Adaptation to Climate Change for the Least Developed Countries Fund (LDCF) and the Special Climate Change Fund (SCCF) October 19, 2010 GEF/LDCF.SCCF.9/4/Rev.1</li> <li>Accessing Financing Under the Special Climate Change Fund GEF/LDCF.SCCF.9/6/Rev.1., November 2, 2010</li> <li>Updated Results-Based Management Framework for the LDCF and the SCCF and Adaptation Monitoring Tool (AMAT) GEF/LDCF/SCCF.9/Inf.4 Oct. 20 2010</li> </ul>	<p>Administrative budget and work plan approved LDCF/SCCF Council Meeting, November 18, 2010</p> <ul style="list-style-type: none"> <li>Joint Summary of the Chairs</li> </ul> <p>Work program approved (Azerbaijan, Ghana, Swaziland)</p> <p>Programming Strategy for Adaptation approved with a few changes</p> <p>Document “Assessing Financing...” approved</p>
2011	<p>Ad Hoc Working Group on Long-Term Cooperative Action under the Convention (Bonn June 7–17 2011): Creation of an Adaptation Committee (cf. Cancun decision)</p>	<ul style="list-style-type: none"> <li>Least Developed Countries Fund (LDCF) and Special Climate Change Fund (SCCF) Annual Monitoring Report (AMR), FY 2010. GEF-LDCF-SCCF.10/3/Rev.2, May 24, 2011</li> <li>GEF/LDCF.SCCF.10/4/Rev1 work program</li> <li>The Science of Adaptation: The Role of STAP in LDCF and SCCF, GEF/LDCF.SCCF.10/Rev2</li> </ul>	<p>LDCF/SCCF Council May 26, 2011</p> <ul style="list-style-type: none"> <li>Joint Summary of the Chairs</li> </ul> <p>AMR FY 10 approved</p> <p>Joint work program approved</p> <p>STAP document approved</p>

## Annex D: Interviewees

No.	Name	First	Title	Affiliation
<b>I. GEF Secretariat</b>				
1	Aoki	Chizuru	Acting Team Leader/Climate Mitigation Sr. Technology Transfer Officer	GEF Secretariat
2	Barbut	Monique	CEO & Chairperson	GEF Secretariat
3	Biagini	Bonizella	Adaptation Cluster Coordinator and Program Manager	GEF Secretariat
4	Christiansen	Lars	former Staff, Adaptation Cluster	GEF Secretariat (formerly)
5	Dobardzic	Saliha	Adaptation Program Manager	GEF Secretariat
6	Duda	Alfred	Sr. Advisor International Waters	GEF Secretariat
7	Fonseca	Gustavo	Team Leader Natural Resources	GEF Secretariat
8	Levaggi	Marcia	Manager, Adaptation Fund Board Secretariat	GEF Secretariat
9	Moore	Rawleston	Adaptation and Country Relations Officer	GEF Secretariat
10	Severin	Christian	Focal area expert, International Waters	GEF Secretariat
11	Shresta	Junu	Staff, Adaptation Cluster	GEF Secretariat
12	Sundstrom	Roland	Staff, Adaptation Cluster	GEF Secretariat
<b>II. GEF Scientific and Technical Advisory Panel</b>				
13	Hammond	Thomas	Secretary	GEF STAP Secretariat
14	Neretin	Lev	Programme Officer	GEF STAP Secretariat
15	Ravindranath	N.H.	Panel Member, Advisor on Climate Change	GEF STAP
<b>III. UNFCCC Secretariat</b>				
16	Moehner	Annett	ATS Adaptation Team	UNFCCC Secretariat
17	Nassef	Youssef	Manager, Adaptation Subprogramme	UNFCCC Secretariat
18	Higham	Andrew	ATS Technology Team	UNFCCC Secretariat
19	van der Plas	Bert	ATS Technology Team	UNFCCC Secretariat
20	Velasco	Yolando	Team Leader, Financial & Tech. Support Programme	UNFCCC Secretariat
<b>IV. GEF Agencies</b>				
21	Arguelles	Margarita	Environment & Energy Group	UNDP
22	Chomitz	Ken	Senior Advisor, IEG	World Bank
23	Colville	Geordie	GEF coordinator/Climate Change	UNEP
24	Davies	Craig	Sr. Environmental Adviser	EBRD
25	Diop	Mame	Regional Technical Adviser	UNDP
26	Donato	Silvia	Climate Change Programme Officer	IFAD
27	Dunn	Bruce	Environment Specialist	ADB
28	Hosier	Richard	Sr. Environmental Specialist	World Bank
29	Hutton	Stephen	Consultant, IEG	World Bank
30	Jaramillo	Carolina	GEF Technical Coordinator	IADB
31	Kumari Rigaud	Kanta	Lead Adaptation Specialist & Program Coordinator PPCR	World Bank
32	Kurukulasuriya	Pradeep	Sr. Technical Adviser, Adaptation	UNDP
33	Mohamed Ahmed	Siham	GEF Coordinator	AfDB
34	Olivera	Rikke	GEF Coordinator	FAO

No.	Name	First	Title	Affiliation
35	Ponzi	Daniele	Environmental Economist	ADB
36	Rodgers	Charles	Senior Environment Specialist (Climate Change Adaptation)	ADB
37	Ryden	Per	Environmental Consultant	World Bank
38	Stewart	John W. Fraser	Sr. Natural Resources Specialist	World Bank
39	Vergara	Walter	Chief, IDB Sustainable Energy and Climate Change Unit	IDB
<b>V. NGOs</b>				
40	Espinosa	Connie	Sr. Forest and Climate Change Officer	IUCN
41	Sonenshine	Joanne	Director, Food, Agriculture and Freshwater	CI
42	Samaroo	Orissa	Manager, Multilateral Relations	CI
43	Joldersma	Dirk	Vice President, Multilateral Relations	WWF
44	O'Sullivan	Robert	Climate Change Specialist	Climate Focus
<b>VI. Project field visits</b>				
<b>CHINA</b>				
45	Bai	Zhongtao	Staff	State Office of Comprehensive Agriculture Development (SOCAD), Ministry of Finance
46	Chen	Jun	Vice Director	Anhui Provincial Office of Comprehensive Agriculture Development (POCAD)
47	Cheng	Ruxiang	Spokesperson	Jiangliu Water Users Association, Shiji Township, Xinyi County
48	Ding	Ping	Staff	State Office of Comprehensive Agriculture Development (SOCAD), Ministry of Finance
49	He	Zheng	GEF Coordinator	International Department, Ministry of Finance
50	Karaky	Rabih	Senior Economist, Task Team Leader	World Bank
51	Li	Qun	Senior Operations Officer, former Task Team Leader	World Bank
52	Li	Yan	Staff	State Office of Comprehensive Agriculture Development (SOCAD), Ministry of Finance
53	Liu	Cunshan	Vice Director	Xuzhou Municipality Office of Comprehensive Agriculture Development (MOCAD)
54	Liu	Wenjun	Division Chief	Jiangsu Provincial Office of Comprehensive Agriculture Development (POCAD)
55	Shang	Yi	Director	Huaiyuan County Office of Comprehensive Agriculture Development (COCAD)
56	Song	Cailing	Farmer	Gaoliu Township, Xinyi County
57	Sun	Minzhang	Staff	State Office of Comprehensive Agriculture Development (SOCAD), Ministry of Finance
58	Tang	Xiulian	Farmer	Shiji Township, Xinyi County
59	Tang	Xuerang	Farmer	Shiji Township, Xinyi County
60	Ten	Xiuping	Spokesperson	Jiangliu Water Users Association, Shiji Township, Xinyi County

No.	Name	First	Title	Affiliation
61	Tian	Zhigeng	Vice Mayor	Xinyi County
62	Wang	Hongxing	Farmer	Shiji Township, Xinyi County
63	Wang	Lanying	Head of Office	State Office of Comprehensive Agriculture Development (SOCAD), Ministry of Finance
64	Wang	Xilin	Vice Division Chief	Jiangsu Provincial Office of Comprehensive Agriculture Development (POCAD)
65	Wang	Qingmeng	Spokesperson	Flower Farmers' Association, Gaoliu Township, Xinyi County
66	Wu	Yanli	Vice Director	Bengbu Municipality Office of Comprehensive Agriculture Development (MOCAD)
67	Xu	Wenyi	Staff	Xinyi County Office of Comprehensive Agriculture Development (COCAD)
68	Yu	Yaocheng	Director	Bengbu Municipality Office of Comprehensive Agriculture Development (MOCAD)
69	Yun	Zhijian	Director	Xuzhou Municipality Office of Comprehensive Agriculture Development (MOCAD)
70	Zhang	Feng	Farmer	Gaoliu Township, Xinyi County
71	Zhang	Jie	Spokesperson	Flower Farmers' Association, Gaoliu Township, Xinyi County
72	Zhang	Xueping	Vice Director	Jiangsu Provincial Office of Comprehensive Agriculture Development (POCAD)
73	Zhao	Bin	Staff	Xinyi County Office of Comprehensive Agriculture Development (COCAD)
74	Zhao	Fengshun	Director	Xinyi County Office of Comprehensive Agriculture Development (COCAD)
75	Zhao	Jingsheng	Farmer	Shiji Township, Xinyi County
76	Zheng	Jun	Director of Project Management Office	Anhui Provincial Office of Comprehensive Agriculture Development (POCAD)
<b>EGYPT</b>				
77	Bayoumi	Mohamed	Environment Specialist, Assistant Resident Representative	UNDP Country office, Cairo
78	Rawley	James	UN Resident Coordinator, Arab Republic of Egypt	UNDP, Country Office, Cairo
79	Borhan	Mohamed Aly	Project manager	Adaptation of the Nile Delta to Climatic Changes and Sea Level Rise through ICZM project, Alexandria
80	El-Shinnawy Abdelmagid	Ibrahim	Director	Coastal Research Institute (CoRI), National Water Research Centre, Ministry of Water Resources and Irrigation, Alexandria
81	Osman	Mohamed Abdel Monem Farouk	General Director	Coastal Zone Management and Lakes department, Cabinet of Ministers, Egyptian Environmental Affairs Agency, Cairo.
82	Motaleb	Mohamed	Head of Sector	Ministry of Water Resources and

No.	Name	First	Title	Affiliation
83	Abdel-Gawad	Abdel Shaden T.	President	Irrigation, Planning Sector, Cairo. Ministry of Water Resources and Irrigation, National Water Research Center, Cairo.
84	Adly	Naguib	Head of Study and Research Sector	Shore Protection Authority (SPA), Ministry of water resources and Irrigation, Cairo
85	Badr	Ahmed	Programme Manager, Water, Energy and Housing	European Union, Delegation to the Arab Republic of Egypt, Cairo.
86	Fouad	Yasmine	Head of the GEF Unit	Ministry of State For Environmental Affairs, Egyptian Environmental Affairs Agency (EEAA), Cairo.
87	Mansour	Elsayed Sabry	Project manager	Third National Communication, UNDP/GEF project, Cairo.
88	Farouk	Ahmed	Program Manager for Natural resources and Environment	Center for Development Services, Cairo.
89	Shehata	Engy	Adaptation Department Director	Climate change department, Egyptian Environmental Affairs Agency, Cairo
90	Elewa	Lydia	Department Manager	Climate Change Research Department, Egyptian Environmental Affairs Agency, Cairo
91	Nabil	Nader	Environmental Researcher	Climate Research Department, Egyptian Environmental Affairs Agency, Cairo
<b>GUYANA</b>				
92	Albu	Alexandru	Project coordinator	European Commission
93	Dowling	Paul	Operations Analyst	World Bank
94	Fernandes	Damian	Director, Natural Resources Management Unit	Environmental Protection Agency
95	Fraser	Denise	Project Coordinator—IDB/UNDP Projects	Civil Defence Commission
96	Grin	Steven	Director, Project Management Office	Office of the President
97	Luncheon	Roger	Head of Presidential Secretariat	Office of the President
98	Mackensie	Justin	Project coordinator, ASDU	Ministry of Agriculture
99	Morton	John	Senior Urban Environment Specialist	World Bank
100	Nokta	Shyam	Advisor to the president, Head, Office of Climate Change	Office of the President
101	Patel	Darshana	Communications Analyst	World Bank—Guyana
102	Persaud	Aditya	Project coordinator	Guyana Mangrove Restoration Project, Ministry of Agriculture
103	Persaud	Juliana	Environmental Officer II, Natural Resources Management Division	Environmental Protection Agency
104	Ramdass	Indarjit	Executive Director (GEF Operational Focal Point)	Environmental Protection Agency
105	Ramlal	Elizabeth	Director, Agriculture Sector Development Unit (ASDU)	Ministry of Agriculture
106	Ramsarup	Chabilall	Director General	Civil Defence Commission
107	Saheed	Dominique	Senior Environmental Officer, Biodiversity Unit	Environmental Protection Agency
108	Singh	Geeta	Director, Environmental Management Division	Environmental Protection Agency



No.	Name	First	Title	Affiliation
109	Taylor	Martha	Deputy Team Leader	Mott MacDonald
110	Vaughn	Geoffrey	Chief	Sea and River Defense Officer
111	Wardlaw	Robin		Water Resources Planning & Management Consultants
112	Yamada	Sakae	Advisor for JICA	Japan International Cooperation Agency
<b>TANZANIA</b>				
113	Bwana	Thomas	Sr. Environmental Management Officer	Government of Tanzania, VP Office (Division of Environment)
114	Chamberlain	Louise	Deputy Country Director	UNDP
115	Chikira	Irene	Community Development Officer	Pangani Basin Water Board
116	Joseph	Jane	Community Development officer	Pangani Basin Water Board
117	Karmugisha	Sylvan	Eng. Hydrology and Water Resources	Former project coordinator
118	Kasambala	Martin Daud	Technical Hydrologist, Project Lead Mbuguni, Shambarai, and Olbil	Pangani Basin Water Board
119	Kiliaki	Hassam	Principal Livestock Officer	Meru District Government
120	Kimaro	Frank	Chairman, WUA	Sanya Kware WUA
121	Luande	William	Project Manager	IUCN
122	Lyatuu	Gertrude	Assistant Resident Representative Team Leader Energy & Environment	UNDP
123	Macha	Hilda	Treasurer, WUA	Sanya kware WUA
124	Macha	Isaac	Technical Specialist, Project Lead Soko Springs	Pangani Basin Water Board
125	Mauki	Michael	Chairman, WUA	Ukakiwe WUA
126	Mturi	James	Water Specialist	SNV
127	Msichi	Emmanuel	Chairman, WUA	Soko Springs WUA
128	Mutayoba	Washington	Former Director Of Water Resources	Government of Tanzania, Ministry of Water and irrigation
129	Ningu	Julius	Director of Environment	Government of Tanzania, VP Office
130	Nkuba	Igonya Igundo	Technical Advisor	Government of Tanzania, Ministry of Water and Irrigation
131	Sadiki	Hamza	Basin Water Officer	Pangani Basin Water Board
132	Shoo	Ndelelia	Treasurer, WUA	Ukakiwe WUA
133	Valimba	Patrick	Technical Specialist	University of Dar es Salam
134	Yamamoto	Akiko	Regional Team Leader (Environment Finance Group) & Regional Technical Advisor for Water/Strategies & Adaptation	UNDP Regional Center for Eastern & Southern Africa
135	Zakaria	Onesmo	Project Officer	IUCN

## Annex E: Project Portfolio Review Template

### SCCF Evaluation—Project Review Protocol *July 12, 2011*

#### Window:

#### E.I Project Information

1. Documents used for this review
2. PMIS ID#
3. Project Title
4. Implementation Status
  - a) Completed
  - b) Under Implementation
  - c) CEO endorsed
  - d) Council approved
  - e) PIF approved
5. Region
  - a) Sub-Saharan Africa (SSA)
  - b) East Asia and Pacific (EAP)
  - c) Latin American and the Caribbean (LAC)
  - d) Middle East and North Africa (MENA)
  - e) Europe and Central Asia (ECA)
  - f) South Asia (SA)
  - g) Global
6. Country/ies
7. Implementing Agency
  - a) IFAD
  - b) UNDP
  - c) UNEP
  - d) WB
  - e) ADB
  - f) EBRD
  - g) Other
8. Project Size
  - a) Medium-size project
  - b) Full-size project
9. Overall funding in \$
  - a) SCCF funding
  - b) Cofunding
  - c) Total funding
10. Cofunding by source/\$
  - a) Bilateral aid agency

- b) Foundation
- c) GEF Agency
- d) Local government
- e) National government
- f) CSO
- g) Other multilateral agency
- h) Private sector
- i) Other

## E.2 Evaluation

The evaluation of projects will be conducted in accordance with their implementation status (see 3). Projects under implementation and completed will be assessed at the point of implementation. Projects not under implementation will be assessed on the basis of the project design. For each question, a comment box will allow for explanation of scores and all qualitative information to be included in the analysis.

If scores are required, the following scale will be used:

- 5 = very high
- 4 = high
- 3 = somewhat
- 2 = low
- 1 = not at all
- no evidence
- not applicable

### A) Relevance

- 11. Overall project objective
- 12. Main impact indicators (as given by PD)
- 13. List adaptation measures proposed by the project (cite relevant text passages from project documents)
- 14. Project's relevance to priority areas (**multiple answers possible**)

#### Adaptation

- a) Water resources management
- b) Land management
- c) Agriculture
- d) Health
- e) Infrastructure development
- f) Fragile ecosystems (including mountain ecosystems)
- g) Integrated coastal zone management
- h) Capacity development
- i) None of the above
- j) Not applicable

#### Technology transfer

- a) Implementation of the results of technology needs assessment
- b) Technology information
- c) Capacity development for technology transfer
- d) Enabling environments
- e) None of the above

- f) Not applicable

**Further comments and relevant text passages from documents**

15. Project's relevance to additional COP guidance

- a) Focus on capacity building for monitoring diseases affected by climate change
- b) Focus on prevention, preparedness, and management of disasters and extreme weather conditions relating to climate change

*Answer choices (for each of the multiple choice questions, i.e., a and b in this case): very high - high - medium - low - not at all - no evidence - not applicable*

**Explanation of score and relevant text passages from documents**

16. Project's relevance to the GEF mandate

- a) Project's complementarity to activities funded by the GEF TF

*Answer choices: very high - high - medium - low - not at all - no evidence - not applicable*

**Explanation of score and relevant text passages from documents**

17. Project's relevance to national agendas of recipient countries

- a) Relationship with country's development and environmental agendas as well as national communications

*Answer choices: very high - high - medium - low - not at all - no evidence - not applicable*

**Explanation of score and relevant text passages from documents**

18. Overall assessment of project's relevance

*Answer choices: very high - high - medium - low - not at all - no evidence - not applicable*

**Further comments**

**B) Efficiency**

19. Time spent in the different stages of project cycle in days from completion of respective previous stage—**starting from date received**:

- a) To PIF clearance
- b) To work plan inclusion
- c) To CEO endorsement
- d) To Agency approval
- e) To implementation start
- f) To implementation end

**[WEBSITE for counting the days between dates: <http://www.timeanddate.com/date/duration.html>]**

20./21. Cost and revenue structure

- a) Total budget proportion of cofunding in %
- b) Total budget proportion used for project management in %
- c) Total budget proportion of Agency fees in %
- d) Total budget proportion of identifiable taxes and duties in %

22. Cancellation of parts of the project?

**Answer choices:** *yes - no—no evidence*

**Further comments**

23. Overall assessment of project's efficiency

**Answer choices:** *very high - high - medium - low - not at all - no evidence - not applicable*

**Further comments**

**C) Effectiveness**

24. List implementation progress if known (e.g., PIR results)

*Adaptation*

25. What approach/methods were used to assess vulnerability and adaptive needs as well as to choose the proposed adaptation measures?

*Technology transfer*

25. What approach/methods were used to assess technology needs as well as to choose the proposed technology transfer measures?

*Adaptation*

26. Choice of effective adaptation measures

- a) Methodological soundness of climate vulnerability assessment
- b) Methodological soundness of adaptation needs assessment
- c) Quality of the choice of adaptation measure based on best available knowledge
- d) Adequate consideration of risks of maladaptation and trade-offs

**Answer choices:** *very high - high - medium - low - not at all - no evidence - not applicable*

*Technology transfer*

26. Choice of effective technology transfer measures

- a) Quality of the technology needs assessment
- b) Quality of the choice of the technology transfer measure based on the needs assessment
- c) Adequate consideration of risks and trade-offs

**Answer choices:** *very high - high - medium - low - not at all - no evidence - not applicable*

**Explanation of scores and relevant text passages from documents**

*Adaptation*

27. Effectiveness of adaptation measures in reducing climate change vulnerability

- a) Contribution to reducing risks brought about by climate change/variability
- b) Contribution to removing barriers to development caused by climate change/variability
- c) Contribution to mainstreaming adaptation into broader political agenda
- d) Contribution to diversification and strengthening of livelihoods and sources of income

**Answer choices:** *very high - high - medium - low - not at all - no evidence - not applicable*

### *Technology transfer*

#### 27. Effectiveness in contributing to technology transfer/capacity building

- a) Contribution to the implementation of the results of technology needs assessments (including dissemination of identified technologies in the respective country)
- b) Contribution to the provision of information facilitating technology transfer
- c) Contribution to the capacity building needs identified in the TNA
- d) Contribution to improving the environment for technology transfer (including legal frameworks, technology standards, adapting technologies to local conditions)

**Answer choices:** *very high - high - medium - low - not at all - no evidence - not applicable*

#### **Explanation of scores and relevant text passages from documents**

#### 28. Effectiveness of adaptation measures in increasing adaptive capacity

- a) Contribution to capacity building relating to the monitoring, prevention, preparedness, and management of climate change impacts
- b) Contribution to awareness, knowledge, and understanding of climate-induced threats and adaptation responses
- c) Contribution to an enabling environment for the transfer, demonstration, and deployment of adaptation related technologies
- d) Contribution to seizing potential adaptation opportunities (leveraging adaptations for development benefits, exploiting potentially beneficial changes in climate)

**Answer choices:** *very high - high - medium - low - not at all - no evidence - not applicable*

### *Technology transfer*

#### 28. Provisions integrated into the project design to react to changes

- a) Flexibility to react to changes in the project context (e.g., political circumstances)
- b) Flexibility to react to changes in available information (e.g., new scientific data)
- c) Flexibility to react to lessons learned during the project itself

**Answer choices:** *very high - high - medium - low - not at all - no evidence - not applicable*

### *Adaptation*

#### 29. Provisions integrated into the project design to react to changes

- d) Flexibility to react to changes in the project context (e.g., political circumstances)
- e) Flexibility to react to changes in available information (e.g., new scientific data)
- f) Flexibility to react to lessons learned during the project itself (especially with regard to the selected adaptation activities)

**Answer choices:** *very high - high - medium - low - not at all - no evidence - not applicable*

#### **Explanation of scores and relevant text passages from documents**

#### 30. Measures taken (in project design and implementation) to enhance the sustainability, replicability, and scalability of expected project results

- a) Sustainability
- b) Replicability
- c) Scalability

**Answer choices:** *very high - high - medium - low - not at all - no evidence - not applicable*

**Explanation of scores and relevant text passages from documents**

31. Level of country ownership

- a) Degree of government involvement in project implementation
- b) Degree of government commitment (e.g., cofinancing)
- c) Degree of civil society involvement in project implementation

**Answer choices:** *very high - high - medium - low - not at all - no evidence - not applicable*

**Explanation of scores and relevant text passages from documents**

32. Overall assessment of project effectiveness

**Answer choices:** *very high - high - medium - low - not at all - no evidence - not applicable*

**Further comments**

**D) Results**

33. List results of implemented measures

34. Project's results to current point of implementation

- a) Concurrence of results with SCCF objectives

**Answer choices:** *very high - high - medium - low - not at all - no evidence - not applicable*

**Explanation of score and relevant text passages from documents**

35. Project's results to current point of implementation

- a) Quality of results in relation to expected outcomes as defined by the RBM and other UNFCCC and GEF guidance

**Answer choices:** *very high - high - medium - low - not at all - no evidence - not applicable*

**Explanation of score and relevant text passages from documents**

36. Sustainability of results

- a) Financial
- b) Political
- c) Institutional
- d) Social
- e) Ecological

**Answer choices:** *very high - high - medium - low - not at all - no evidence - not applicable*

**Explanation of scores and relevant text passages from documents**

37. Replicability and scalability of results

- a) Replicability
- b) Scalability

**Answer choices:** *very high - high - medium - low - not at all - no evidence - not applicable*

## **Explanation of scores and relevant text passages from documents**

38. Overall assessment of project results

*Answer choices: very high - high - medium - low - not at all - no evidence - not applicable*

**Further comments**



## Annex F: Summary of Projects

Climate-Resilient Infrastructure Planning and Coastal Zone Development (UNDP, Vietnam, GEF ID 3103)		
<p>This project aims to address these threats by increasing the resilience of infrastructure to climate change in the northern mountains. The programme directly addresses the anticipated impacts of climate change on poverty and poverty reduction. The project shall do this by: (a) Contributing to a national level enabling environment that is conducive to adaptation in rural infrastructure projects. This will include a series of practical tools for practitioners, as well as recommendations toward improved policies and standards; (b) Developing capacity to plan, design, implement and monitor infrastructure projects at the provincial level, and developing capacity to assess climate change during provincial planning; (c) Demonstrating how to mainstream climate change adaptation into 4 infrastructure projects. The 4 demonstration projects are in the road rehabilitation, irrigation system rehabilitation and river embankment protections subsectors</p>		
<b>Priority area(s):</b>	<i>Capacity Development; Infrastructure Development</i>	
Adaptation activity	Expected outcomes	Progress/Achievements
<ul style="list-style-type: none"> <li>• Mainstreaming of climate change adaptation into policy formulation and sectoral planning</li> <li>• Capacity development</li> <li>• Enhanced sustainability of rural infrastructure</li> <li>• Identification and development of low-cost climate proofing measures adapted to the rural areas of Vietnam</li> <li>• Demonstration of appropriate climate resilience techniques</li> <li>• Development of a trained cadre of technical personnel familiar with the use of low cost infrastructure protection measures</li> </ul>	<ul style="list-style-type: none"> <li>• Climate change adaptation integrated into policy, strategy and planning that relate to rural infrastructure</li> <li>• Enhanced capacity to climate proof rural infrastructure investments and provincial area planning</li> <li>• Mainstream adoption of low cost local resources based measures to decrease negative impacts of climate change</li> <li>• Integration of low cost local resource approaches into training curricula</li> <li>• Identification of broader climate change risk along with potential measures for strengthening the resilience of communities within the influence areas of the demonstration projects</li> <li>• Dissemination of project in the rest of Vietnam</li> </ul>	<ul style="list-style-type: none"> <li>• N/A—No information available</li> </ul>
<b>Implementation status:</b>	<i>Council Approved</i>	
<b>Financing:</b>	<i>SCCF component USD 3,400,000; total project USD 148,665,000</i>	

<b>Pilot Asia-Pacific Climate Technology Network and Finance Center (ADB and UNEP; Global: Brunei, Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, the Philippines, Singapore, Thailand, Vietnam, Kazakhstan, Kyrgyzstan, Tajikistan, Uzbekistan, Turkmenistan, Mongolia, Sri Lanka, Nepal and Bhutan; GEF ID 4512)</b>		
<p>The project objective is to enhance the diffusion of technologies that promote low-carbon and climate-resilient development. The overall goal is to accelerate the adoption and deployment of climate technologies and foster investments in environmentally sound technologies (ESTs) in Asia and the Pacific. The project builds on the encouraging market development rates of the countries in the region and seeks to demonstrate, on a pilot basis, the effectiveness of combining technology and finance mechanisms into catalyzed climate actions. This will be accomplished through the transfer, and diffusion of environmentally and socially sound technologies.</p>		
<b>Priority area(s):</b>	<i>Transfer of Technology</i>	
<b>Technology Transfer Activity</b>	<b>Expected outcomes</b>	<b>Progress/Achievements</b>
<ul style="list-style-type: none"> <li>Facilitating a network of national and regional centers, networks, organizations, and initiatives</li> <li>Building/strengthening national and regional technology transfer centers and centers of excellence</li> <li>Design, development and implementation of country-driven EST transfer policies, programs, demonstration projects, and scale-up strategies</li> <li>Integrating climate technology financing needs into national development strategies, plans, and investment priorities</li> <li>Catalyzing investments in EST deployment</li> <li>Establishing a "marketplace" of owners and users of low-carbon technologies to facilitate their transfer</li> </ul>	<ul style="list-style-type: none"> <li>Increased collaboration in the region for transfer of climate technologies</li> <li>Thematic- and technology-specific institutions and centers capable of providing environmentally sustainable technology (EST) services.</li> <li>Support and opportunities for national, regional and global investments in ESTs are explored</li> <li>Enabling policy environment and mechanisms created for transfer of climate technologies</li> <li>Increased investments in ESTs</li> <li>Demonstration of the assisted broker model</li> </ul>	<ul style="list-style-type: none"> <li>N/A—Project not under implementation at time of evaluation.</li> </ul>
<b>Implementation status:</b>	<i>Council Approved</i>	
<b>Financing:</b>	<i>SCCF component USD 10,909,091; total project 85,859,091</i>	

<b>Increasing Climate Resilience through Drinking Water Rehabilitation in North Tajikistan</b> <b>(EBRD, Tajikistan, GEF ID 4422)</b>		
<p>The project aims to improve the climate resilience of drinking water supplies in seven cities in Northern Tajikistan (Karaikkum, Kanibaidam, Isfara, Gaufurov, Taboshar, Chkalovsk and Khorog) by establishing (a) encouraging water use efficiency, (b) more reliable and climate resilient water sources and rehabilitating water supply infrastructure, and (c) reforming water utility management including tariff reform, leading to more sustainable supplies of safe drinking water that are resilient to the expected impacts of climate change, and are environmentally and financially sustainable.</p> <p>This project addresses the two key objectives of the SCCF by aiming to reduce the vulnerability of communities in Northern Tajikistan to the adverse impacts of climate change and climate variability through investment and awareness-raising in drinking water conservation and use, and the rehabilitation of drinking water supply using reliable and climate resilient sources.</p>		
<b>Priority area(s):</b>	<i>Water Resources Management, Infrastructure Development, Capacity Development</i>	
<b>Adaptation activity</b>	<b>Expected outcomes</b>	<b>Progress/Achievements</b>
<ul style="list-style-type: none"> <li>• Water conservation and rational use of drinking water</li> <li>• Rehabilitation of drinking water supply</li> <li>• Corporate development and governance water of companies and city authorities</li> <li>• Aquifer management and disclosure</li> </ul>	<ul style="list-style-type: none"> <li>• Improved efficiency of drinking water use, reducing pressure on water resources</li> <li>• Reliable and climate resilient supply of drinking water, reducing pressure on climate vulnerable shallow water resources</li> <li>• Water companies are well-managed and financially viable</li> <li>• Sustainability ensured through climate change considerations in aquifer management plans and transboundary impacts disclosure</li> </ul>	<ul style="list-style-type: none"> <li>• N/A—Project not under implementation at time of evaluation.</li> </ul>
<b>Implementation status:</b>	<i>Council Approved</i>	
<b>Financing:</b>	<i>SCCF component USD 2,927,067; total project USD 23,823,467</i>	

**Promoting a Value Chain Approach To Adaptation In Agriculture  
(IFAD, Ghana, GEF ID 4368)**

The overall objective of the project is to reduce the vulnerability of the food supply system to the impacts of climate change. The specific objective is to reduce climate-induced risks in the cassava value chain to the achievement of food security and income generation for pilot rural communities in Ghana. The project is designed within the overall framework of the RTIMP (Root and Tuber Improvement and Marketing programme). The IFAD/SCCF project will complement the activities undertaken under RTIMP, and the SCCF components are fully embedded in the RTIMP in a synergetic manner that will ensure that the SCCF funding is covering additional costs associated with the adaptation need. This SCCF intervention will be articulated around three components: (i) awareness raising on climate change and capacity to address its impacts along the cassava value chain and other complementary food production; (ii) support adaptation to climate change of cassava production; (iii) promote innovative adaptation solutions along the agriculture value chain. Project duration is 30 months, starting in 2012.

<b>Priority area(s):</b>		<i>Agriculture</i>
<b>Adaptation activity</b>	<b>Expected outcomes</b>	<b>Progress/Achievements</b>
<ul style="list-style-type: none"> <li>• CC awareness and capacity building campaign designed</li> <li>• Climate Change vulnerability mapping</li> <li>• Install environment-friendly technology in two pilot sites</li> <li>• Energy efficient water pump pilot developed</li> <li>• Exchange visits with Congo and Cameroon</li> <li>• Improve storage facilities for marketable agricultural products</li> </ul>	<ul style="list-style-type: none"> <li>• Reduce vulnerability to climate change in development sector</li> <li>• Diversified and strengthened livelihoods and sources of income</li> <li>• Increase knowledge and understanding of climate vulnerability</li> <li>• Strengthen awareness and ownership of adaptation and climate risk</li> <li>• Successful transfer of relevant adaptation technology</li> </ul>	<ul style="list-style-type: none"> <li>• N/A project not under implementation at the time of the evaluation.</li> </ul>
<b>Implementation status:</b>		<i>Council Approved</i>
<b>Financing:</b>		<i>SCCF component USD 2,500,000; total project USD 11,260,000</i>

**Mongolia Livestock Sector Adaptation Project  
(IFAD; Mongolia; GEF ID 3695)**

The main objective of the proposed IFAD-GEF project is to increase the resilience of Mongolian livestock system to changing climatic conditions by strengthening the adaptive capacity of the livestock system as well as the capacity of herders' groups to address climate induced changes. This encompass: improving natural resources management to increase their resilience to climate change; climate-proofing the pasture water supply; building the capacity of herders' groups to address climate change, but also improving the risk management system as a response to climate change.

<b>Priority area(s):</b>	<i>Agriculture</i>	
<b>Adaptation activity</b>	<b>Expected outcomes</b>	<b>Progress/Achievements</b>
<ul style="list-style-type: none"> <li>Increasing the climate change adaptive capacity of the Mongolian pastoral system</li> <li>Strengthening of the capacity of RMMC's and raising awareness on climate change impacts in rural communities</li> <li>Improved rural risk management system</li> </ul>	<ul style="list-style-type: none"> <li>Resilience of natural resources to climate change enhanced</li> <li>Climate-proofed water supply for pasture promoted</li> <li>Knowledge of climate change impact in the program area improved</li> <li>Capacity of RMMC's on climate change built</li> <li>Awareness of herder's groups on projected climate change impacts raised</li> <li>Economic loss due to climate change reduced</li> <li>Metorological data availability improved</li> </ul>	<ul style="list-style-type: none"> <li>N/A—Project not under implementation at time of evaluation.</li> </ul>
<b>Implementation status:</b>	<i>CEO Endorsed</i>	
<b>Financing:</b>	<i>SCCF component USD 1,500,000; total project 13,105,000</i>	

**Rural Livelihoods Climate Change Adaptation Support Programme  
(IFAD; Pakistan; GEF ID 3966)**

The project has the objective of addressing and reducing the additional stresses and associated costs posed by climate change to the Pakistani agricultural production system. Particular attention is given to water resources, as a critical factor to sustain agricultural production in a context of increased climate variability. The project's target group will be poor rural inhabitants, including small landowners, tenants, landless and women. In terms of area, the project will target the poorest districts in the provinces of Punjab, Sindh, Balochistan and North West Frontier Province (NWFP). The project will focus on irrigated areas, but will also target arid and semi-arid areas to the extent possible, acknowledging that dry land areas in these four provinces are facing increasing desertification challenges under increased climatic stresses. The project is expected to deliver tangible adaptation benefits, including: (1) Improved micro irrigation system performance; (2) Use of more efficient water technologies at farm level, (3) Reduced vulnerability of agricultural production face to decreased water availability; (4) Minimized exposure of rural livelihood to climatic stresses; and (5) Increased capacity of farmers to better cope with climate change-induced impacts.

<b>Priority area(s):</b>		<i>Agriculture, Water Resource Management</i>
<b>Adaptation activity</b>	<b>Expected outcomes</b>	<b>Progress/Achievements</b>
<ul style="list-style-type: none"> <li>Promotion of agricultural adaptation, including through technology-based solutions</li> <li>Capacity building for climate change adaptation mainstreaming</li> </ul>	<ul style="list-style-type: none"> <li>Increased resilience of agricultural production systems</li> <li>Reduce farmer's economic vulnerability to climate change</li> <li>Tested innovative technology-based adaptation options.</li> <li>Traditional water management knowledge and irrigation techniques suitable for climate change adaptation strengthened/restored</li> <li>Government capacity to mainstream adaptation into sectoral planning increased</li> <li>Farmers' awareness of climate change impacts increased</li> </ul>	<ul style="list-style-type: none"> <li>N/A—project not under implementation at the time of the evaluation.</li> </ul>
<b>Implementation status:</b>	<i>Council Approved</i>	
<b>Financing:</b>	<i>SCCF component USD 2,627,000; total project 16,077,000</i>	

**Piloting Climate Change Adaptation to Protect Human Health  
(UNDP; Global: Barbados, Bhutan, China, Fiji, Jordan, Kenya, Uzbekistan; GEF ID 2553)**

The project objective is to “increase adaptive capacity of national health system institutions, including field practitioners, to respond to and manage long-term climate-sensitive health risks”. Outcomes will contribute to the broader goal of ensuring that “health and other key sectors are able to effectively manage health risks driven by climate change, including variability”. This initiative is designed as a programmatic approach for responding to climate change induced health risks through the pursuit of four outcomes. Within each of these outcomes, the participating countries will implement a set of nationally executed activities. The project has several strengths: (1) It is innovative, in that it will be the first project to support planning, implementing and monitoring adaptation measures to protect human health from climate change. (2) It catalyses increased awareness and concern expressed by the health sector in developing countries. (3) It will deliver benefits at the national and subnational level to the seven countries through implementation of policy changes and specific intervention measures reduces vulnerability, and increase resilience to climate change induced health impacts.

<b>Priority area(s):</b>		<i>Health</i>
<b>Adaptation activity</b>	<b>Expected outcomes</b>	<b>Progress/Achievements</b>
<ul style="list-style-type: none"> <li>• Climate change and health early warning and planning systems</li> <li>• Institutional and technical capacity to manage climate change health risks</li> <li>• Demonstration Measures to reduce vulnerability</li> <li>• Regional Cooperation to address climate change health risks</li> </ul>	<ul style="list-style-type: none"> <li>• An early warning and response system with timely information on likely incidence of climate-sensitive health risks established</li> <li>• Capacity of health sector institutions to respond to climate-sensitive health risks based on early warning information improved</li> <li>• Disease prevention measures piloted in areas of heightened health risk due to climate change</li> <li>• Cooperation among participating countries promotes innovation in adaptation to climate change including variability</li> </ul>	<ul style="list-style-type: none"> <li>• N/A—No information available.</li> </ul>
<b>Implementation status:</b>	<i>CEO Endorsed</i>	
<b>Financing:</b>	<i>SCCF component USD 4,969,685; total project USD 21,869,685</i>	

**Strengthening the Capacity of Vulnerable Coastal Communities to Address the Risk of Climate Change and Extreme Weather Events  
(UNDP, Thailand, GEF ID 3299)**

The project objective is to incorporate climate change concerns into disaster management strategies, plans and measures under the aegis of the government of Thailand, in order to increase the resilience of vulnerable communities in Thailand to climate change impacts. The project aims to provide benefits to vulnerable communities, as well as contribute to local and national capacity to manage climate-related disasters. The project proposes small-scale, locally-based climate risk reduction activities, embedded in the national disaster management mandate shared by the Thai government and the Thai Red Cross. Three provinces are selected for project implementation: Nakhon si Thammarat, Phattalung, and Trang. The project will work with up to ten target communities, i.e., ten villages, in at least four subdistricts of the 3 provinces.

<b>Priority area(s):</b>		<i>Capacity Development; Disaster Risk Management</i>
<b>Adaptation activity</b>	<b>Expected outcomes</b>	<b>Progress/Achievements</b>
<ul style="list-style-type: none"> <li>• Conduct risk analysis and capacity building</li> <li>• Community-based adaptation</li> <li>• Policy Analysis and Revision</li> <li>• Knowledge Management, learning and Replication</li> </ul>	<ul style="list-style-type: none"> <li>• Increased knowledge and awareness of climate-related risks and impacts in vulnerable coastal communities</li> <li>• Increased climate risk management and disaster preparedness capacity in vulnerable coastal communities</li> <li>• Integration of climate change adaptation into provincial development plans and sector policies</li> <li>• Project knowledge captured, dissemination and replicated through dedicated follow-up activities</li> </ul>	<ul style="list-style-type: none"> <li>• N/A—Project not under implementation at time of evaluation.</li> </ul>
<b>Implementation status:</b>	<i>CEO Approved</i>	
<b>Financing:</b>	<i>SCCF component USD 909,091; total project USD 3,613,863</i>	



**Mainstreaming Climate Change Adaptation into the Pangani Basin Water Resource Management Project  
(UNDP, Tanzania, GEF ID 2832)**

The overall project objective is to prepare water managers and users for changing climatic conditions and increase understanding of environmental, economic and social implications of different river flow scenarios under these expected climatic conditions, as well as increase capacity to collect and analyze such flow assessment information.

The project has followed its initial design very well, complements the SCCF as well as national sustainable development agendas. Only component 4 (designing a IWRM plan) changed at the request of the World Bank as the Bank would be carrying out the development of IWRM plans for all water basin in Tanzania. Instead component 4 was a groundwater assessment which is still being carried out.

Due to an internal slow down and restructuring the closing date of the project was postponed from April 2010 to June 2011.

<b>Priority area(s):</b>	<i>Water Resources Management, Agriculture, Infrastructure Development, Capacity Development</i>	
<b>Adaptation activity</b>	<b>Expected outcomes</b>	<b>Progress/Achievements</b>
<ul style="list-style-type: none"> <li>• Increase understanding of environmental economic and social implications of different river flow scenarios under expected climatic conditions and increase capacity to collect and analyze such information</li> <li>• Water users strengthened and empowered to participate in IWRM and climate change adaptation</li> <li>• Water sector's vulnerability to climate change understood and pilot actions generate lessons in adaptation</li> <li>• Basin Water Office coordinates other sectors and stakeholders in the development of a groundwater management and assessment plan.</li> </ul>	<ul style="list-style-type: none"> <li>• Improved knowledge of water flow and allocation of water under climate change.</li> <li>• Institutional memory build</li> <li>• Water users make wiser choices and implements new techniques and practices</li> <li>• Water users disseminate the knowledge they gain on climate change to other villages and groups</li> <li>• Local understanding of climate vulnerability increased</li> <li>• National understanding of the connection between water and climate change</li> </ul>	<ul style="list-style-type: none"> <li>• Baseline information for water allocation established; 10 technical reports produced</li> <li>• Preparation and publication of training modules; 15 Tanzanians trained</li> <li>• Establishment of 6 WUAs</li> <li>• Water users and managers aware of expected climate change impacts and adaptation strategies</li> <li>• Coordination between water and climate change sectors strengthened</li> <li>• Climate change modeling has been finalized and incorporated into 15 flow scenarios</li> <li>• Vulnerability Assessments done for 5 villages, and adaptation activities being implemented in 3 villages</li> </ul>
<b>Implementation status:</b>	<i>Closed</i>	
<b>Financing:</b>	<i>SCCF component USD 1,000,000; total project USD 4,800,000</i>	

**Integrating climate change risks into water and flood management by vulnerable mountainous communities  
in the Greater Caucasus region of Azerbaijan  
(UNDP, Azerbaijan, GEF ID 4261)**

The project's aim is to reduce vulnerability of the communities of the Greater Caucasus region of Azerbaijan to water stress and hazards by improved water and flood management, specifically in an area of just over 22,000 sq. km located in the Kura River Basin. It particularly concentrates on the improvement of legislative and policy frameworks for water management that are currently insufficient to tackle the problems linked to climate change effects. In addition, the project strives to strengthen institutional capacity by introducing new non-structural methods and providing training, and empowering communities to actively participate in water and flood management. The lack of local community engagement mechanisms as well as community level awareness and knowledge has been identified as a significant barrier the project will try to alleviate.

<b>Priority area(s):</b>	<i>Water resources management, Land management, Agriculture, Disaster Risk Management</i>	
<b>Adaptation activity</b>	<b>Expected outcomes</b>	<b>Progress/Achievements</b>
<ul style="list-style-type: none"> <li>• Introduction of new practices in water and flood management</li> <li>• Legislative support to modify the National Water Code and create a National Water Policy</li> <li>• Establishment and piloting of integrated zoning plans</li> <li>• Training program in adaptive water and flood management for key institutions</li> <li>• Introduction of soil and water assessment tool</li> <li>• Expansion of automated hydromet station network</li> <li>• Strengthening of WUAs</li> <li>• Test and introduce participatory and consensus-based land use planning</li> <li>• Locally tailored public information campaign</li> </ul>	<ul style="list-style-type: none"> <li>• Water and flood management framework modified to respond to adaptation needs and improve climate risk management in highly vulnerable region of Greater Caucasus</li> <li>• Key institutions have capacities, technical skills, tools and methods to apply advanced climate risk management practices for water stress and flood mitigation</li> <li>• Community resilience to floods and water stress improved by introducing locally tailored climate risk management practices benefiting over 1,000,000 people on total land area of 22,067 sq. km</li> </ul>	<ul style="list-style-type: none"> <li>• N/A—project not under implementation at the time of the evaluation</li> </ul>
<b>Implementation status:</b>	<i>Council approved</i>	
<b>Financing:</b>	<i>SCCF component USD 2,700,000; total project USD 9,960,000</i>	

**Strategic Planning and Action to Strengthen Climate Resilience of Rural Communities in Nusa Tenggara Timor province (SPARC) (UNDP, Indonesia, GEF ID 4340)**

The Project's objective is to strengthen climate resilience of rural Communities in Nusa Tenggara Timor (NTT) province through institutional capacity development, support to policy planning on the provincial, district and village level, and community based pilot activities demonstrating adjustments of rural livelihood practices and systems to more variable and extreme climatic conditions. The project is aligned with the priorities identified in Indonesia's Second National Communication (2010) as well as existing national and local government programmes on rural development and poverty alleviation, and donor funded programs on governance, natural resources, climate change, and disaster risk reduction. The project's strategy is to scale up climate resilient approaches through the mechanism of pilot and demonstration in communities across three target districts in combination with systematic dissemination of lessons and experiences.

<b>Priority area(s):</b>		<i>Water resources management, Agriculture</i>
<b>Adaptation activity</b>	<b>Expected outcomes</b>	<b>Progress/Achievements</b>
<ul style="list-style-type: none"> <li>Provincial platform for multi-stakeholder dialogue, coordination and awareness raising</li> <li>Training program on climate change adaptation</li> <li>Systems for the analysis and monitoring of climate change risks</li> <li>Support to provincial/district government for policy and budgetary planning</li> <li>Water harvesting and storage facilities in pilot communities</li> <li>Diversification of livelihood options</li> <li>Climate risk knowledge management system covering three districts</li> </ul>	<ul style="list-style-type: none"> <li>Increased understanding and capacity to plan for climate induced threats and risk reduction responses affecting vulnerable areas and communities in NTT</li> <li>Local government and rural communities have integrated climate resilience actions in their development policies, plans and programmes</li> <li>Livelihoods and sources of income diversified and strengthened for vulnerable rural communities in 3 districts</li> </ul>	<ul style="list-style-type: none"> <li>N/A—No information available</li> </ul>
<b>Implementation status:</b>	<i>Council approved</i>	
<b>Financing:</b>	<i>SCCF component USD 5,000,000; total project USD 59,800,000</i>	

**Reducing Disaster Risks from Wildfire Hazards Associated with Climate Change  
(UNDP, South Africa, GEF ID 3934)**

The project has the objective to develop and implement integrated disaster risk management strategies to address climate change-induced fire hazards. The project will demonstrate how adaptation planning and risk assessments can be practically translated into activities that will provide real benefits to vulnerable communities with respect to climate change induced fire hazards. In particular, the project seeks to engineer a paradigm shift from reactive fire fighting to integrated fire management that combines fire prevention activities, prescribed burning, fire detection, fire suppression and rehabilitation of fire damaged areas. Specific components include (a) integrating climate change induced risks of fire hazards into national and provincial (Western Cape, Eastern Cape and Free State) development and management policies; (b) capacity building to facilitate improved management of fire hazards and (c) piloting practical adaptation approaches to manage climate change induced fire hazards at the local-level (district and community level).

community level;			
Priority area(s):		Land management, Fragile ecosystems, Disaster Risk Management	
Adaptation activity	Expected outcomes	Progress/Achievements	
<ul style="list-style-type: none"><li>Integrating CC risk information with Fire Danger Forecasting</li><li>Equipping Fire Dispatch Centers to supply daily Fire Danger Indices forecasting messages to remote areas</li><li>Strengthening local disaster risk mgmt (CC scenario based plans etc)</li><li>Develop training materials on integrated fire mgmt needs under CC conditions</li><li>Mainstream CC risks of fire into Integrated Development Plans</li><li>Economic incentives: Tax-rebates, charges for non compliance</li><li>Climate-index based insurance scheme</li><li>Costing tools for CC sensitive Fire Mgmt</li><li>Web-enabled resource and knowledge sharing facility</li></ul>	<ul style="list-style-type: none"><li>Capacity developed at local level to manage increased incidence and extent of fires; early warning and hazard risk information system put in place</li><li>Decision-support and risk management systems for fire management improved; paradigm Shift from reactive fire fighting to integrated fire management system</li><li>Innovative risk reduction interventions implemented, in close cooperation with the insurance industry</li></ul>	<ul style="list-style-type: none"><li>N/A—No information available</li></ul>	
Implementation status:		Council approved	
Financing:		SCCF component USD 3,536,400; total project USD 34,476,500	

**Adapting national and transboundary water resource management in Swaziland to manage expected climate change**

**(UNDP, Swaziland, GEF ID 4255)**

The goal of the project is to ensure that national and transboundary water resources management is adapted to the expected impact of climate change. The objective of the project is to promote the implementation of national and transboundary integrated water resource management that is sustainable and equitable given expected climate change. The project strives to deliver adaptation benefits by a) developing policy response options derived from community level and macro-level analysis on risks and b) developing tools for equitable water resources management that is sustainable in the face of climate change and c) adjusting sectoral investment plans on the water and agriculture. The project also aims to contribute to tripartite negotiations on water allocation between Swaziland, and its neighboring countries who share the same water resources: Mozambique, South Africa and Swaziland.

<b>Priority area(s):</b>	<i>Water resources management, Agriculture, Integrated coastal zone management</i>	
<b>Adaptation activity</b>	<b>Expected outcomes</b>	<b>Progress/Achievements</b>
<ul style="list-style-type: none"> <li>• Gather information on community views on water needs and vulnerabilities</li> <li>• Information to raise awareness of communities to expected impacts of climate change</li> <li>• Knowledge products for policy makers</li> <li>• Policy analysis on CC impacts in the water and agricultural sectors</li> <li>• Design of guidelines, tools and instruments adjusted to take into account climate change eg on: water permit allocation, flood disaster mgmt, building specifications for dams/water harvesting/ hydro-electric structures</li> <li>• Briefing of Swaziland delegations to transboundary water resources management negotiations</li> </ul>	<ul style="list-style-type: none"> <li>• Informed and inclusive national dialogue around vulnerability to climate change and water allocation among productive and domestic uses</li> <li>• Climate change risk management integrated into the implementation of national policies and programmes to promote adaptation on a wider scale</li> <li>• Negotiations on transboundary water management for the Incomati and Maputo river basins informed by climate change risk analysis</li> </ul>	<ul style="list-style-type: none"> <li>• N/A—No information available</li> </ul>
<b>Implementation status:</b>	<i>Council approved</i>	
<b>Financing:</b>	<i>SCCF component USD 1,721,500; total project USD 7,821,500</i>	

**Coping with Drought and Climate Change  
(UNDP, Ethiopia, GEF ID 3154)**

Climate change vulnerability analyses for Ethiopia suggests that climate change over the coming decades presents a serious threat to various economic and social sectors as the frequency and intensity of drought is likely to increase. Farmers have developed and used strategies to cope with drought. However, the covariant nature of droughts has seriously eroded their capacities to withstand shocks, leaving them vulnerable. The project's objective is to enhance food security and the capacity to adapt to climate change in agricultural and pastoral systems in Ethiopia. In order to support progress toward this goal, the project proposes to develop and pilot a range of coping mechanisms for reducing the vulnerability of farmers and pastoralists to future climate shocks. The project also puts a specific focus on the development of early warning systems and drought preparedness. The project is strongly linked to Ethiopia's national sustainable development agenda which identifies adaptation as a priority and can build on several similar initiatives of the past.

<b>Priority area(s):</b>		<i>Water resources management, Agriculture</i>	
<b>Adaptation activity</b>	<b>Expected outcomes</b>	<b>Progress/Achievements</b>	
<ul style="list-style-type: none"> <li>Income source diversification (e.g., apiculture, tree farming)</li> <li>Water harvesting and management</li> <li>Irrigation enhancement</li> <li>Crop diversification and drought resistant varieties</li> <li>Improved post harvest storage and processing</li> <li>Structures for Community Based Natural Resources Management (CBNRM)</li> <li>Enhanced drought information/early warning system</li> </ul>	<ul style="list-style-type: none"> <li>Livelihood strategies and resilience of vulnerable farmers in the selected pilot sites improved and sustained to cope with drought and climate change: drought vulnerability decreased to less than 60% of the 2006 value</li> <li>Enhanced use of Early Warning information in agricultural systems at the selected pilot sites: 50% of farmers in pilot sites receive and use timely early warning information</li> <li>Drought mitigation and preparedness activities integrated across sectors and programs at various levels of society in the pilot sites: drought risk management plan integration in pilot sites annual development program increase by 70%</li> </ul>	<ul style="list-style-type: none"> <li>Delay in implementation start, but achievements since then satisfactory</li> <li>Conducted baseline study</li> <li>Five gully crossing irrigation constructed</li> <li>Ten community structures</li> <li>Eight improved crop varieties introduced</li> <li>Three forage seed varieties</li> <li>Purchased honey wax for honey production</li> <li>Support fruit nursery with equipments and materials</li> <li>Watershed training</li> <li>Thirty wing pumps</li> <li>Different hand tools</li> <li>Three spring developments</li> <li>Six watershed documents</li> <li>Support meteorology stations to enhance data base system (computers, thermometers etc)</li> <li>Identified community indigenous knowledge</li> <li>Documented best practices at the pilot sites</li> </ul>	
<b>Implementation status:</b>		<i>Under implementation</i>	
<b>Financing:</b>		<i>SCCF component USD 995,000; total project USD 2,861,667</i>	

**Adaptation to Climate Change through Effective Water Governance  
(UNDP, Ecuador, GEF ID 2931)**

The project objective is to reduce Ecuador's vulnerability to climate change through effective water resource management. The project will mainstream climate change adaptation into water management practices in Ecuador through the integration of climate change risk of the water sector into key national and local development plans, the implementation of adaptation measures, and information management and knowledge brokering. This project will pilot the mainstreaming of adaptive measures to climate change in water management and policies in Ecuador. Its objectives are complemented with another SCCF project to devise measures for adaptation to glacier retreat in the Andean Region, implemented by the World Bank. The project will support capacity building, including institutional capacity, for preventive measures, planning, preparedness and management of disasters relating to climate change, including contingency planning for droughts and floods in areas prone to extreme weather events, and support strengthening existing centres and information networks for rapid response to extreme weather events.

<b>Priority area(s):</b>		<i>Water Resources Management, Agriculture</i>	
<b>Adaptation activity</b>	<b>Expected outcomes</b>	<b>Progress/Achievements</b>	
<ul style="list-style-type: none"> <li>• Integrate climate change into national and local development water plans.</li> <li>• Implement agricultural practices and water-saving techniques that lead to water conservation</li> <li>• Design insurance mechanisms to protect producers</li> <li>• Application and planning model implementation such as WEAP (Water Evaluation and Planning)</li> </ul>	<ul style="list-style-type: none"> <li>• Climate Change risk on the water sector integrated into key relevant plans and programs.</li> <li>• Strategies and measures that will facilitate adaptation to climate change impacts on water resources implemented at the local level.</li> <li>• Institutional and human capacity strengthened, and information/lessons learned disseminated</li> </ul>	<ul style="list-style-type: none"> <li>• Initiative to finance CBA was launched in 2009 and has approved 12 projects</li> <li>• Project to decrease sedimentation within the Paute River started</li> <li>• Access for locals to hydrological and meteorological information improved</li> <li>• Webpage developed: <a href="http://www.pacc-ecuador.org">www.pacc-ecuador.org</a></li> </ul>	
<b>Implementation status:</b>		<i>Under implementation</i>	
<b>Financing:</b>		<i>SCCF component USD 3,000,000; total project USD 28,581,222</i>	

**Adaptation to climate change in the Nile Delta through Integrated Coastal Zone Management (UNDP, Egypt, GEF ID 3242)**

The proposed project aims to integrate the management of SLR risks into the development of Egypt's Low Elevation Coastal Zone (LECZ) in the Nile Delta by strengthening the regulatory framework and institutional capacity to improve resilience of coastal settlements and development infrastructure, implement innovative and environmentally friendly measures that facilitate/promote adaptation in the Nile Delta, and establish a monitoring and assessment framework and knowledge management systems on adaptation. The project is based on the findings and recommendations of the Initial National Communication and the National Adaptation Plan for Climate Change and coherent with the National Environmental Action Plan (NEAP). The project features three components: 1) Regulatory Framework and Institutional Capacity, 2) On-the-ground measures and 3) Knowledge management. The project pioneers a new approach with a mix of light structural and non structural options to restore and protect the coastal line. Lack of existing skills and experience is therefore a barrier the project needs to address.

<b>Priority area(s):</b>		<i>Integrated coastal zone management, Health</i>	
<b>Adaptation activity</b>	<b>Expected outcomes</b>	<b>Progress/Achievements</b>	
<ul style="list-style-type: none"> <li>• Modification of coastal development legislation and regulation</li> <li>• Introduction of adaptation needs into policy and budgetary planning of the Shore Protection Agency</li> <li>• Introduction of climate risk assessment into ICZM system for Nile Delta</li> <li>• Adaptation pilots implemented (no activities specified as of yet)</li> <li>• Design of M&amp;E system with measureable indicators</li> <li>• Documentation and dissemination of lessons learned</li> </ul>	<ul style="list-style-type: none"> <li>• Capacity to improve resilience of coastal settlements and development infrastructure is strengthened</li> <li>• Innovative and environmentally friendly adaptation measures enforced in the framework of Nile Delta ICZM</li> <li>• M&amp;A framework and knowledge management system in place</li> </ul>	<ul style="list-style-type: none"> <li>• Project unit established in Alexandria</li> <li>• Project Management Committee established; 4 meetings in 2010</li> <li>• Project Inception Workshop held in Cairo, December 2010</li> <li>• Project Steering Committee met in 2011</li> <li>• Final Inception Report produced, containing description of further steps proposed and reflecting results of inception workshop.</li> <li>• Document entitled 'Living with Sea, a new proposed national policy for the shorelines of Egypt' was produced and submitted to the PSC member for final approval (choices for the location of pilot sites for adaptation measures)</li> </ul>	
<b>Implementation status:</b>		<i>Under implementation</i>	
<b>Financing:</b>		<i>SCCF component USD 4,000,000; total project USD 16,838,060</i>	



**Integrating climate change into the management of priority health risk in Ghana  
(UNDP, Ghana, GEF ID 3218)**

The project will develop systems and response mechanisms to strengthen the integration of climate change risks into the health sector. Project action will identify, implement, monitor, and evaluate adaptations to reduce likely future burdens on health issues identified by national stakeholders. This will be achieved by strengthening technical capacities of health sector workers to manage climate change-related health risks in both local and national policy levels. The focus of the project will be achieved through actions on three main fronts: strengthening technical capacities to manage climate change-related health risks; mainstreaming climate change health risk into decision-making at local and national health policy levels; and strengthening the climate change-health risk knowledge base through managing information and effectively disseminating it.

<b>Priority area(s):</b>	<i>Health</i>	
<b>Adaptation activity</b>	<b>Expected outcomes</b>	<b>Progress/Achievements</b>
<ul style="list-style-type: none"> <li>• Establish national CC and health inter-ministerial committee.</li> <li>• Strengthen existing committees and creating new CC and health coordinating mechanisms.</li> <li>• Develop training materials for health workers.</li> <li>• Develop subnational climate and health risk maps.</li> <li>• Develop a strategy for mainstreaming CC into the health sector policies.</li> <li>• Incorporate gender into health sector medium-term development plan</li> <li>• Develop climate risk screening tool</li> <li>• Strengthen disease surveillance system</li> </ul>	<ul style="list-style-type: none"> <li>• Improved national and local health technical sector capacity to plan for and manage climate change related alterations in the geographic range and/or incidence of climate-sensitive health outcomes.</li> <li>• Mechanisms established for cross-sectoral coordination to support CC-resilient health policy formulation and implementation at national and local levels</li> <li>• 'Lessons learned' collected and KM components established</li> </ul>	<ul style="list-style-type: none"> <li>• N/A—No information available.</li> </ul>
<b>Implementation status:</b>	<i>CEO Endorsed</i>	
<b>Financing:</b>	<i>SCCF component USD 1,890,000; total project USD 57,573,146</i>	

**Coping with Drought and Climate Change  
(UNDP; Mozambique; GEF ID 3155)**

The objective of the project is to reduce drought vulnerability in farming and pastoral communities by guaranteeing water supply and by training the communities to grow drought-resistant crops, like sweet potato, cassava or sorghum. The outputs from this project will assist the communities at the local level in enhancing their food security and livelihoods and at the national level in formulating suitable policies to support sustainable development. In December 2009 the project was reformulated in to narrow down the objectives and specifying the activities to be implemented, to a revision of the budget (for the next 3 years of implementation) and a specification of the management arrangements, and a logframe and M&E procedures for the project. Since June 2010 the project is getting traction and the outlook is positive

<b>Priority area(s):</b>		<i>Agriculture, Water Resource Management, Land Management, Capacity Development</i>
<b>Adaptation activity</b>	<b>Expected outcomes</b>	<b>Progress/Achievements</b>
<ul style="list-style-type: none"> <li>• Establish demonstration camps for drought tolerant crops in farmer's fields</li> <li>• Establish Women's associations and train women in food/fruits conservation and marketing techniques</li> <li>• Establish a system to raise awareness and control of bush fires at local level</li> <li>• Establish Farmer's associations</li> <li>• Conduct Geohydrological survey of groundwater quality and availability and adequacy for the construction of small dams and basin dams carried out in selected sites</li> <li>• Select and establish demonstration camps for the production and conservation of forage</li> <li>• Set up reservoirs/tanks to collect rainwater established in adequate public infrastructures</li> <li>• Establish multiplication camps for cassava and sweet potatoes in selected sites</li> </ul>	<ul style="list-style-type: none"> <li>• Modified screening mechanism of Government financing of projects directed to small farmers</li> <li>• Increase in numbers of agricultural projects directed to small farmers includes implementation of climate change adaptation</li> <li>• Small farmers are convinced of the advantage in implementing adaptation into business-as-usual</li> <li>• The adaptation measures are adopted by farmers beyond the pilot areas.</li> </ul>	<ul style="list-style-type: none"> <li>• Local farmer's associations set up.</li> <li>• MOUs with key local implementation partners agreed</li> <li>• Agreement with INGC/CVM for the training of Local Risk Management Committees</li> <li>• Scoping visit for the installation of bush fire information system agreed with technician of the Department for Conservation of Natural Resources</li> <li>• ToR agreed for the realization of the geohydrological survey of groundwater quality and availability and ToR for assessment of technical requirements for the construction of small dams and basin dams in selected sites;</li> </ul>
<b>Implementation status:</b>		<i>Under Implementation</i>
<b>Financing:</b>		<i>SCCF component USD 960,000; total project 1,889,840</i>

**Coping with Drought and Climate Change  
(UNDP, Zimbabwe, GEF ID 3165)**

This five year project seeks to develop and pilot a range of long-term adaptation measures in the agriculture sector to reduce the vulnerability of small-holder farmers and pastoralists in rural Zimbabwe to current and future climate change related shocks. The primary focus of the project will be Chiredzi District in Masvingo province. The project has been designed around four outcomes to address the barriers hampering long-term adaptation to climate change in the agriculture sector in Zimbabwe with special reference to agro-pastoralists in the semi-arid regions of the country.

<b>Priority area(s):</b>	<i>Water Resource Management, Land Management, Agriculture, Capacity Development</i>	
<b>Adaptation activity</b>	<b>Expected outcomes</b>	<b>Progress/Achievements</b>
<ul style="list-style-type: none"> <li>• Diversifying agriculture</li> <li>• Training communities and NGOs</li> <li>• Develop and implement advocacy programs</li> <li>• Design and implement community-level pilot projects</li> <li>• Establish systems for collaboration across communities</li> <li>• Develop decision support tools and training material</li> <li>• Prepare educational material</li> <li>• Develop community-based drought mitigation plan</li> <li>• Work with communities to conduct analysis of opportunities</li> <li>• Prepare position papers for policy makers using information from project sites</li> </ul>	<ul style="list-style-type: none"> <li>• Promoting sustainable livelihoods for drylands</li> <li>• Enhancing use of early warning systems</li> <li>• Integrating climate risk management across sectors, institutions and society</li> <li>• Up-scaling adaptation lessons learned outwards to other geographic areas and upwards to national policy level.</li> </ul>	<ul style="list-style-type: none"> <li>• 92 farmers comprising 46 women and 46 men from four villages participated in pilot demonstration projects</li> <li>• Livestock pilot demonstration projects are at the development stages</li> <li>• 28 households have started captive crocodile breeding, 120 households have embarked on Natural Resources Management as a source of income and 58 households have been introduced to aquaculture as an alternative source of livelihood</li> <li>• Yields improved by more than 100% for drought conditions because of project interventions</li> <li>• There was no livestock mortality associated with the drought conditions of the 2009-2010 season</li> <li>• Awareness has been raised through farmers' own experiences, project awareness workshops and materials</li> </ul>
<b>Implementation status:</b>	<i>Under Implementation</i>	
<b>Financing:</b>	<i>SCCF component USD 983,000; total project USD 1,938,000</i>	

**Economic Analysis of Adaptation Options in support of decision making  
(UNEP, Global, GEF ID 3679)**

The objective of this project was to develop a decision making framework and detailed methodology for cost benefit valuation of adaptation measures to support increased and innovative means of prioritizing and financing adaptation to climate change hazard risks. It aimed to deliver credible bottom-up estimates that can be integrated into the macro-economic analysis of adaptation, thus providing a fact base and method to assist decision makers from the local to the international levels in their approach to climate change adaptation. The project strived to facilitate (1) improved resource allocation decisions that yield greater flexibility across time frames; (2) more effective design and implementation of adaptation projects; (3) increases of investment and participation by non-traditional sources of capital.

<b>Priority area(s):</b>	<i>Water resources management, Land management, Agriculture, Health, Infrastructure development, Fragile ecosystems, Integrated coastal zone management</i>	
<b>Adaptation activity</b>	<b>Expected outcomes</b>	<b>Progress/Achievements</b>
<ul style="list-style-type: none"> <li>• Bottom-up assessments of costs and financing requirements for a subset of adaptation measures</li> <li>• Synthesis of lessons learned, articulation of knowledge gaps</li> <li>• 'Situation analysis' of existing approaches to adaptation financing</li> <li>• Identification of investment types and financing approaches</li> <li>• Solutions paper' outlining options for resource mobilization</li> <li>• Tools to support public sector decision-makers to effectively utilize funding to reduce vulnerability</li> <li>• Exposure assessment framework for private sector companies to understand implications of adaptation</li> </ul>	<ul style="list-style-type: none"> <li>• Increased information for supporting investment choices in adaptation by public and private decision makers</li> <li>• Improved ability to identify appropriate financing approaches to meet investment needs</li> <li>• Increased awareness and knowledge available to private and public decision makers for directing resources toward reducing vulnerability to climate change</li> </ul>	<ul style="list-style-type: none"> <li>• Final report and case study were completed mid 2009</li> <li>• Review by a technical panel and a two day consultative conference of global experts in July 2009</li> <li>• Project moved away from financial models and focused on tools to measure risk and identify funding priorities through cost-benefit analysis</li> <li>• High private sector involvement</li> <li>• From PIR: "while the use of risk and cost-benefit analysis did gain acceptance and traction with national and local government officials as well as private sector players [...], the long-term viability with the current leadership on the issue in the international community is limited".</li> </ul>
<b>Implementation status:</b>	<i>Completed</i>	
<b>Financing:</b>	<i>SCCF component USD 1,000,000; total project USD 4,500,000</i>	

**Adaptation to Climate Change Impacts on the Coastal Wetlands**  
(World Bank, Mexico, GEF ID 3159)

The objectives of the project are (i) to promote adaptation to the consequences of climate impacts in the coastal wetlands of the Gulf of Mexico, through the implementation of pilot measures that will provide information about the costs and benefits of alternative approaches to reduce the vulnerability of said coasts to climate change, and (ii) to assess the overall impacts of climate change on national water resource planning, including the identification of potential response options, with a focus on coastal wetlands and associated watersheds. Specifically, the project seeks to identify national policies to address the impacts of climate change on water resources at the national level (global overlay), to evaluate current and anticipated effects of climate change on the integrity and stability of the Gulf of Mexico wetlands, and to implement pilot adaptation measures to protect their environmental services from the impacts of climate change.

<b>Priority area(s):</b>		<i>Water resources management, Agriculture</i>	
<b>Adaptation activity</b>	<b>Expected outcomes</b>	<b>Progress/Achievements</b>	
<ul style="list-style-type: none"> <li>• Assessment of CC impacts on coastal Gulf wetlands and water sector</li> <li>• Implementation of early warning system for coastal wetlands</li> <li>• Expansion of civil protection system</li> <li>• Creation of buffer zones and of biological corridors between vulnerable wetlands</li> <li>• Restitution of ecosystems through conservation, reforestation and restoration of wetlands</li> <li>• Improvements of drainage systems</li> <li>• Strengthening and/or improvement of coastal infrastructure</li> <li>• Rainwater harvesting measures</li> <li>• Pilot climate resilient agricultural activities</li> </ul>	<ul style="list-style-type: none"> <li>• Data and reports produced are successfully applied to devise policy options and recommend adaptation measures for water sector</li> <li>• Evaluation of current and anticipated CC impacts on wetlands provides basis for devising adaptation policy and programs</li> <li>• Selected environmental services provided by coastal wetlands are maintained</li> <li>• Health of selected wetlands stabilized</li> <li>• Migration of populations stabilized</li> <li>• Productive activities in pilot sites maintained anticipating CC impacts</li> </ul>	<ul style="list-style-type: none"> <li>• N/A—No information available</li> </ul>	
<b>Implementation status:</b>		<i>CEO Endorsed</i>	
<b>Financing:</b>		<i>SCCF component USD 5,000,000; total project USD 18,500,000</i>	

**Integrating Climate Change in Development Planning and Disaster Prevention to Increase Resilience of  
Agricultural and Water Sectors  
(World Bank; Morocco; GEF ID 3967)**

The objective of the project is to strengthen the capacity of public and private institutions and of farmers to integrate climate change adaptations in projects directed to small farmers in five target regions in Morocco: Gharb-Chrarda-Beni Hssen, Rabat-Salé-Zemmour-Zaër, Chaouia-Ouardigha, Doukkala-Abda, and Tadla-Azilal. It will develop the capacities of staff of public and private institutions involved in the planning and implementation of agricultural projects directed to small farmers financed by the Government (Pillar II Projects) for integrating climate change adaptations. At the same time, the Project will disseminate climate change adaptations among small farmers. Within the five target regions, about 10 subprojects will be implemented to pilot the climate change adaptations.

<b>Priority area(s):</b>	<i>Water Resource Management, Agriculture, Capacity Development</i>	
<b>Adaptation activity</b>	<b>Expected outcomes</b>	<b>Progress/Achievements</b>
<ul style="list-style-type: none"> <li>• Development of the capacities of public and private institutions to integrate climate change adaptations in projects directed to small farmers in the target regions</li> <li>• Dissemination of climate change adaptation among small farmers in the target regions</li> </ul>	<ul style="list-style-type: none"> <li>• Modified screening mechanism of Government financing of projects directed to small farmers</li> <li>• Increase in numbers of agricultural projects directed to small farmers includes implementation of climate change adaptation</li> <li>• Small farmers are convinced of the advantage in implementing adaptation into business-as-usual</li> <li>• The adaptation measures are adopted by farmers beyond the pilot areas.</li> </ul>	<ul style="list-style-type: none"> <li>• N/A—No information available</li> </ul>
<b>Implementation status:</b>	<i>CEO Endorsed</i>	
<b>Financing:</b>	<i>SCCF component USD 4,345,454; total project 31,495,454</i>	

**Sahel and West Africa Program in Support of the Great Green Wall Initiative  
(World Bank, Regional/Africa, GEF ID 4511)**

The Great Green Wall of Sahel and Sahara Initiative is an effort of 11 Sahel countries to facilitate an environmental and development transformation in the region that will mitigate the risk of desertification while at the same alleviating poverty. The GEF aims to support an integrated approach in the Sahel zone from Senegal to Djibouti, including the Lake Chad Basin. GEF components of the project will address the environmental insecurity that affects people and ecosystems. The specific SCCF contribution to the project, located in Nigeria, focuses on strengthening responses to climate change impacts and enhancement of adaptive capacity of national and regional centers and networks to rapidly respond to extreme weather events. In addition, the GEF contribution in Nigeria as well as the specific SCCF contribution will put an emphasis on soil erosion in accordance to the vulnerability assessment in Nigeria's UNFCCC National Communications: "As a consequence of climate change, some areas will start receiving heavier and steadier rainfall and such areas will inevitably begin to experience increased rainfall-induced erosion. These are extremely serious situations given that soil erosion is already of catastrophic proportions in Nigeria [...]"

<b>Priority area(s):</b>	<i>Water resources management, Land management, Agriculture</i>	
<b>Adaptation activity</b>	<b>Expected outcomes</b>	<b>Progress/Achievements</b>
<ul style="list-style-type: none"> <li>Capacity development: training of national, local officers on integration of climate change adaptation into sectoral planning</li> <li>Testing of Technology based adaptation options</li> <li>Facilitate incorporation of climate parameters into civil works planning, design</li> <li>Provide targeted investment add-ons to civil structures addressing climate variability</li> <li>Introduce CC parameters to measures to reduce soil erosion: engineering (check dams, storm diversion channels, bench terraces) and biological (cover cropping, mulching, contour cultivation, minimum or zero tilling)</li> </ul>	<ul style="list-style-type: none"> <li>Reduced vulnerability to climate change in development sectors</li> <li>Strengthening adaptive capacity to reduce risks to climate-induced economic losses</li> <li>Enhancing both immediate and longer term adaptation in development policies, plans, programs, projects and actions</li> </ul>	<ul style="list-style-type: none"> <li>N/A—project not under implementation at the time of the evaluation</li> </ul>
<b>Implementation status:</b>	<i>Council approved</i>	
<b>Financing:</b>	<i>SCCF component USD 4,170,000; total project USD 1,810,000,000</i>	

**Southeastern Europe and Caucasus Catastrophe Risk Insurance Facility (SEEC CRIF)**  
**(World Bank; Albania, Macedonia, Serbia; GEF ID 4515)**

The objective of the project is to enable set up a catastrophe and weather-risk re-insurance facility, to develop new weather risk insurance and reinsurance products, ensure automate insurance underwriting, pricing and claims settlement processes for such products, and increase public awareness of weather risk in participating countries.

The main rationale of SEEC CRIF is to promote the development of local catastrophe and weather risk insurance markets that will enable local businesses and populations to buy affordable catastrophe and weather risk insurance products which currently cannot be found in the commercial market. The Facility targets the entire SEEC region, but with a focus on the Balkans and the Caucasus first. Countries become Facility members by providing equity contributions that are financed by the World Bank. Albania became a member of the Facility in 2010 and the World Bank Board gave approval to finance the equity contributions of Macedonia and Serbia on March 3, 2011. Negotiations with Bosnia and Herzegovina (BiH), Montenegro are expected in the spring of 2012.

<b>Priority area(s):</b>		<i>Disaster Risk Management</i>
<b>Adaptation activity</b>	<b>Expected outcomes</b>	<b>Progress/Achievements</b>
<ul style="list-style-type: none"> <li>• Develop underlying regulatory and technical work required to develop insurance products.</li> <li>• Develop underlying regulatory and technical work required to develop insurance products</li> <li>• Country participation in SEEC CRIF</li> </ul>	<ul style="list-style-type: none"> <li>• Development of catastrophe insurance policy and regulatory framework</li> <li>• Ability to collect weather data, assess risk, forecast, and develop climate models and weather risk indices in order to develop catastrophe insurance product</li> <li>• Purchase of weather station</li> <li>• Public awareness events</li> <li>• Provide reinsurance support and develop required market infrastructure for catastrophe insurance</li> </ul>	<ul style="list-style-type: none"> <li>• N/A—No information available</li> </ul>
<b>Implementation status:</b>	<i>CEO Endorsed</i>	
<b>Financing:</b>	<i>SCCF component USD 5,500,000; total project 27,000,000</i>	



**Adaptation of Nicaragua's Water Supplies to Climate Change  
(World Bank, Nicaragua, GEF ID 4492)**

The objective of the project is to enhance the current and future resilience to climate change of investments in the water supply and rural sector undertaken by GoN and other development partners, including the World Bank. The project features four components: (i) institutional strengthening for integration of climate impacts in water resources management, (ii) protection of micro-watersheds and water supply sources from climate-induced vulnerabilities (droughts and floods), (iii) investment in supply- and demand-side measures to increase drinking water availability in vulnerable areas through supply-augmenting and efficiency measures, and (iv) coastal wetland protection and reduction of vulnerability to sea level rise in order to reduce climate-induced impacts on drinking water supplies in vulnerable areas (Corn Island).

<b>Priority area(s):</b>	<i>Water resources management, Land Management, Agriculture, Fragile ecosystems</i>	
<b>Adaptation activity</b>	<b>Expected outcomes</b>	<b>Progress/Achievements</b>
<ul style="list-style-type: none"> <li>• CC education and training program for technical staff and decision makers</li> <li>• Monitoring system for extreme weather events and natural disasters</li> <li>• Wetland conservation and restoration program (Lake Nicaragua)</li> <li>• Piloting economic instruments and innovative institutional approaches for water resources management</li> <li>• Water harvesting, storage, additional wells and alternative water sources in drought prone areas</li> <li>• Efficiency of water use: metering, reuse of wastewater in agriculture, water saving technologies</li> <li>• Institutional strengthening of water utility, municip.</li> <li>• Rainfall monitoring as input in groundwater aquifer management plan</li> </ul>	<ul style="list-style-type: none"> <li>• Strengthened ability of national, municipal gov. and communities to respond to extreme hydrometeoro. events</li> <li>• Reduction of CC vulnerability of water supplies; dev. of economic instruments for protection of water sources</li> <li>• Demand and supply side measures to protect water sources and improve efficiency of water use</li> <li>• CC resilience integrated in local gov. and rural communities' policies, plans and programmes</li> <li>• Livelihoods and sources of income diversified</li> <li>• Reduction of human vulnerability to climate change by building resilience of the source of water supply to sea level rise and stronger pollution management</li> </ul>	<ul style="list-style-type: none"> <li>• N/A—No information available</li> </ul>
<b>Implementation status:</b>	<i>Council approved</i>	
<b>Financing:</b>	<i>SCCF component USD 3,000,000; total project USD 8,500,000</i>	

**Mainstreaming Adaptation to Climate Change Into Water Resources Management and Rural Development  
(World Bank, China, GEF ID 3265)**

The project's objective is to enhance adaptation to climate change in agriculture and irrigation water management practices through awareness raising, institutional capacity strengthening, and demonstration activities in China's 3H River Basin. The goal is to facilitate mainstreaming climate change adaptation concepts and techniques into the national Comprehensive Agricultural Development (CAD) Program which is China's largest national investment program in irrigated agriculture. The project is designed as a complement to the World Bank-supported Irrigated Agriculture Intensification III Project (IAIL3) which in turn is part of CAD. The project is based on a comprehensive climate change vulnerability assessment and characterized by a strong on-the-ground working relationship between farmers and scientific advisors throughout the testing and implementation of a broad range of adaptation activities. The project supported the expansion of community based organizations as the backbone for stakeholder interaction and project implementation. The strong overlap between the project's management and the organizational structure of the CAD is facilitating mainstreaming and scaling up of project activities.

<b>Priority area(s):</b>		<i>Water resources management, Land management, Agriculture</i>
<b>Adaptation activity</b>	<b>Expected outcomes</b>	<b>Progress/Achievements</b>
<ul style="list-style-type: none"> <li>Comprehensive vulnerability assessment</li> <li>Prioritization and selection of adaptation measures</li> <li>Implementation of Adaptation Measures:                             <ul style="list-style-type: none"> <li>a) Water resources management measures</li> <li>b) Adaptation-oriented farming practices (deep plowing, crop diversif., adaptive varieties etc)</li> <li>c) Water savings oriented farming technologies, irrigation, drainage tech.</li> <li>d) Support of Farmers Associations and Water Users Associations</li> </ul> </li> <li>Mainstreaming through capacity building, technical assistance, knowledge sharing, and public awareness</li> </ul>	<ul style="list-style-type: none"> <li>Increased understanding of the likelihood of climate change impacts</li> <li>Increased climate change adaptation awareness of farmers, Water User Association (WUA) and Farmer Professional Associations (FA) members, technical staff, and officials</li> <li>Relevant climate change adaptation measures implemented in selected demonstration areas</li> <li>Adaptation policies, measures and activities integrated into policy planning on the national, provincial and local level</li> </ul>	<ul style="list-style-type: none"> <li>All dimensions of the project rated highly satisfactory or satisfactory</li> <li>Range of adaptation activities in 10 pilot counties implemented</li> <li>Activities integrated into larger IAIL3 project beyond demonstration sites</li> <li>Detailed CC information and data framework</li> <li>Series of capacity building, technical assistance, knowledge sharing, public awareness activities</li> <li>Results documented and widely published</li> <li>Adaptation activities already mitigated serious damage during extreme drought event in 2009</li> <li>Mainstreaming, replication and scaling up underway</li> </ul>
<b>Implementation status:</b>	<i>Under Implementation</i>	
<b>Financing:</b>	<i>SCCF component USD 5,316,000; total project USD 55,816,000</i>	

<b>Design and Implementation of Pilot Climate Change Adaptation Measures in the Andean Region (World Bank, Bolivia, Peru, Ecuador, GEF ID 2902)</b>		
<p>The project's objective is to contribute to strengthening the resilience of local ecosystems and economies to the impacts of glacier retreat in the tropical Andes, through the implementation of specific adaptation activities that illustrate the costs and benefits of adaptation. This will be achieved by: a) supporting the detailed design of selected adaptation measures; b) implementing regional and strategic adaptation pilots to address key impacts from rapid glacier retreat on selected basins; and c) supporting continuing observation and assessment of glacier retreat and the associated impacts on the region (no GEF resources requested for this activity).</p>		
<b>Priority area(s):</b>	<i>Water resources management, Agriculture, Fragile ecosystems</i>	
<b>Adaptation activity</b>	<b>Expected outcomes</b>	<b>Progress/Achievements</b>
<ul style="list-style-type: none"> <li>Glaciers vulnerability maps</li> <li>Publications and regional research in the topic of cc related to glaciers.</li> <li>Pilot adaptation activities: reforestation, conservation of ground cover in high altitude grasslands, irrigation in areas affected by drop of glacier flows, improvements in water distribution systems</li> <li>Infrastructure to minimize impacts on the water, agriculture, energy sectors caused by rapid glacier retreat</li> <li>Integrated water management plans in selected basins</li> <li>Glaciers monitoring stations</li> <li>Mountain wetlands monitoring stations</li> <li>Glacier monitoring plan using aero-photography</li> </ul>	<ul style="list-style-type: none"> <li>Integration of the issue of glacier retreat in the regional/local planning of relevant glacierized basins</li> <li>Increased local and international awareness of the economic and social costs of tropical glacier retreat</li> <li>Incorporation of glacier retreat impacts in water, energy, and agricultural sector policies, and implications in the areas of intervention</li> <li>Effective use of the information of the monitoring network as an input to planning in glacierized basins and decisions taken to support its long term operation</li> </ul>	<ul style="list-style-type: none"> <li>Delays experienced in Bolivia and Ecuador due to political process</li> <li>Peru: 3 of 3 pilots are designed, starting implementation.</li> <li>Ecuador: PP2 under final design, PP1 still pending</li> <li>Bolivia: PP1 and PP2 identified and ready to start final design when administrative situation in Bolivia is resolved. PP3 finishing design</li> <li>Main administrative actors involved in design and implementation</li> <li>Glacier monitoring stations purchased, in testing</li> <li>Dissemination continues at good pace, as shown by a number of articles published in national and regional newspapers</li> <li>Climate change scenario development progressing with actors at different levels interacting</li> </ul>
<b>Implementation status:</b>	<i>Under implementation</i>	
<b>Financing:</b>	<i>SCCF component USD 7,490,000; total project USD 32,722,000</i>	

**Guyana Conservancy Adaptation Project  
(World Bank; Guyana; GEF ID 3227)**

The objective of the CAP is to reduce the vulnerability of catastrophic flooding in Guyana's low-lying coastal area that is currently threatened by sea level rise resulting from global climate change. The project had a MTR in June 2010, led by World Bank staff. There were two main factors that affected the decision of the MTR. As per recommendations outlined in the MTR (carried out in June 2010) and following those of a Quality Assessment Lending Portfolio carried out in May 2010, the Bank reviewed the outcomes indicators, the reallocation of funds per components and the necessity to extend the original project closing date. The outcome indicator (increase in the drainage relief capacity of the EDWC to the Demerara River by 35% by end of project was dropped to reflect the reality of the project activities which focused essentially on providing technical engineering baseline for future interventions designed to reduce flood vulnerability. Unused funds were reallocated from component 2 to component 1 to cover the cost of the engineering study

<b>Priority area(s):</b>		<i>Health</i>
<b>Adaptation activity</b>	<b>Expected outcomes</b>	<b>Progress/Achievements</b>
<ul style="list-style-type: none"> <li>Increased discharge capacity of key relief canal from EDWC to Demerara River by widening canal.</li> <li>improvement of water flow system within EDWC: % increase in discharge capacity to the Demerara River; internal hydraulic flow model completed by project year 1 and report presented on results</li> <li>Upgrading of EDWC water control structures.</li> <li>Selected monitoring equipment purchase and installation.</li> <li>Major infrastructure civil works and operational improvements.</li> </ul>	<ul style="list-style-type: none"> <li>Development of a hydraulic engineering foundation critical for flood control management</li> <li>Identification of at least 10 key drainage regimes for follow-on intervention.</li> <li>Identification of at least 10 key drainage regimes for follow-on intervention.</li> </ul>	<ul style="list-style-type: none"> <li>N/A—No information available.</li> </ul>
<b>Implementation status:</b>	<i>Under Implementation</i>	
<b>Financing:</b>	<i>SCCF component USD 3,800,000; total project 4,142,000</i>	

**Climate Change Adaptation Project  
(World Bank, Philippines, GEF ID 3243)**

The project is a pilot the development objective of which is to develop and demonstrate approaches that would enable targeted communities to adapt to the potential impacts of climate variability and change. This would be achieved by strengthening existing institutional frameworks for climate change adaptation, and by the demonstration of cost-effective adaptation strategies in agriculture and natural resources management. The project will increase communities' adaptive capacity<sup>8</sup> by improving: (a) farm management capability under conditions of climate risk; (b) access to information on weather forecasting and climate patterns; (c) access to risk management options such as weather index insurance; and (d) strengthening ecosystems. The primary beneficiaries include poor farmers who often suffer climate-related losses, and other vulnerable groups that depend on natural resources for their livelihoods.

<b>Priority area(s):</b>	<i>Water resources management, Land management, Agriculture, Fragile ecosystems, Integrated coastal zone management</i>	
<b>Adaptation activity</b>	<b>Expected outcomes</b>	<b>Progress/Achievements</b>
<ul style="list-style-type: none"> <li>• Institutional capacity development</li> <li>• Demonstrate methods of adaptation through the implementation of field-level pilot activities:               <ul style="list-style-type: none"> <li>a) Climate-proofing irrigation infrastructure</li> <li>b) Enhancing extension services for farm-level climate risk management</li> <li>c) Piloting weather index-based crop insurance</li> <li>d) Improved management of protected areas</li> </ul> </li> <li>• Support climatological analyses, scientific modeling of future climate change, seasonal forecasting, standardized hazard and risk mapping systems</li> </ul>	<ul style="list-style-type: none"> <li>• Strengthened capabilities of relevant government agencies and bodies</li> <li>• Enhanced resilience of Investments in natural resources, infrastructure and agriculture sectors</li> <li>• Improved access to reliable scientific information enabling rapid and accurate decision making for climate risk mgmt</li> <li>• Increased capacity to carry out disaster risk reduction</li> <li>• Climate change impacts are considered in risk analyses for disaster risk reduction</li> </ul>	<ul style="list-style-type: none"> <li>• N/A—No information available</li> </ul>
<b>Implementation status:</b>	<i>Under implementation</i>	
<b>Financing:</b>	<i>SCCF component USD 4,977,000; total project USD 55,427,000</i>	

Adaptation to Climate Change in Arid Lands (KACCAL) (UNDP/WB, Kenya, GEF ID 3249)		
The goal of the project is to enhance the resilience of communities and the sustainability of rural livelihoods threatened by climate change in the arid and semi-arid lands of Kenya. KACCAL's development objective is to improve the ability of selected districts and communities of the ASALs to plan and manage climate change adaptation measures. This will be done through: (i) strengthening climate risk management and natural resource base related knowledge; (ii) building institutional and technical capacity for improved planning and coordination to manage current and future climate risks at the district and national levels; and (iii) investing in communities' priorities in sustainable land and water management and alternative livelihoods that helps them adapt to climate risk.		
<b>Priority area(s):</b>	<i>Water resources management, Land Management, Agriculture, Fragile Ecosystems</i>	
Adaptation activity	Expected outcomes	Progress/Achievements
<ul style="list-style-type: none"> <li>Implementation of micro-projects: matching grants to communities for land and water management, sustainable agricultural land and livestock management, livelihood enhancement and diversification, credit and micro-insurance, human and livestock health</li> <li>Development of climate-related knowledge products</li> <li>Integration of climate action into national and local development plans (resources, training etc)</li> <li>Support for "climate smart" investments: early warning systems and infrastructure to manage floods; livestock monitoring and response systems; natural resource management etc</li> </ul>	<ul style="list-style-type: none"> <li>Long-term adaptation is mainstreamed into district management and community action plans, and national strategies and policies <ul style="list-style-type: none"> <li>Increased diversity of household income sources/livelihood options using a modified version of the Core Welfare Indicators Questionnaire (CWIQ) methodology</li> </ul> </li> <li>Decreasing annual trend in the number and percentage of people of targeted communities seeking/receiving free food aid</li> <li>Reduced time between reported drought stress and response</li> <li>Improved nutritional status of children below 5 years of age affected by severity of drought over time</li> </ul>	<ul style="list-style-type: none"> <li>N/A—No information available</li> </ul>
<b>Implementation status:</b>	<i>CEO Endorsed</i>	
<b>Financing:</b>	<i>SCCF component USD 6,500,000; total project USD 48,670,000</i>	

**TT-Pilot: Renewable CO<sub>2</sub> Capture and Storage from Sugar Fermentation Industry in Sao Paulo State  
(UNDP, Brazil, GEF ID 4040)**

The overarching goal of the project is to contribute to the removal of barriers to the deployment, diffusion and transfer of renewable CO<sub>2</sub> capture and storage (RCCS) technology. To do so, the project proposes the development of RCCS from CO<sub>2</sub> emitted from sugar fermentation in a demonstration plant at a sugar/ethanol mill in Sao Paulo state. During fermentation, gaseous is released in 100% concentration and free of other gases (Nitrogen, CO) and impurities (e.g., sulphur, hydrocarbons, and acids) for underground storage. Thus, the project concentrates on storage of CO<sub>2</sub> since the capture, which is a difficult step performed for CCS from fossil fuel combustion, is not necessary in the sugar fermentation process given the high purity of the CO<sub>2</sub> generated. The project estimates that 23 million tons of CO<sub>2</sub> could be captured yearly if the technology were applicable to all the 420 mills in operation nationwide. The project identifies the following barriers to nationwide application to be addressed by the project: a) technical viability and costs; b) diffusion and technology availability; c) Brazil's capacities to apply the technology; d) a conducive legal and regulatory framework.

<b>Priority area(s):</b>	<i>Implementation of the results of technology needs assessment, Capacity-building for technology transfer, Enabling environments</i>	
<b>TT activity</b>	<b>Expected outcomes</b>	<b>Progress/Achievements</b>
<ul style="list-style-type: none"> <li>Establishment of Enabling Environment for RCCS Technology Transfer: technical and financial feasibility study finalized; legal and regulatory procedures for RCCS projects simplified</li> <li>Demonstration of RCCS technology</li> <li>Capacity development on RCCS technology: courses, seminars, printed materials and on-the-job training for local technicians, students and professionals</li> <li>Technical and financial assessment reports of RCCS completed and used for the promotion of the technology and capacity development courses</li> </ul>	<ul style="list-style-type: none"> <li>Completion of technical and financial studies for the construction and installation of RCCS system equipment</li> <li>Complete Feasibility study on selected pilot industry</li> <li>Construction and operation of pilot project (requires completion of drilling, carbon capture facility, pumping stations and pipeline)</li> <li>RCCS technology demonstrated and documented project disseminated, strengthening local RCCS capacities</li> </ul>	<ul style="list-style-type: none"> <li>N/A—No information available</li> </ul>
<b>Implementation status:</b>	<i>Council Approved</i>	
<b>Financing:</b>	<i>SCCF component USD 2,700,000; total project USD 10,415,000</i>	

**Technology Needs Assessments  
(UNEP, Global, GEF ID 3907)**

As part of the GEF Strategic Programme on Technology Transfer, the project will provide financial and technical support to assist 35 to 45 developing countries in carrying out improved Technology Needs Assessments (TNA). The initiative is a direct response to UNFCCC COP request (COP 13). The project's objective is to enable countries to go beyond identifying technology needs narrowly and develop more far-reaching national technology action plans for prioritized technologies that reduce greenhouse gas emissions, support adaptation to climate change, and are consistent with national development objectives. These improved TNAs are to include involves in-depth analysis and prioritization of technologies, analysis of potential barriers hindering the transfer of prioritized technologies as well as issues related to potential market opportunities at the national level. In addition, National Technology Action Plans (TAPs) which will be prepared as sequel to the TNAs.

<b>Priority area(s):</b>	<i>Technology information, Capacity-building for technology transfer, Enabling environments</i>	
<b>TT activity</b>	<b>Expected outcomes</b>	<b>Progress/Achievements</b>
<ul style="list-style-type: none"> <li>• Development and testing of methodologies for prioritization of technologies and market assessment</li> <li>• Design and implementation of targeted training and supporting materials</li> <li>• Provision of feedback to fine tune methodologies in a national context</li> <li>• Contribution to the revision of the new TNA Handbook</li> </ul>	<ul style="list-style-type: none"> <li>• Created national consensus on priority technologies, technology action plan compatible with Nationally Appropriate Mitigation Actions</li> <li>• Established institutional structure for overseeing implementation, and developed capabilities to revise or adapt the plan as needed</li> <li>• Multi-criteria methodology for identifying mitigation/adaptation technologies for national circumstances available</li> <li>• Increased national and interregional cooperation on technology transfer as a means of facilitating the preparation of TNAs</li> </ul>	<ul style="list-style-type: none"> <li>• Series of regional workshops in Africa, Asia and Latin America</li> <li>• Special TNA event at COP 16 Cancun</li> <li>• Global inception workshop</li> <li>• <b>Guidebooks:</b> <ul style="list-style-type: none"> <li>(1) Technologies for CC Adaptation—Coastal Erosion and Flooding</li> <li>(2) Technologies for CC Mitigation—Transport Sector</li> <li>(3) Technologies for CCA—Water Sector</li> <li>(4) Technologies for CCA—Agriculture Sector</li> <li>(5) Technologies for CCM—Agriculture Sector</li> <li>(6) Handbook for Conducting Technology Needs Assessment for Climate Change</li> <li>(7) Organising the National TNA Process: An Explanatory Note</li> </ul> </li> </ul>
<b>Implementation status:</b>	<i>Under Implementation</i>	
<b>Financing:</b>	<i>SCCF component USD 9,000,000; total project USD 11,855,000</i>	



**TT-Pilot: Introduction of Renewable Wave Energy Technologies for the Generation of Electric Power in Small Coastal Communities in Jamaica (UNDP, Jamaica, GEF ID 4060)**

The main objective of the project is the introduction of renewable wave energy in a Small Island Developing State like Jamaica for the electrification of coastal rural communities (both on and off-grid) and to contribute to lowering the risk of these communities exposure to high energy storm waves. The project strives to demonstrate, through pilot projects, that renewable wave energy technology is applicable in Small Island Developing States, not only for distributed electric power generation but also for beach erosion control and reduction of vulnerability due to storm waves. During the implementation of the proposed project, one or two small coastal communities will benefit from renewable wave energy in Jamaica. It is estimated that in the midterm (2 to 5 years), due to replication of similar projects in Jamaica and other Small Island Developing States in the Caribbean Region, a large number of small coastal communities, especially those isolated communities that either do not have electric power or depend on diesel electric power generation distributed through mini-grids, will benefit from wave energy conversion technologies.

<b>Priority area(s):</b>		<i>Implementation of the results of technology needs assessment, Capacity-building for technology transfer</i>
<b>TT activity</b>	<b>Expected outcomes</b>	<b>Progress/Achievements</b>
<ul style="list-style-type: none"> <li>Assessment of Wave Energy Conversion (WEC) technology</li> <li>Related capacity development</li> <li>Support to drafting of necessary policy and regulatory framework</li> <li>Construction and operation of demonstration wave energy pilot projects</li> </ul>	<ul style="list-style-type: none"> <li>Enhanced knowledge of potential WEC Technology applications; Improved knowledge of WEC system benefits, availability and costs</li> <li>Enhanced capability and capacity of institutions in charge of renewable energy in the country on WEC systems and potential</li> <li>Approval and implementation of policies and regulations supportive of WEC projects</li> <li>Increased WEC applications in rural coastal communities, with resulting GHG emission reduction, energy independence, and storm waves coastal vulnerability reduction</li> </ul>	<ul style="list-style-type: none"> <li>Project not under implementation at the time of the evaluation</li> </ul>
<b>Implementation status:</b>	<i>PIF Approved</i>	
<b>Financing:</b>	<i>SCCF component USD 741,400; total project USD 2,161,400</i>	

**Irrigation Technology Pilot project to face climate change impacts in Jordan  
(IFAD, Jordan, GEF ID 4036)**

The project aims to upscale an innovative irrigation technology to reduce the vulnerability to climate change of the agricultural system in Jordan and particularly from its impacts on water resources by testing an innovative, environmental friendly and water-use efficient technology. The approach of this project is centered on the link between technology transfer, climate change response and rural development. It aims to increase the resilience to climate change impact of Jordan's water system, acknowledged to be a key resource for agricultural production. The project will be articulated around three components.

The project focuses on the adoption of an innovative and environmentally-friendly technology named Dutyion Root Hydration System (dRHS) developed by Dupont, particularly promising in arid and semi-arid areas as an adaptation measure. The project will target a total of 100 ha of agricultural land to test the dRHS technology. The dRHS irrigation system consists of a network of subsurface pipes that can be filled with almost any type of water, including salted or waste-water. The technology is expected to improve water use efficiency by at least 30%. More importantly, the technology allows the use of poor water quality for irrigation hence freeing good water quality for other purposes than irrigation.

<b>Priority area(s):</b>	<i>Capacity development for technology transfer, technology information</i>	
<b>Technology transfer activity</b>	<b>Expected outcomes</b>	<b>Progress/Achievements</b>
<ul style="list-style-type: none"> <li>• Test the dRHS technology on pilot sites</li> <li>• Identify policy and financing needs to support technology adoption</li> <li>• Involve private sector</li> <li>• Training of stakeholders</li> <li>• Design awareness campaigns</li> </ul>	<ul style="list-style-type: none"> <li>• Identification, Implementation and expansion of dRHS System in Jordan</li> <li>• Training, capacity building and communication</li> <li>• Project Management</li> </ul>	<ul style="list-style-type: none"> <li>• N/A - Unknown at the time of evaluation</li> </ul>
<b>Implementation status:</b>	<i>CEO Endorsed</i>	
<b>Financing:</b>	<i>SCCF component USD2,000,020; total project USD 7,666,020</i>	

### **BACKGROUND PAPER AND LITERATURE REVIEW**

#### **AN ASSESSMENT OF CURRENT EFFORTS TO EVALUATE ADAPTATION ACTIVITIES PROGRAMS AND PROJECTS**

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#### **G.1 Introduction**

1. Because of the early life of most adaptation programs and projects, evaluating climate change adaptation activities is an exercise still in its formative years. For those projects and programs that have completed evaluations, findings have often proven premature, and no specific evaluation framework or guidelines designed for adaptation have been followed. Though discussions on how to monitor and evaluate climate change adaptation projects and programs have gone on for a few years now, there are still many unresolved challenges, and it remains clear that a significant gap with regard to evaluating adaptation projects and programs exists.
2. It is commonly agreed that evaluating the degree of adaptation generated by projects and programs is a vital component to ensure that goals and objectives have been achieved, and to assess lessons learned for future applications. As noted by the Adaptation Fund Board at its 13th meeting in March 2011, adaptation measures are those development tools that create sustainable positive impacts in the long run. International development organizations and national governments are trying to measure the success of adaptation programs and projects. As indicated by the Global Environment Facility (GEF) (GEF EO 2008), and reiterated through the 2011 GEF Strategy on Climate Change Adaptation, the literature with respect to defining and measuring different aspects of vulnerability is quite exhaustive, yet there is much less on examples and guidance on how to plan and implement adaptation actions. This is largely because effectiveness of adaptation measures remains to be tested on the ground and lessons extracted for learning purposes; i.e., through the evaluation process (GEF 2011). “It is imperative to start thinking about this topic given the world needs to rapidly learn lessons on how best to adapt to a changing climate” (GEF EO 2008) and understand the different tools available to facilitate the adaptation evaluation process.
3. The GEF’s Evaluation Office has taken the lead in evaluating climate change adaptation programs and projects. In 2009, evaluations of the Strategic Priority for Adaptation (SPA) and the Least Developed Countries Fund (LDCF) were completed, the latter in cooperation with Danida. The GEF and its Evaluation Office are also among the most advanced with regard to actual approved frameworks and guidelines for evaluating adaptation including approvals of a Results-Based Management (RBM) Framework for Adaptation for the SCCF and LDCF, a Framework for Evaluating Climate Change Adaptation under the Adaptation Fund, and Guidelines for Evaluating Climate Change Adaptation under the Adaptation Fund. The SCCF/LDCF has also devised an Adaptation Monitoring and Assessment Tool (AMAT) that is aimed at assisting project managers in developing indicators for monitoring and evaluation (M&E).
4. Other institutions such as the United Kingdom Climate Impacts Programme, the United Nations Framework Convention on Climate Change (UNFCCC), the United Nations Development Programme (UNDP), the Organisation for Economic Co-operation and Development (OECD), and the U.K. Department for International Development (DFID) have discussed potential methodologies and frameworks that could be used. A few adaptation project evaluations and final reports have also been produced, for example the evaluation of the Mainstreaming Adaptation to Climate Change in the Caribbean (MACC) project (World Bank 2009), the Lake Balaton Integrated Vulnerability Assessment, Early Warning Systems, and Adaptation Strategies project evaluation (UNDP 2010), and the final evaluation of the Capacity Building for Stage II Adaptation to Climate Change in Central America, Mexico, and Cuba (UNDP 2008).

5. This document reviews some of the current efforts and discussions of the various tools used and proposed by evaluation specialists to provide a snapshot of what has been done so far in evaluating adaptation. It also presents some of the limitations in evaluating climate change adaptation and discusses some of the challenges evaluators face. The paper is not aimed at providing a “one-size-fits-all” framework for adaptation, but rather at providing a basis on what has already been done so experts can continue building on these ideas in future work.

## G.2 Adaptation and Evaluations

6. There are several different definitions for adaptation to climate change. The Intergovernmental Panel on Climate Change initially termed adaptation as being “any adjustment in natural and human systems in response to actual or expected climatic stimuli or their effects, which moderates harm or exploits beneficial opportunities” (IPCC 2007). Since then, several other organizations have built on the definition to better reflect the complexity of this concept. The OECD’s Development Assistance Committee (DAC) defines climate change adaptation projects as those that “reduce the vulnerability of human or natural systems to the impacts of climate change and climate-related risks, by maintaining or increasing adaptive capacity and resilience. This encompasses a range of activities from information and knowledge generation, to capacity development, planning and implementation of climate change adaptation actions” (OECD DAC 2010). The UNFCCC definition emphasizes change, rather than current conditions: “actions taken to help communities and ecosystems cope with changing climate conditions, such as the construction of flood walls to protect property from stronger storms and heavier precipitation, or the planting of agricultural crops and trees more suited to warmer temperatures and drier soil conditions” (UNFCCC n.d.).
7. Adaptation activities has been categorized as (GEF EO 2008):
  - **Reactive.** Adaptation occurs after the initial impact has been felt.
  - **Anticipatory/planned.** Anticipatory adaptation takes place before impacts of climate change are observed; most often anticipatory adaptation is planned. Planned adaptation is the result of a deliberate policy decision, based on an awareness that conditions have changed or are about to change and that action is required to return to, maintain, or achieve a desired state.
  - **Autonomous (spontaneous).** Adaptation does not constitute a conscious response to climatic stimuli but is triggered by ecological changes in natural systems and by market or welfare changes in human systems.
8. Adaptation to climatic changes and variability is in and of itself not a new concept. Reactive and autonomous adaptation has been taking place for decades and centuries. That is, communities have been adjusting policies and procedures to improve availability of natural resources, better livelihoods, enhance environmental resilience, increase resilience against natural catastrophes, and improve policies that enhance and improve livelihoods through development initiatives for decades. With the advent of human-induced climate change, adaptation has become more planned and anticipatory—i.e. adaptation activities taken to specifically provide the tools necessary to help societies cope with the additional impacts expected from climate change.
9. Adaptation to climate change is vital to development objectives. It is forecasted that climate change impacts are likely to be worse in the Southern hemisphere where most poor communities are located; if no adaptation measures are taken, climate change may very likely halt or even reverse progress toward Millennium Development Goals such as poverty reduction. Not only do poor communities lack the necessary assets to cope with climate change, but they are also frequently located in the most fragile areas affected by other environmental issues. The vulnerability context of the poor is much more insecure than that of developed and richer communities, as existing external shocks on assets

will be aggravated with the increased impacts from climate change. For example, a coastal community suffering from loss of fish due to mangrove overharvesting or pollution may suffer more if sea surface temperatures further halt mangrove reproduction rates. Poor and vulnerable communities, nations, and countries have to adapt to current climate variability and will have to adapt to future climate change to safeguard their current and future development.

10. However, as noted by UNDP, the M&E tools for standard development and environment fall short in the case of evaluating adaptation. “They do not reflect the nature of adaptation, which is about capacity, behavior, and risk-reducing measures for the advancement of development outcomes” (Frankel-Reed et al. 2009). Evaluations review the design and implementation of an initiative to assess whether desired results have been achieved. How to conduct evaluations of any initiative is imperative in the project, program, or policy development stage. A management team must consider the use, type, and timing of evaluations. Evaluations can take place on an ongoing basis; once the program, policy, or project is finalized (terminal evaluation); or years after the program, project, or policy has been completed to assess continued results (ex post evaluation). The latter suggestion may be imperative in the development of evaluation frameworks for adaptation, as most adaptation measures may not be obvious until years after project/program completion.
11. As noted by Beaulieu et al., “evaluating adaptation programs can help the process become more planned, anticipatory, and conscious” (2009), and it can also help reactive and autonomous adaptation through validation of the effectiveness certain measures taken and adjusting them based on observed outcomes. Furthermore, evaluations will produce results that are necessary for learning, accountability, and transparency (Feinstein 2009). Successful adaptation is measured by how well specific actions contribute to effectively reducing vulnerability and building resilience.

### **G.3 Limitations and Challenges**

12. There is no assurance that the most rigorous implementation of adaptation activities leads to successful results. Measuring the success of adaptation policies, projects, and programs often poses a few challenges to evaluators. When impacts to climate change are avoided because of a successful adaptation program, project, or policies, a success “by default” will be difficult to assess. In other words, the measures of the implemented adaptation activity are by default successful when no impact occurs. The challenges that arise are very often closely related with selecting the appropriate indicators, in particular for outcome-based indicators<sup>1</sup> used in the evaluation process (GEF 2010, GEF EO 2008, UNFCCC 2010). Challenges may also arise from the long time scales associated with climate change and adaptation as well as the lack of agreed metrics and the uncertainty regarding various changing baselines.
13. Though the scientific methods, data, and knowledge regarding climate change have advanced significantly in the recent decades, some uncertainty surrounding climate change impacts still remains, and it may take up to 10–25 years, or even longer, to demonstrate any actual results from adaptation activities. It is difficult to define the success of activities against the uncertainty of impacts and moving baselines of climate conditions and disaster risk as well as potentially changing social, political, economic, and other environmental conditions. Evaluations need to assess impacts against changing profiles; this is especially important in ex post evaluations where significantly more time has passed since the project or program commenced. Finally, the data used to measure adaptation are much less tangible than data used to assess climate change mitigation end results. For example, carbon dioxide can be used as a common metric measuring success of lowered emissions in the case of climate change mitigation activities (GEF 2010, GEF EO 2008, UNFCCC 2010).
14. The multisectoral nature of climate change adaptation and the involvement of several different stakeholders may present further challenges. First of all, adaptation may require adjustments that affect livelihoods, infrastructure, institutions, natural resources, and ecosystems. Second, there is no

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<sup>1</sup> Outcome-based indicators are chosen to assess the effectiveness of the adaptation policy, project, or program proposed.

assurance that the success achieved is due to the actual adaptation initiative or another initiative implemented in the same sector. It is difficult to assess whether the progress achieved is due to adaptation or some other sectoral policy, project, or program implemented (GEF EO 2008).

15. In actual project and program evaluations, limitations were also noted in relation to strategic and management operations. For example, Beaulieu et al. (2009) noted that the entire M&E process often proved extremely laborious, and it was important to keep the process simple in order to prevent it from occupying the participants to the point where they are distracted and divert attention away from searching for a solution. Second, the placement of, and resources allocated to, evaluation of adaptation are of significance. When reviewing projects under the Climate Change Adaptation in Africa (CCAA) program,<sup>2</sup> Beaulieu et al. found two specific issues: (1) some teams had not earmarked nearly enough funding or human resources for the entire M&E process, and (2) many projects that had emphasized evaluations in their proposals had myriad data but did not know what to do with these. Furthermore, Beaulieu et al. (2009) noted that “the process could become highly bureaucratic or technical detaching it from the planning and decision-making” They deemed it essential to organize the planning mechanisms and data collection to ensure that they complement each other.
16. One of the biggest challenges evaluators face regard data discrepancies. This is a fairly common issue within evaluations, however, and is most likely due to human error, missing updates in databases, and low response rates to evaluators’ requests. For example, UNDP, during its evaluation of its own LDCF projects, found that using an e-survey to reach many stakeholders and all projects managers was not necessarily effective. The response rate for the LDCF e-survey was in fact only 15 percent out of an estimated 210 people who received it. Such a sample size does not justify the use of statistical testing. For the LDCF evaluation, conclusions were thus drawn on responses where clear proportional differences existed and where responses were homogenous (UNDP 2009). Data discrepancies also posed a significant issue in finalizing UNDP’s LDCF evaluation in the sense that some figures and dates provided by stakeholders were contrasted by others. For example, obtaining up-to-date information on the status of national adaptation programs of action (NAPAs) priority projects was a significant problem as the GEF database was outdated. The evaluation thus had to rely on information regarding the priority projects provided by the GEF Agencies and the LDCF/SCCF Secretariat at the GEF (UNDP 2009).

#### G.4 Framework Basics: Proposed Methods and Practices

17. The dialogue on evaluating climate change adaptation took off in 2008 at a GEF-sponsored workshop in Alexandria. It was further built on in 2010 during a workshop hosted by the United Kingdom Climate Impacts Programme, as well as through various works of research. Both workshops agreed on a few important conclusions that should be taken into consideration when developing adaptation frameworks of guidelines for evaluation. In particular these included the following (McKenzie et al. 2009):
  - **Adaptation initiatives and evaluations should follow the five main OECD DAC evaluation criteria in evaluating development assistance:**
    - **Effectiveness:** Achieving objectives to reduce vulnerability or risk, increase adaptive capacity, or achieve an enhanced level of protection.
    - **Flexibility:** Future climate change scenarios remain unknown. Adaptation specialists rely on the best available information provided through estimations. To account for uncertainty of climate change and the evolving knowledge base, a framework must always be flexible.

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<sup>2</sup> The CCAA is a joint initiative of the DFID and the International Development Research Centre that currently supports near to 40 adaptation projects in Africa with the purpose of decreasing climate change risk for the most vulnerable.

- **Equity:** Adaptation can reinforce existing inequalities, or it could be designed in such a way as to protect especially vulnerable groups. As such, equity and vulnerability should be considered across sectors, regions, and societies. Interventions that are inequitable will undermine the potential for welfare gains in the future and are unsustainable.
  - **Efficiency:** To assess cost-effectiveness and ensure that the least-cost paths to achieve goals are chosen as well as to assess acceptable levels of risks and potential trade-offs.
  - **Sustainability:** Adaptation measures should be sustainable in the long run and not have any negative impacts on future social, economic, and environmental assets or development policies.
- **The conceptual strength of a framework:** it should be clear how an adaptation evaluation framework is developed, the premises for developing it, and the underlying assumptions. This would be important in establishing its scope and where it can be applied. A framework should be explicit in its theory and clearly define what is meant by “adapting well.”
  - **Ease of use on the ground:** An adaptation evaluation framework should be easy to apply, flexible, and free of unnecessary jargon and convoluted terminology. It should provide criteria, or at least a process of how to develop criteria by which success can be evaluated—e.g., through indicators. Stakeholder inclusion in developing the framework is very important, and the framework should be made accessible for on-the-ground project staff and stakeholders to promote ownership.
  - **Stage and level of use:** Participants expressed the need for defining different evaluations and the different stages of the adaptation program or project where evaluation should take place.
  - **Scope:** There is no “one-size-fits-all” kind of framework. In other words, it was not very desirable for most participants to create a framework that covers every situation, but rather a framework that is flexible and can be adjusted according to time, scale, and sudden changes in baselines (social, economic, political, environmental, etc.).
  - **Indicators:** Defining indicators for adaptation remains a challenge. Good examples have been suggested in disaster and water resources projects, but in other themes and sectors there is an indicator gap.
  - **Feedback:** M&E of adaptation should facilitate quick feedback to new initiatives to improve project development and implementation processes. M&E should include aspects for lessons learned, dissemination, and sharing of knowledge.

## Level and Stage of Evaluations

18. Most organizations agree on the mixture of levels and stages where evaluation should take place; however, the most effective methods to evaluate may vary at different levels. The Institute of Development Studies (IDS 2008) suggests five overall levels at which evaluations of adaptation could take place: (1) international (e.g., UNFCCC, LDCF, SCCF, Adaptation Fund), (2) national (Millennium Development Goals, sectoral policies, NAPAs), (3) program/sectoral (CCAA, DIPECHO action plans), (4) project/local (specific localized projects), and (5) household (small-scale household projects). Some evaluations are carried out at various levels. For example, in the CCAA program, evaluations are proposed to be carried out at the program level, the project level, and the level of participatory action research groups (equivalent of household) with which the projects work. Adaptation Fund evaluations are proposed to be carried out at the fund level (international), the project level, as well as at the implementing entity level (evaluations of the entity implementing the project or program) (Adaptation Fund 2010b). Adaptation evaluations under the GEF Evaluation Office system are usually proposed at these latter three levels.



19. As indicated, evaluations also take place at different stages of the lifetime of the project or program. The UNFCCC, the GEF, UNDP, and other international organizations generally concur that evaluations should be done (UNFCCC 2010)
- **During implementation:** this would include ongoing monitoring, but also a midterm evaluation/review of the initiative's progress and success.
  - **Immediately after conclusion of project/program:** A terminal evaluation should be undertaken assessing the efficiency and success of the initiative.
  - **Some years after conclusion:** Assess the effectiveness and overall utility of the measure, and to see if the initiative is still producing positive results a number of years after project completion.
20. Adaptation measures and initiatives may take 15 or more years to show effects, and the latter suggestion may thus be highly necessary to assess the full benefits of an adaptation initiative and to determine if it is sustainable in the long run. However, establishing ex post evaluations raises new questions, such as when should an ex post evaluation take place? Who should pay for it? Who is responsible for ensuring it takes place? Who is responsible for disseminating results? And who should do it?

## Methodologies for Evaluating Climate Change Adaptation

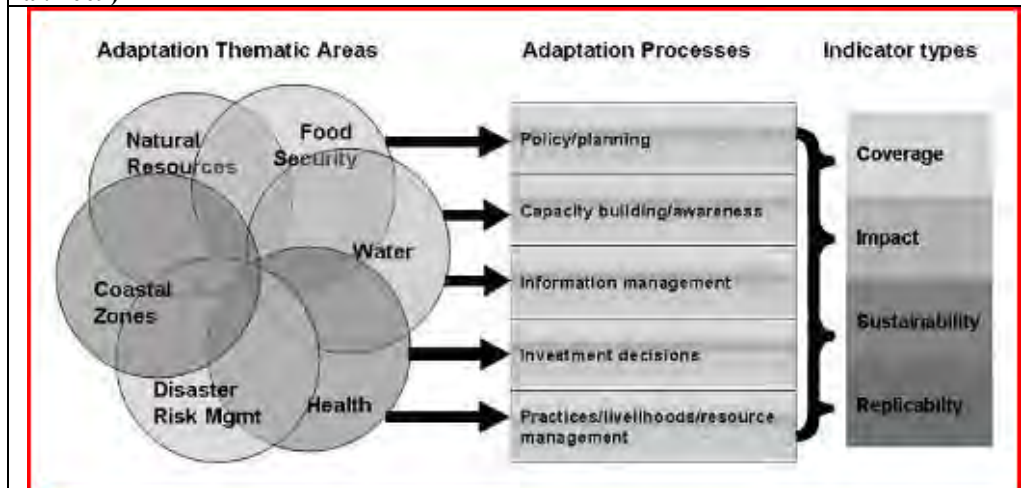
21. The Subsidiary Body for Scientific and Technological Advice of the UNFCCC proposed that evaluation frameworks should focus on measuring outputs, outcomes, and impacts. "Outputs are understood as measurable products and services which result from an adaptation project, policy, or program; outcomes are the short- and medium-term effects of an adaptation measure's output; and finally, impacts are understood as positive and negative long-term effects on identifiable groups and systems" (UNFCCC 2010). According to the UNFCCC, two questions have to be answered up front before an M&E system can be put in place: (1) What has to be monitored and evaluated (scope), and (2) who has to monitor and evaluate it (responsibilities)? Once these two questions are asked, the two main questions under the evaluation system should be: (1) Have the objectives and targets been achieved? And (2) can this be attributed to the measures taken? This is evaluation of adaptation activities in its most basic form using RBM methods, but there exist a vast variety of methodologies used in evaluations—many of which combine a mix of traditional evaluation tools—that different organizations implement to reach the desired goals of an evaluation. These include outcome mapping; vulnerability reduction assessments; visions, actions, partnerships approaches; and many others explained below.

## Early Discussion on Evaluating Adaptation

22. Some of the earliest suggestions for evaluation frameworks were proposed by UNDP in 2008 at the Alexandria conference. The UNDP framework was set up around three processes: (1) thematic areas; (2) adaptation processes; and (3) a set of standard indicators according to coverage, impact, sustainability, and replicability. UNDP argued that objectives and practices vary significantly depending on the themes and sector of focus in adaptation projects or programs; and though cross-sectoral adaptation approaches are encouraged, specific themes will help in focusing in on and determining actors, roles, responsibilities, technologies, methods, and results for adaptation. Next, five adaptation processes were selected covering policy making, risk reduction practices, and capacity development among others aimed at reducing vulnerability and enhancing adaptive capacity (Frankel-Reed 2009). It provides a good basis for the development of adaptation evaluations; however, its process and application are complicated and may be better used in a simplified manner. The UNDP framework has become the basis most commonly built upon by other organizations, such as the GEF, which used parts of the framework to develop the SCCF/LDCF RBM framework and AMAT.



**Figure G.1: Structure of UNDP's M&E Framework for Adaptation (Frankel-Reed et al. 2009)**



23. In discussing adaptation evaluations under the CCAA program, Beaulieu et al. (2009) suggest using an expanded version of outcome mapping, which DFID traditionally employs in other evaluations. The authors noted that traditional outcome mapping had several characteristics that made it less efficient. For example, project teams often interpreted it as an imposition and appeal to change their approaches. In addition, outcome mapping did not always address all the M&E needs of projects; tools defining biophysical and socioeconomic indicators were largely excluded; and its specific terminology was often described as difficult to use (Beaulieu et al. 2009).
24. Beaulieu et al. argued that an expanded version of outcome mapping, combining it with other tools, make the evaluation more specialized and effective for each project under the program. This would include the incorporation of RBM; a visions, actions, partnerships approach; participatory analysis; and most significant change approach. For RBM, outcome mapping is believed to make it more conducive by applying an outcome mapping principle to the results chain that consists of using graduated progress markers—i.e., distinguishing between outcomes that the project can and cannot commit to. Outcome journals (another outcome mapping principle) are suggested as a tool; these “describe outcomes observed for various boundary partners and provide qualitative information, without restricting the markers identified.” The visions, actions, partnerships approach can be used to interpret participants’ visions, expectations, and perceptions and help them realize the actions they could take to contribute to the vision, thereby promoting ownership. Participatory analysis consists of collecting testimonials by people affected; the most significant change approach is a story-telling approach that involves collecting stories by groups of participants and, in complex programs, selecting the most significant stories for an area, country, or region of intervention, thus allowing people to comment on what is most important to them; this sustains their interest through a kind of contest (Beaulieu et al. 2009).
25. The International Development Research Centre uses and builds on the outcome mapping tool, using it to document behavioral changes and complementing it with a set of qualitative and quantitative indicators of adaptive capacity specific to each project. This approach is argued to “map out the chain of influences necessary to reach the ultimate beneficiaries and the environments they live in” (IDS 2008). In contrast to approaches suggested by the GEF Evaluation Office, UNDP, and the UNFCCC, outcome mapping does not attribute outcomes to project/program activities, but recognizes that other players also make important contributions. The approach does not “attempt to attribute impact or identify different contributions made, but looks at what influence the project itself has on the people it works with.” When using outcome mapping, it is important to make sure that the outcomes actually lead to the goals established by the project and to make explicit what changes of behavior, policies, and practices are expected in the groups influenced (IDS 2008).

26. For community-based adaptation projects, UNDP developed a simplified tool—the Vulnerability Reduction Assessment tool—that project managers can use in both the monitoring and evaluation of their project. The tool is a form of participatory impact assessment that focuses on community perceptions of climate change vulnerability and the capacity to adapt. The tool is based on four indicator questions specifically targeted to capture local vulnerability issues from communities during three to four focus groups or community meetings during and right after the project has ended. Responses are rated numerically, and at project end compared to a baseline established before project activities began. The tool is flexible and can be adjusted to different scenarios and projects (UNFCCC 2010).

### Most Recent Work in Frameworks for Evaluating Adaptation

27. The funds managed by the GEF use an RBM framework, basing practices on regular GEF policies and strategies. The LDCF/SCCF Council recently approved an RBM framework specifically for monitoring and evaluating adaptation. The RBM framework should be adopted at the project/program stage and employed during the implementation stage. It draws directly from the RBM framework developed for the GEF Trust Fund, but is tailored to the adaptation mandate; it also relies on work previously done by UNDP (see below) (GEF 2011).
28. The recently approved Adaptation Fund evaluation framework is based on the RBM methods of M&E.<sup>3</sup> The Adaptation Fund framework was set up in accordance with the five criteria proposed at the Alexandria conference and the overarching objectives in adaptation of reducing vulnerability and increasing adaptive capacity. The evaluation guidelines further proposed the specific steps evaluators should follow in evaluating project results (impacts) and outcomes, suggesting a rating system for evaluation across project/program outcomes; risks to sustainability of outcomes; processes influencing achievement; contribution of achievement to Adaptation Fund targets, goals, and impacts; and M&E systems. The evaluation of these five rating criteria was suggested to be based on the standard indicators proposed in the RBM framework following impact evaluation steps of defining objectives, outcomes, outputs, and impacts (see below) (Adaptation Fund 2010a).

### Indicators for Evaluation

29. Indicators for evaluating adaptation activities have been extensively discussed. Indicators are an integral part of M&E, but have been particularly difficult to develop for evaluations in adaptation as the main objectives of reducing risks and vulnerability and increasing adaptive capacity, or the resilience of systems or individuals, are not easily measurable. In addition, when changes and improvements occur, they could often also be linked to external factors such as other environmental changes, economic and social. Also, if not developed correctly, indicators can easily result in negative side effects due to the close connection between adaptation activities and development objectives. For example, the OECD in particular cautions experts when developing indicators, explaining that an indicator such as “the percentage of people living in a flood plain prone to flooding”—i.e., the lower number of people indicates adaptation success—may lead government to adopt relocation programs that do not necessarily benefit the households concerned. Nevertheless, indicators are a necessary part of any evaluation process.
30. Indicators are a means of measuring progress and, at the terminal evaluation phase, help assess if goals and objectives have been satisfied. They are used to simplify, quantify, standardize, and communicate complex and often disparate data and information; many provide a basis for assessments of efficiency and effectiveness. Indicators should be SMART—Specific, Measurable, Achievable and Attributable, Relevant and Realistic, and Time-bound, Timely, Trackable, and

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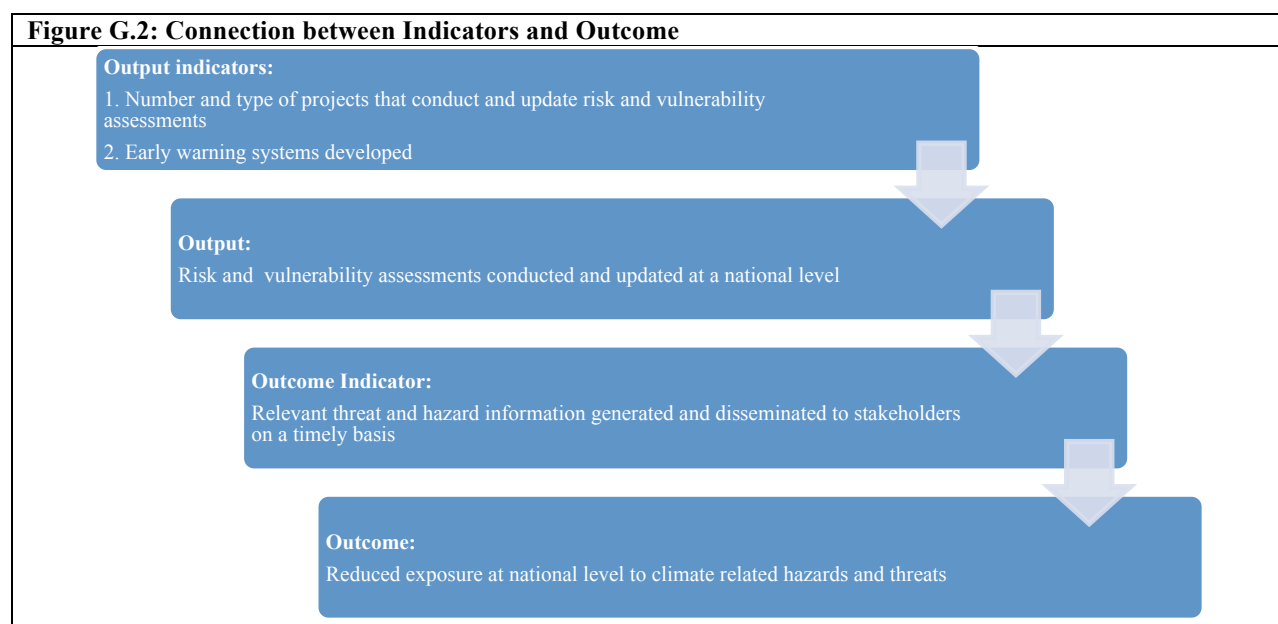
<sup>3</sup> The framework, along with guidelines for project/program evaluations under the Fund was approved, pending comments, at the 13th Adaptation Fund Board Meetings in Bonn in March 2011.

Targeted. Within the context of adaptation, the European Environment Agency (2009) listed seven important reasons to develop indicators for evaluation of adaptation:

- Target, justify, and monitor adaptation funding and programs
- Evaluate adaptation policy interventions (i.e., the intended objectives and outcomes)
- Inform future policy development
- Mainstream adaptation through links with related indicators (e.g., climate change impact indicators)
- Compare adaptation achievements across sectors, regions, or countries
- Communicate adaptation to stakeholders and the general public
- Inform political climate change negotiations in the international arena

31. In evaluating adaptation activities, the focus should be on outcome-based indicators—i.e., those that measure the broader results and the actual effectiveness of the adaptation activities implemented as opposed to process-based indicators that facilitate monitoring of progress made (UNFCCC 2010). Outcome-based indicators are closely connected with output-based indicators, and although evaluations generally focus on outcomes, frameworks for evaluating climate change adaptation should make efforts to include both. Output-based indicators document the products, capital goods, and services that result from adaptation interventions, which in effect facilitate the respective outcome. See figure G.2 for an example of how output-based indicators help facilitate the outcome under the Adaptation Fund.

32. International organizations are working on devising standard outcome-based indicators that project managers can propose in their M&E systems and evaluators can use throughout the project or program cycle. The goal of standardized indicators is to define indicators that can potentially be aggregated at the fund (or program) level, such as the SCCF, LDCF or Adaptation Fund, to show the overall results of the respective fund. Since every adaptation program or project is different, working across several thematic areas while defining solid standard indicators has proven to be highly challenging. It would require project-level indicators across different areas and projects within funds and programs to be similar in nature. A review of several adaptation projects under the SCCF illustrates that this is a particular challenging task, as indicators were often weakly defined and specific to the individual projects.



33. UNDP, in the context of the project portfolio within the SCCF and LDCF, has proposed a standard set of indicators at the portfolio level based on a standard set of indicators from thematic areas in which its projects fall:
- TA1: Agriculture/food security
  - TA2: Water resources and quality
  - TA3: Public health
  - TA4: Disaster risk management
  - TA5: Coastal zone management
  - TA7: Infrastructure
34. It was argued that the most “meaningful indicators would likely be derived by aggregating results at the level of individual TAs [thematic areas] rather than aggregating project results across all TAs” (Frankel-Reed et al. 2009), even though both may be able to produce interesting results overall. Indeed, aggregating indicators at the portfolio level for each individual thematic area would produce more detailed results, while aggregation across thematic areas would be much more general—e.g., number of policies introduced to adapt to climate change versus number of agricultural policies introduced to increase (or keep consistent) yield in the long run.
35. Hence, the indicator framework was built on two sets of indicators: a standard set of indicators at the portfolio level aggregated from project-level indicators at each thematic area. Indicators at both levels cover four key categories: coverage (quantitative), impact (quantitative, qualitative, survey-based, narrative), sustainability (quantitative, qualitative, survey-based, narrative), and replicability (quantitative) (Frankel-Reed et al. 2009).
36. UNDP also proposed a third set of indicators—supplementary indicators. These are very project-specific indicators related not to the thematic area but to individual projects. Supplementary indicators would allow for flexibility in an evaluation to measure very project-specific results, but these cannot generally be aggregated at the portfolio level and across thematic areas (Frankel-Reed et al. 2009).
37. The UNDP framework only listed outcome-based indicators, and no output indicators, arguing that “output-indicators will vary widely in nature depending on the type of project outputs... and they will be highly specific to projects context, and project developers will formulate their own outputs,” thus make them difficult to aggregate at portfolio level (Frankel-Reed et al. 2009).
38. The GEF Evaluation Office has undertaken the exercise of listing standard output indicators, feeding them into standard outcome indicators, both with a potential for aggregation. For example, the RBM and terminal evaluation framework used in the Adaptation Fund proposes 10 outcome-based indicators and 12 output-based indicators (Adaptation Fund 2011b). The SCCF Adaptation Monitoring and Assessment Tool (AMAT) proposes an extensive set of 28 outcome-based indicators and 23 output-based indicators. While the indicators listed under the Adaptation Fund are more standard and could be used at the Fund level for aggregation, they are generally not good for sector-based aggregation. The AMAT is adapted to sector-based aggregation, as it specifies indicators for various sectors. The tool, which is partly based on findings from work done by UNDP in 2008, establishes a basis on which a generic set of outcome-based indicators could be developed across organizations for evaluating adaptation. While not as extensive as the UNDP-proposed indicators from a sector perspective, the few sector-based indicators provide a sufficient basis for collecting aggregate results across sectors if necessary.

## **G.5 Evaluations in Practice**

39. Current discussions on how to best conduct adaptation evaluations are closely related to the methods already in use by organizations that have conducted evaluations as well as standard international best

practices in evaluation. As discussed above, organizations are attempting to devise frameworks with indicators and methodologies that can be applied at the project level to make aggregation at fund, program, or organization levels easier. Because most adaptation projects and programs are still under implementation or have not commenced implementation, very few evaluations have taken place.

## Evaluations by the GEF Evaluation Office

40. The GEF is one of the largest sources of funding for adaptation projects through the SPA for Adaptation Fund, the LDCF, and the SCCF. The LDCF and SCCF operate as their own entities outside the GEF Trust Fund and finance additional costs of adaptation for development activities.<sup>4</sup> The SPA is an allocation under the GEF Trust Fund that supports adaptation projects within the scope of the GEF's focal areas. In addition, the GEF provides secretariat services on an interim basis to the Adaptation Fund, for which it recently devised its first adaptation evaluation framework and terminal evaluation guidelines for adaptation activities. To date, the GEF has conducted evaluations of the SPA and the LDCF (the latter in cooperation with Danida). Because of the relative recent establishment of these funds, very few projects have achieved project completion and many are either under implementation, or just in the pre-implementation stage; both were limited to an assessment of fund strategies and the various project designs and implementation approaches rather than yielding in-the-field results.
41. The GEF Evaluation Office conducted its first evaluation at the fund level of the SPA in 2008–10.<sup>5</sup> The final evaluation was shared with the GEF Council in November 2010 at the Council meetings. The evaluation was aimed at providing lessons vital to the success of other adaptation funds, and for GEF consideration in how to tackle climate change adaptation in its other activities. The main objectives of the evaluation were to assess the SPA strategy and its implementation, assess the SPA projects, and identify lessons on how to increase the resilience of the GEF-supported projects. The overarching question that guided the evaluation was “What can we learn from this pilot program on adaptation in terms of climate change adaptation within the GEF focal areas, the resilience of these projects, and the effectiveness of the adaptation measures that have been applied so far?” The evaluation of the SPA portfolio was done through interviews with a wide range stakeholders and at several stages of the evaluation process; and a common project review protocol, applied to all projects in the portfolio, which consisted of 31 short or multiple-choice questions organized into three sections (GEF EO 2010):
  - Project information
  - Evaluation of results and outcomes
  - Assessment of the overall relevance and effectiveness of the SPA strategy
42. Questions focused on key elements such as project relevance to the GEF mandate, effectiveness of adaptation measures, effectiveness of monitoring systems, links to national policies, and basic project data. Finally, a consultation feedback workshop took place after the initial evaluations to facilitate feedback from key stakeholders on possible factual errors and analysis (GEF EO 2010).
43. For the purpose of the SPA evaluation, the GEF Evaluation Office employed processes that were already in use as set forth by the GEF M&E Policy. The Evaluation Office reviewed projects in order to assess elements related to technical clarity and conceptual consistency, scientific approaches and methodologies, learning mechanisms, project- and portfolio-level results and outcomes, and a policy analysis involving the overall relevance and effectiveness of the SPA strategy (GEF EO 2010).

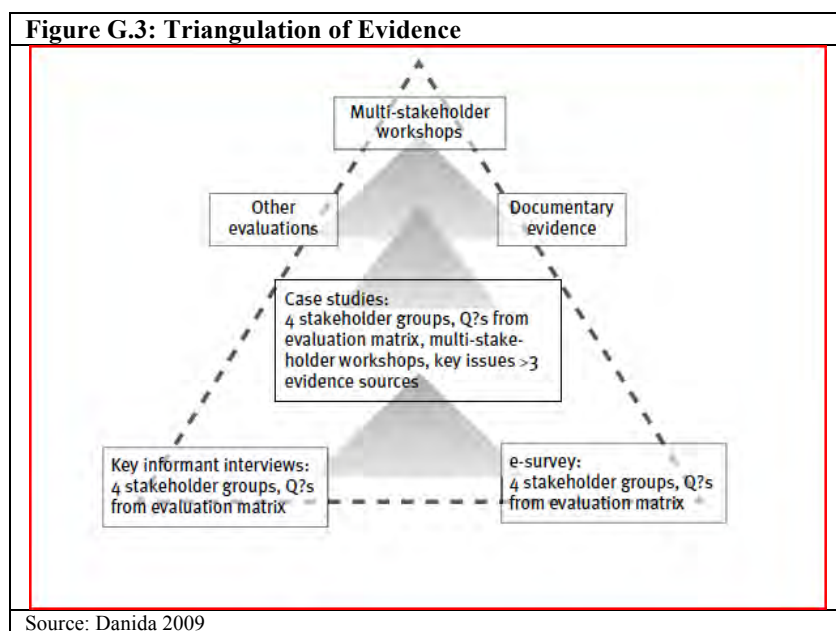
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<sup>4</sup> The term “additional cost” refers to the costs imposed on vulnerable countries to meet their immediate adaptation needs.

<sup>5</sup> The SPA supports pilot and demonstration projects that address local adaptation needs and generate global environmental benefits. It was approved in 2003 by the GEF Council and aims at reducing vulnerability and increasing adaptive capacity to the adverse effects of climate change in any, or a combination, of the six GEF focal areas. The fund consists of 26 programs and projects amounting to \$48.35 million financed by the GEF. The GEF SPA also received cofinancing from other sources for a total of \$780 million. The portfolio includes 17 full-size and 9 medium-size projects. The SPA reached its financial close at the end of GEF-4 (June 2010), and all of its resources are now fully allocated.



44. The LDCF was established in 2001 to provide support to least developed countries (LDCs) in the formulation and the implementation of NAPAs. It has now moved into the implementation phase with the financing of urgent and immediate needs of adaptation in LDCs as prioritized in their NAPAs. The LDCF evaluation was carried out using Danida's evaluation guidelines and the OECD DAC Evaluation Quality Standards. It was consistent with the OECD DAC evaluation criteria (relevance, effectiveness, efficiency, impact, and sustainability) as well as the three other Cs (coherence, complementarity, and coordination) used by European entities.<sup>6</sup> To help with the analysis of material gathered, the team created an evaluation matrix for the issues that were to be examined in accordance with these eight criteria, and further focused these and associated fundamental questions to be asked on NAPA products, NAPA processes, and NAPA catalytic effects. In other words, the evaluation aimed at evaluating the LDCF's impact on national processes in particular in building upon current policies and developing NAPAs, the analytical basis of the NAPAs for identification of adaptation priorities, and the ways in which the LDCF grant achieved catalytic effects promoting and increasing the rate of adaptation planning and prioritization (Danida 2009).
45. The evaluation drew on information from existing project and program documents, an email survey and consultations with stakeholders, and—in particular—an assessment of 41 projects/NAPAs prepared under the LDCF as well as five in-depth NAPA case studies (Bangladesh, Malawi, Sudan, Mali, and Vanuatu). The evaluation of the information collected was analyzed using triangulation, allowing for assessment at various levels (figure G.3).



## Other Evaluations of Adaptation Activities

### UNDP Evaluation of the LDCF

46. In addition to the Danida evaluation of the LDCF, UNDP did an evaluation of its own activities under the LDCF as well as the SCCF to “assess the [organizations’] performance in supporting countries to access resources from the two funds, identify issues and lessons learned, and make recommendations for improvements” (UNDP 2009). This evaluation was completed as an input to the GEF-Danida evaluation. UNDP is the GEF Agency involved in most activities under both funds. Its evaluation used a very simple methodology focusing on the operational efficiency of the Agency in the various project countries. It consisted of an analysis of existing documentation and interviews with local

<sup>6</sup> The three Cs were developed in the context of the Maastricht Treaty in 2003 for the evaluation of development cooperation in the European Union.

stakeholders in six countries (Bhutan, Cape Verde, Ecuador, Maldives, Sudan, and Zambia). The main actions included in the evaluation were as follows:

- Review of concerns expressed by external and internal parties
- Review of relevant documentation such as the Project Registry at UNDP headquarters, project initiation forms/project preparatory grant documents, project documents, workshop reports (including those produced by UNDP, the United Nations Environment Programme, and the World Bank), registry data (including the Project Information Management System and email threads) and other relevant sources
- Telephone interviews and other communications with UNDP regional technical advisors, UNDP country office staff, and the staff at UNDP headquarters, GEF Secretariat, and the UNFCCC
- Telephone interviews and other communications with government focal points—project, UNFCCC, and GEF (political and operational)

### **Project-Level Evaluations**

47. As already mentioned, most adaptation projects are still under implementation or just commencing implementation. However, a few have come to an end and produced some results to be evaluated. This includes the MACC project, the Lake Balaton Integrated Vulnerability Assessment, Early Warning Systems, and Adaptation Strategies project evaluation, and the final evaluation of the Capacity Building for Stage II Adaptation to Climate Change in Central America, Mexico, and Cuba.
48. The MACC is part of a four-stage process that helps prepare small island developing states in the Caribbean for climate change. The first and second phases of the project, Planning for Adaptation to Climate Change in the Caribbean and Adaptation to Climate Change in the Caribbean, have been completed; the fourth phase Special Program on Adaptation to Climate Change is currently under implementation.
49. A final evaluation and completion report was done in 2009 and included a results framework analysis, key factors that affected implementation, a review of the M&E framework used, an assessment of outcomes, and lesson learned. A very interesting finding from the MACC evaluation addressed the project's M&E policy and its implementation. While the team generally found the developed indicators to be appropriate, the large number of activities associated with the project—and thus the large number of corresponding indicators—made the M&E process “cumbersome and labor-intensive,” which increased the workload of the project team immensely. The policy was found to be weak and not fully implemented, particularly during the first half of the project. It was concluded that “a more simplified project design and the setting up of a more efficient M&E system, e.g., systematized, less intense and less frequent reporting, would have been more effective.” The lack of implementation of the M&E policy was mainly because the Caribbean Community Secretariat did not have the dedicated full-time M&E staff for it, which delayed the identification of major implementation problems and resulted in the need for two project extensions. The midterm review, however, proved to be very valuable in identifying the main issues and resulted in a restructuring of the project that helped get the project back on track (World Bank 2009).
50. In 2008 and 2010, respectively, UNDP finalized evaluations of the GEF-funded projects Capacity Building for Stage II Adaptation to Climate Change in Central America, Mexico, and Cuba and Lake Balaton Integrated Vulnerability Assessment, Early Warning Systems, and Adaptation Strategies project. The two evaluations followed the M&E policies of the GEF and UNDP, evaluating the projects according to the logical framework focusing on project efficiency, relevance, performance, and sustainability. This was accomplished through fieldwork, interviews with stakeholders, questionnaires, a desktop review of documents (annual monitoring reports, project implementation

reviews, midterm reviews, audit reports, budget reports, etc.), and participatory techniques (UNDP 2008, 2010).

51. As with the World Bank MACC project evaluation, the capacity-building project in Mexico, Central America, and Cuba, and the Lake Balaton project evaluations yielded evidence of deficiencies within the initial logical framework. The framework for the capacity-building project included ambiguous objectives, a lack of clear indicators, and a complete absence of baselines. Although this was pointed out in the midterm review, it was not fixed until much later. A revision was done to reduce the scope of the project, which affected initially stated outcomes, implementation of the adaptation strategies, and generation for the envisioned proposal. The revisions of the logical framework left out indicators for an Adaptation Policy framework, which was a significant component of the project (UNDP 2008).
52. The evaluation of the Lake Balaton project was “intended to assess the relevance, performance and success of the project. It looked at signs of potential impact and sustainability of results, including the contribution to capacity development and the achievement of global and national environmental goals” (UNDP 2010). The project evaluation found several problems with the M&E systems as well, again with regard to the logframe. The evaluation was to be conducted in accordance with the project logical framework; however the logframe itself was rated marginally satisfactory by the evaluation as it was too ambitious for a project lasting only 30 months. While projects and services were delivered, the lack of institutional capacity to uptake and institutionalize the results was identified as the main weakness (UNDP 2010).

## **G.6 Conclusion**

53. The process of evaluating adaptation is very clearly still a hotly debated issue, and no one-size-fits-all kind of system exists. The discussed methodologies and evaluation tools have proven to be a good basis for establishing the frameworks and M&E systems that are currently being implemented, such as those guiding the Adaptation Fund and SCCF. In particular, the RBM framework is emerging as one of the main tools to draw upon, as opposed to outcome mapping, vulnerability reduction assessment, or other methodologies.
54. Several issues remain, in particular in relation to the development and use of effective indicators to assess success, the complex structure of undertaking evaluation and implementing an M&E system early on, as well as the significant lack of human capacity for developing the main components needed for undertaking evaluations such as a solid logical framework. The few existing project evaluations produced a couple of very interesting conclusions that clearly echoed the concerns of evaluation and adaptation specialists expressed at the two conferences held in Alexandria in 2008. First of all, it was concluded that overly extensive M&E frameworks with too frequent reporting and too many indicators would be ineffective due to non-implementation and because they stall overall project progress.
55. The logframe was a concern for most projects, proving either too ambiguous or too ambitious, in both cases delaying project achievements and progress toward results. The establishment of standard indicators for aggregation, such as those used in the AMAT or in the Adaptation Fund guidelines for evaluating adaptation, may provide a good basis for most projects. Nevertheless, some indicators may need to be project specific to show results. It is important to remember that too many indicators may slow implementation and make M&E time consuming, so specialists should look at a balance of indicators that are able to aggregate some results but also allow for flexibility to include indicators that are project specific.
56. Finally, human capacity to perform M&E proved to be a major issue. Project teams are in clear need of support to facilitate better M&E policies and structures early on, as well as to monitor the implementation of the policy throughout the duration of the project.



57. A strong M&E policy that includes easy-to-use tools makes evaluation of projects less complicated, as results are easier to assess.

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## **Annex H: Meta-Review of the History and Preassessments of the Special Climate Change Fund**

1. To get a picture of the early history of the Special Climate Change Fund (SCCF), as well as assess any findings or potential lessons learned to date from the Fund and its portfolio of projects, a meta-review was carried out. This meta-review does two things: (1) it quickly explains the history and formation of the SCCF, specifically focusing on the early negotiations and selection of priority areas; and (2) it attempts to gather findings and assessments made by the Global Environment Facility (GEF) Evaluation Office, Implementing Agencies, external stakeholders, and other national and international organizations.

### **H.1 Documents Reviewed**

2. This meta-review collected information from 16 publications, from the GEF, GEF Agencies, and civil society organizations (CSOs). The literature on both the foundation of the Fund, as well as reviews and evaluations of the fund, is very sparse, and findings as well as suggestions are largely based on the opinions of the authors of the literature reviewed.
3. On the history of the Fund, it primarily uses information gathered from the decisions of the Conference of the Parties (COP) to the United Nations Framework Convention on Climate Change (UNFCCC) and relies on academic articles and reports for the review of the negotiating process with regard to priority areas and the development of the Fund. The articles are primarily from the early years of the Fund and the time of its foundation; these rely primarily on accounts collected from interviews with parties present at the negotiation table.
4. With regard to evaluations and reviews, at present, the GEF Evaluation Office has made no concrete conclusions specific to the relevance, effectiveness, efficiency, and results of the SCCF. An evaluation was carried out in cooperation with Danida on the Least Developed Countries Fund (LDCF) in 2009, and a follow-up to this evaluation was completed by the GEF Evaluation Office in 2010, which contained a few general findings on the overall governance and focus of the two COP Funds. Annually, the GEF Evaluation Office carries out several evaluations and studies including country portfolio reviews and an annual performance report; and after every GEF five-year cycle, an overall performance study is completed. However, these have made little or no mention of the SCCF and its project portfolio.
5. GEF Agencies and CSOs have made very few assessments of the operations of the SCCF. Only the United Nations Development Programme's (UNDP's) Evaluation Office has completed an evaluation related directly to its work with the SCCF. CSOs have made assessments and drawn a few conclusions primarily with regard to adaptation funding only.

### **H.2 Establishment of the Fund**

6. The initial ideas for the SCCF came about in the Pronk Paper presented at COP6 in the Hague in 2000. The SCCF was proposed to be the climate change fund of the convention; yet much has changed since then, and most often the Fund is now viewed largely as an adaptation fund, despite the fact that adaptation is only one part of the Fund.
7. The Pronk Paper proposed a package deal on several issues that remained unresolved under the convention. While it primarily focused on contentious issues such as emissions trading, compliance with the Kyoto Protocol, joint implementation and the Clean Development Mechanism (CDM), and domestic sinks, it also proposed funding mechanisms for dealing with technology transfer; adaptation and capacity building; land use, land use change, and forestry; and assistance with policies and measures, compliance, and reporting. This was to be achieved through two separate funds:

- A **Convention Fund** established under the UNFCCC and to be managed by the GEF, but held accountable to the COP, with the aim of supporting activities relating to technology transfer, capacity building related to climate change and the CDM in particular, and national programs on mitigation, and to assist with economic diversification. The sources of funding were proposed to be derived from the GEF (through its third replenishment), voluntary contributions by the parties, and official development assistance, and through the transfer of a certain percentage of initial assigned amounts of Annex II parties (Moore, Kallhauge, and Giradine 2001).
  - An **Adaptation Fund** was similarly proposed to be established under the UNFCCC to be managed by the GEF as a Trust Fund. Its focus was to be on adaptation with special consideration for least developed countries (LDCs) and small island developing states (SIDS). The Pronk Paper proposed that the UN implementing agencies be responsible for implementation of the adaptation projects, which included avoidance of deforestation, combating land degradation, and desertification (Moore, Kallhauge, and Giradine 2001).
8. COP6 in the Hague did not come to an agreement on a number of issues (i.e., sinks, mechanisms, and compliance), and in the end the meeting was suspended and reconvened in the summer of 2001 in Bonn, Germany. Thus, after COP6 in the Hague, “the Convention Fund [i.e., what was to become the SCCF] was in essence a mitigation fund, which included *inter alia* technology transfer, capacity building and assistance with economic diversification” (Dessai 2003). Before reconvening in Bonn, developing countries submitted their views and concerns on the Pronk Paper to the COP; these were as follows (Dessai 2003):
- Adaptation funding would only proceed with the enforcement of the Kyoto Protocol, which was much harder with the rejection of the Protocol by the United States.
  - The CDM share of proceeds was expected to be low.
  - Few adaptation activities were eligible (only avoidance of deforestation, combating land degradation, and desertification).
  - Developing countries were reluctant to have the GEF become the operating entity of the funds because of its perceived bureaucratic complexities.
9. In other words, the developing countries seemed to share particular concerns with regard to the Adaptation Fund: its potential funding capacity, the adaptation activities to be funded, and its life span considering the uncertainties then surrounding enforcement of the Kyoto Protocol. A revised version of the Pronk Paper was submitted at COP7 taking these issues into consideration. After much debate and negotiation, the parties were able to come to an agreement that eventually led to the establishment of three (instead of two) funds through the Marrakech Accords: the Adaptation Fund, the LDCF, and the SCCF.
10. The GEF operates as the interim secretariat for the Adaptation Fund, which was put under the Kyoto Protocol, and is funded by 2 percent of certified emissions reductions issued from CDM projects. It is governed by a board (the Adaptation Fund Board), which meets in Bonn twice annually and finances concrete adaptation projects and programs in developing countries that are Parties to the Kyoto Protocol.
11. The Convention Fund was established as the SCCF under the convention, alongside a second fund, the LDCF, which was established to address the special needs of the LDCs specifically related to the

development of national adaptation plans of action (NAPAs) and carrying out adaptation mechanisms as proposed within these plans.

12. The SCCF was established as a climate change fund of the convention providing funding to developed countries within four specific funding windows:

- 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 needs assessments, 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 the consumption of fossil fuels and associated energy-intensive products in diversifying their economies

13. The establishment of window (d) went through a heated debate, from which the OPEC members emerged successfully. The argument and controversy surrounding window (d) are grounded in Article 4.8 of the UNFCCC and relate to the issue of adverse effects and impacts of response measures (Dessai 2003). Article 4.8 commits parties to give

full consideration to what actions are necessary... including actions related to funding, insurance, and the transfer of technology, to meet the specific needs and concerns of developing country parties arising from the adverse effects of climate change and/or the impact of implementation of response measures, especially on small island countries... countries whose economies are highly dependent on income generated from the production, processing and export, and/or on consumption of fossil fuels and associated energy-intensive products (UNFCCC 1992).

Article 4.8 presents a conflation of issues: i.e., the convention states that it is necessary to avoid the adverse effects of climate change, while simultaneously its implementation should not affect energy-exporting countries (Dessai 2003).

14. Another particular issue that emerged during COP7 involved the replenishment of the Fund. Though the initial Pronk Paper suggested that the Convention Fund (now the SCCF) should be funded through the replenishment of GEF-3 and the developing countries wanted binding agreements, funding of the SCCF was decided to be completely voluntary. In particular, Decision 7/CP.7 stated that “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 entrusted with the operation of the financial mechanism, under the guidance of the Conference of the Parties” (UNFCCC 2001).

15. Following the establishment of the Fund, negotiations on prioritization of the windows continued at COP8 and COP9, especially with regard to the prioritization of the various windows. Donors were particularly concerned with the breadth of activities that could fall under windows (c) and (d) (Mace 2005). In the end, after various negotiations within and between small groups, an agreement was reached, and at COP9 a decision was adopted that gave top priority to window (a), adaptation activities, and window (b), technology transfer. In particular the decision stated: “Adaptation activities to address the adverse impacts of climate change shall have top priority for funding...Technology transfer and its associated capacity-building activities shall also be essential areas to receive funding from the Special Climate Change Fund” (UNFCCC 2003). In subsequent years, these two windows gained more strength through COP as well as GEF guidance.

16. In particular, to respond to the COP's requests through Decision 5/CP.9, the GEF during 2003 and 2004 convened donor meetings to further develop the Fund. In July 2004, 14 donors and a few multilateral organizations were discussing the most appropriate niche for the SCCF, focusing in particular on how to distinguish SCCF activities from those of the GEF Trust Fund. It was recommended that: "Development lending [should be made] 'climate-proof' by supporting preparatory work, constituency building, awareness raising and sharing of lessons, and assist countries in assessing to what extent development projects are *at risk from the impacts of climate change*." It was also during these meetings that the concept of funding "adaptation additionality" came about as well as having the SCCF act as a catalyst to leverage additional resources from bilateral and multilateral sources (Mace 2005); both of these were incorporated into Decision 5/CP.9.
17. The GEF document "Programming to Implement the Guidance of the SCCF" from 2004 addressed programming of the SCCF during an initial five-year period responding to the COP9 decision, but only provided operating strategies for windows (a) and (b). The programming strategy played a vital role in the financing commitments as it stipulated that a "separate trust fund administration agreement would be concluded with each individual donor, governing the uses of the donor's contributions to the Fund" (GEF 2004). This, in essence, was what allowed donors to fund only specific elements under Decision 7/CP.7 based on their own priorities; although the decision provides that the SCCF is to finance activities in all four areas (Mace 2005). The first donor pledges arrived at the next meetings (\$34 million), yet the pledges were "contingent upon the Council's endorsement of the programming strategy," and most donors specified the funding should be aimed at adaptation efforts.
18. Programming to Implement the Guidance for the Special Climate Change Fund for SCCF-C and SCCF-D materialized in 2007. However, to this day, both windows remain unfunded.

### H.3 Findings, Lessons Learned, and Assessments

19. Because of the youth of the SCCF portfolio, very little information is available, and neither the SCCF nor any of its projects have gone through evaluation at the time of this meta-review. Taking the information from the previous section, it is no surprise that, of the available information on, conclusions regarding, and assessments of the SCCF, adaptation is much more prevalent than technology transfer; and no conclusions exist with regard to the latter two windows. Even so, information on adaptation is scarce. For example, the Fourth Overall Performance Study (OPS-4) reported that in general "no progress toward impact can be recorded yet since the vast majority of the adaptation portfolio...is relatively young" (GEF EO 2010b).

#### Project Portfolio Findings

20. The current SCCF portfolio includes 35 projects funded by \$142.6 million. However, most of these projects are currently not being implemented or are only in the early implementation stages; thus, few lessons learned and assessments can be extracted. During GEF-4, the GEF Evaluation Office finalized 11 country portfolio evaluations, of which four countries have an SCCF project. However, only two made mention of the SCCF—the Philippines and Egypt—namely because the country portfolio evaluations were done prior to the approval of the SCCF projects in the final two countries (Samoa and South Africa). In both countries, the respective SCCF projects were still in such an early stage that it was not possible to determine concrete results, impacts, and findings. However, in the Philippines, the evaluation emphasized that the SCCF was the first adaptation project approved through the GEF despite the fact that adaptation is a top country priority. As a result, the report recommended that the GEF operational focal point, Implementing Agencies, and national stakeholders increasingly include projects that support climate resilience in the Philippines (GEF EO 2008).
21. In Egypt, the situation is similar. The Egyptian country portfolio evaluation found that only recently, with the introduction of the GEF climate change strategy, adaptation projects are now being

introduced. Notably, the evaluation stated that “the GEF is apparently driving the climate change agenda in Egypt, as the country, at the time of the evaluation still needed to complete a national strategy in this area...The GEF has introduced climate change issues to Egypt by building national capacities.” With specific regard to adaptation, the evaluation found that the objectives of the SCCF project Adaptation to Climate Change in the Nile Delta through Integrated Coastal Zone Management were in line with those of the SCCF; however, no other results or findings were reported because the project was still in its very early implementation stages (GEF EO 2009).

22. Regarding the transfer of technology projects, it is generally recognized in the Poznan Strategic Programme process that more information is needed at the country level for better project identification on technology transfer. There is thus—comparable to the NAPA processes under the LDCF—a need for country-driven processes to identify the country-specific technology needs and how to develop relevant projects within the framework of Article 4(5) of the UNFCCC. The implementation of the technology needs assessment project, which started in November 2009, should be addressing this gap (GEF EO 2010a).
23. From an Implementing Agency perspective, the GEF communication to the UNFCCC of 2010 noted that “there is a large disparity in which agencies access the fund.” Staying true to GEF dynamics, some Agencies, such as UNDP and the World Bank, have proven to be leaders in accessing the funds; other Agencies still need to implement SCCF projects or have shown a lack of specific development and expertise. As a result, GEF partners, countries, and other stakeholders emphasize the need to expand the GEF network of Implementing Agencies to include a wider range of adaptation experience and capabilities. For example, entities such as the International Red Cross, with direct expertise in disaster risk management and prevention, and the World Food Programme, with a strong presence in the field in managing food security and community-level services relevant to climate variability and change, have been identified as appropriate candidates to execute projects under the LDCF and the SCCF (GEF 2010b).
24. Funding under the LDCF and SCCF has, to date, largely been of a pilot project nature, in which the primary purpose of the activities supported has been to demonstrate how adaptation can be addressed practically on the ground in individual sectors and across regions. Out of this pilot phase has evolved a significant amount of learning, as well as the initiation of a national process for addressing climate change adaptation in a number of developing countries. The natural continuation to this pilot phase, therefore, is to now start a process of national and global scaling up (GEF 2010b; GEF EO 2010a).



### Box H.1: UNDP Evaluation of Its SCCF Project Portfolio

The most comprehensive study yielding findings on the SCCF was completed by the UNDP Evaluation Office on UNDP's work with the LDCF and the SCCF. While this evaluation was primarily meant as input for the Danida evaluation of the LDCF, and thus focused primarily on the LDCF and NAPA processes, some findings were made in relation to the SCCF. These include the following:

- Countries/projects interviewed questioned the governance structure of the SCCF/LDCF. In particular, countries felt little ownership of the projects, as funding was channeled through Agencies rather than directly to the governments; they suggested that the process be changed to include direct access funding that does not rely on UNDP (Agency) involvement.
- Though a few concerns were raised with regard to the project cycle, interviewees agreed that the cycle was the same and no worse than the GEF project cycle. Specifically, governments noted that GEF requirements and project criteria are complicated and do not take into account country specificities. Country offices found the process slow and long because of all the reviews and clearances needed, which may make the government lose interest in working with UNDP.
- Timing seemed to be a main concern of the entire process as both country offices and governments noted that a lot of time during the project cycle was consumed with consultations, analysis, stakeholder meetings, etc. The work between government institutions has also in many cases been complicated and required significant time due to the involvement of several ministries. This coordination is noted as a typical reason agencies ask for extensions.
- A lack of understanding of the principles and methods of adaptation has been a significant stumbling block in the early stages of most project development. Country offices in particular noted that the start-up process takes time because work with climate change and adaptation was a new concept and often technical capacity was limited or missing. Usually, the regional technical advisor would have the capacity; however, the country offices often felt it was difficult to get the needed help from the regional technical advisor as each regional advisor often deals with a plethora of different projects in different countries, and thus has too little time for each project. Calculating the adaptation additionality was noted to be of particular difficulty for most projects.

*Source: UNDP 2009.*

### GEF Response to COP Decisions/Guidance

25. With regard to the guidance from the COP, findings are rather vague and mostly relate to the efficiency with which the Fund was established. The Third Overall Performance Study (OPS-3) complimented the GEF for quickly responding to the COP guidance to establish the two (LDCF and SCCF) Trust Funds focused on adaptation. The Fourth Overall Performance Study (OPS-4) further stated that, with regard to the SCCF, the GEF was efficient in setting up the four requested windows under the Trust Fund (GEF EO 2010b). As decided by the parties to the UNFCCC, the SCCF activities have thus far largely focused on adaptation under window (a) as the top priority and in a limited way on technology transfer under window (b). According to the follow-up to the LDCF evaluation, the imbalance between the two windows can be largely explained by the fact that the first set of priorities was linked directly to obligations, whereas the technology transfer part has been an area parties wished to promote in the longer term (GEF EO 2010b).
26. On the role of technology, OPS-4 deemed it too early to assess the full extent of the GEF responses. COP guidance requested “support to address developing country needs for environmentally sound technologies.” In response, the GEF provided support to the global program, Technology Needs Assessments (implemented by the United Nations Environment Programme) under the SCCF. The OPS-4 evaluation team stated that the GEF “strategies in climate change are supportive of technology transfer, and the GEF supports improvements in enabling environment at the national and regional levels that are necessary for technology transfer.” OPS-4 did not provide any conclusion on the Poznan Strategic Programme on Technology Transfer—for which the SCCF finances \$15 million—as the program was still in its very early implementation stages.



## Scale of Financial Resources

27. It is interesting to find that one of the issues that went through heated negotiations in the early development stages has turned out to be one of the main issues noted 10 years later; namely, that of financial contributions to the Fund. As mentioned, the SCCF was set up to receive voluntary contributions from its Council member countries, as opposed to the GEF Trust Fund, which is replenished every five years. While no conclusions have been drawn specifically with regard to funding under the SCCF, it is commonly agreed among all reviewing parties that funding under the UNFCCC aimed at adaptation, and to a certain extent technology transfer, fall short of non-Annex I countries' needs. As stated in OPS-4, "the scale of financial resources and the reliability of replenishment are crucial. If resources are too limited to handle all countries at once in an effective manner, ways should be sought to allow countries to be addressed sequentially." This was communicated to the UNFCCC through the GEF's annual report to the convention, which stated that "financial constraints are currently holding back a large number of projects in the pipeline from being approved.
28. With specific regard to adaptation, OPS-4 found funding to be insufficient for implementing national priorities and convention guidance. Conclusions on this were made through the LDCF evaluation; these are relevant to that of the SCCF due to the similar structure of the two Trust Funds. In particular, OPS-4 found that the funding contributed to the LDCF from Annex I countries was not sufficient to cover the costs of adaptation as predicted through the NAPAs. In addition, the "unpredictability of the contributions has impaired the administration in being able to program the implementation of adaptation needs... [And finally], due to the narrow prioritization process and the reduced expectations related to the limited funding, the true national scale and total cost of climate change adaptation were underestimated"—specifically in the LDCF NAPA process. The countries accessing funding under the LDCF expressed strong support for continuing such funding, but were particularly critical of the "lack of expeditious access to support for NAPA priorities." The annual performance report carried out by the GEF argued, however, that "if properly financed, the SCCF (and LDCF) does indeed have the ability (operationally and strategically) to meet a significant part of the demand for adaptation in some of the most vulnerable countries" (GEF EO 2010a).
29. From an efficiency point of view, the follow-up review to the LDCF evaluation concluded that the GEF and its Agencies have managed to deliver on time the funds committed to both the SCCF and LDCF.
30. With regard to funding for the latter two windows, the GEF has not received any project proposals for consideration (GEF 2010b).

## H.4 Conclusion

31. The SCCF has evolved dramatically in the past 10 years, from being established as a climate change fund yet largely operationalized as an adaptation fund. Though windows (c) and (d) were established, neither has received funding nor project proposals to date, and the SCCF remains largely focused on adaptation followed by technology transfer. The clear dominance of adaptation projects within the SCCF portfolio still exists, yet the fact that adaptation took priority did not materialize into the funding first expected for the SCCF. Most organizations, including the GEF, refer to the SCCF as being significantly underfunded, which in turn is holding back a large pipeline of projects.
32. In terms of project findings and lessons learned, very little has emerged at this time, as the actual project portfolio is still very young. However, based on two country portfolio evaluations and the GEF Evaluation Office's annual performance report, as well as OPS-4, it can be concluded that the SCCF has had a somewhat positive influence in countries where projects have been implemented. At present, projects have remained of a pilot phase nature, dominated by the World Bank and UNDP as

Implementing Agencies; the GEF calls for a scaling up of projects as well as potentially opening the implementation process to other agencies such as the Red Cross and World Food Programme.

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## Annex I: Indicator Analysis

### Evaluating Adaptation Using Indicators to Assess Success in the Special Climate Change Fund

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#### I.1 Introduction

1. Monitoring and evaluation (M&E) of any development initiatives and related activities are essential in order to measure and assess success of goals and objectives; this goes for development initiatives associated with climate change activities as well. Climate change mitigation M&E has been easy to set up, compared to creating M&E frameworks and guidelines for evaluating adaptation to climate change. This latter has proven particularly challenging mainly because of its cross-sectoral aspects, less tangible outcomes, a high level of uncertainty, and long time spans before impacts and results become evident.
2. There has been much talk about establishing specific adaptation M&E frameworks, but only a few organizations, primarily Global Environment Facility (GEF) Implementing Agencies, have solidified actual frameworks that can be used in monitoring and evaluating adaptation activities. The primary challenge in M&E for adaptation remains the process of establishing and using indicators that can help assess results, impacts, and success, including sustained success over time. Previous work on analyzing indicators and M&E frameworks for adaptation projects and programs in the GEF project portfolio was carried out by the GEF Evaluation Office in 2008.
3. How to measure actual success using indicators remains unclear and a hotly debated subject. It is not yet well understood what defines successful adaptation, nor is it clear which kind of indicators may be best at attributing success to the respective adaptation activities, and aggregating these successes at a wider fund, program, or sector level. While each project or program has its own characteristics, aggregating key results will help policy makers, project implementers, and other stakeholders assess sustainability and the potential for continuation of a project as well as lessons learned for replication in similar projects or programs.
4. This paper builds on already established project evaluation findings and ideas to conduct an analysis focusing on the Special Climate Change Fund (SCCF) project indicators that have previously not been reviewed using GEF methods and suggestions. The paper provides a short overview of GEF adaptation project funding (which is also the SCCF Trustee), then discusses a few considerations for evaluating adaptation success, and finally produces a short analysis of the M&E systems and indicators proposed in 12 selected SCCF project documents.

#### I.2 Adaptation Funding Under the Global Environment Facility

5. At the 7th Conference of the Parties (COP) in 2001 in Marrakesh, the United Nations Framework Convention on Climate Change (UNFCCC) established the SCCF, the Least Developed Countries Fund (LDCF), and the Adaptation Fund. As the operating entity of the financial mechanism of the convention, the COP requested that the GEF manage the LDCF and the SCCF, while the World Bank serves as the Funds' trustee. As a precursor to the LDCF and the SCCF, the GEF was also asked to set up a pilot program under its Trust Fund focusing on climate change adaptation. In response, the GEF dedicated \$50 million to the Strategic Priority for Adaptation (SPA) pilot aimed at mainstreaming climate change adaptation into GEF projects. Finally, the GEF was asked to serve as the interim secretariat of the Adaptation Fund Board, which was created to fund adaptation projects in developing countries party to the Kyoto Protocol.
6. The LDCF and the SCCF finance adaptation activities aimed at reducing vulnerability and increasing resilience to climate change in developing countries through immediate and long-term adaptation

measures in development policies, plans, programs, projects, and actions in order to reduce absolute losses due to climate change, including variability. The LDCF was created to support the special needs of the 48 least developed countries (LDCs), specifically focusing on supporting the development and later implementation of national adaptation programs of action (NAPAs). The SCCF was established as a climate change fund accessible by all non-Annex I parties to the Kyoto Protocol to finance activities, programs, and measures complementary to those funded by the resources allocated to the climate change focal area of the GEF and bilateral and multilateral funding (GEF Secretariat 2007). According to guidance from the UNFCCC, the specific focus of the SCCF was to be adaptation, which is featured predominantly in the project portfolio (see below).

7. At present, there are 161 climate change adaptation initiatives within these four funds, amounting to approximately \$395.6 million; of these, 32 projects (\$133.56 million) are SCCF activities, 95 (\$165 million) are LDCF activities (NAPA preparation and projects), 26 (\$48.37 million) are SPA activities, and 8 projects fall under the Adaptation Fund (\$48.7 million). It is important to note that many GEF projects that are not associated with any of these funds but have acquired funding under the climate change focal area are adaptation activities or carry components of climate change adaptation. This means that the adaptation agenda at the GEF stretches far beyond actual adaptation funds. As some of the earliest of all of these projects start to reach closure, and many more will follow within the next 10 years, and as even more projects will be added to the existing portfolios, there is a clear need to produce solid adaptation indicators that can be used to evaluate not only project results but also fund results.

### I.3 Elements for Evaluating Success in Adaptation Project and Programs

8. The objective of adaptation initiatives, including projects funded by the SCCF, is to reduce vulnerability and enhance adaptive capacity in order to expand the coping range for a given system. Since these concepts have been repeatedly discussed in the past, including in previous adaptation M&E analysis in the GEF, they will not be discussed in detail here. In the context of the GEF, they are defined as follows:
  - **Vulnerability reduction** entails activities that directly reduce the susceptibility of ecosystems and human systems (human populations, human landscapes, economic systems, and infrastructure) from adverse impacts of climate change, making them more resilient and less prone to damage from a changing climate.
  - **Increased adaptive capacity** entails activities that target the capacity that is used in response to, or in anticipation of, climate change (technological ability, information availability, policy reform, early warning systems, economic means, diversification of activities, climate change awareness, risk management etc.).
9. A successful adaptation intervention combining these two main objectives should ideally result in a higher **coping range** for a community, country, ecosystem, etc., under expected climate change scenarios, covering most new climate patterns and variability scenarios expected, taking into consideration not only the changing climate baseline, but also changes in socioeconomic, other environmental, and political contexts. GEF adaptation projects particularly aim to intervene to expand or shift the coping range of the target system so that by the end of the project, it encompasses a greater portion of the variability under the new climate scenario.

### Assessing Adaptive Success

10. The goal for an M&E framework for adaptation is to identify those options that work and those that do not work, and the reasons why, as well as providing mechanisms to adjust the adaptation process accordingly. As noted by the GEF, “a sound M&E framework should allow for accurate and informative project evaluations to help understand why a project had successful and unsuccessful

outcomes, comparing baseline with final outcomes, vulnerability and adaptive capacity indicators at the beginning and end of project, and taking into account the climate and development context to see how these have influenced the outcomes of the project.”

11. The common tool to help measure success in GEF projects has been the classic logical results framework (or a logframe), which ties indicators with objectives, outcomes, baselines, and targets. While using a logframe in development has been very successful, it is a more difficult undertaking in the field of climate change adaptation as success is less tangible and much more difficult to assess due to several challenges, including the following:

- **Success when nothing happens:** The main objective of adaptation activities is to prevent negative implications for a system during slow- or rapid-onset climate change. As a result, it could be considered a success when no negative (or positive) impacts occur; that is, if a climate impact event occurs, and the activity implemented simply keeps the system at a status quo and thus prevents it from deteriorating. If the activity helped avert any negative impact, it can be considered to be successful.
- **Time:** Adaptation projects are on average implemented within a time span of about 3–5 years from endorsement to closure, but the actual impact or results from the projects may not be seen until 10–15 years, or even more, after the project has closed, or the expected climate change and variability may not occur until much further into the future. Evaluations of sustainability and results 10–20 years after project implementation may be required, but raises the question of who should carry out these evaluations, ensure they take place, and pay for them.
- **Uncertainty:** Adaptation activities are implemented under a high level of uncertainty; not only is the actual level of climate change and variability uncertain, but economic, political, and other environmental and social circumstances may change as well over time, moving baselines that projects have to follow and adjust to.
- **Short-term climate variability:** The occurrence of unexpected short-term climate variability may affect the project or program during its implementation period. Take the example of high-impact hurricanes during mangrove reforestation projects or heavy rainy periods during an agricultural adaptation project. An area not fully grown in with the level of mangroves needed to protect the shore and fish populations may not accurately portray the level of safety it provides during a hurricane, and thus the hectares of mangroves implemented may not be a good indicator to portray success.
- **Maladaptation:** A successful adaptation measure should not lead to the vulnerability increase of a system, or a related system, to climate change impacts (i.e., maladaptation), nor should activities result in negative impacts on the economic, political, and social dimensions of society.
- **Contribution rather than attribution:** Changes in the level of vulnerability and resilience may be caused by other factors than the adaptation activity. For example, in an agricultural/food security adaptation activity, more food-secure households may be attributed to better local economies and more disposable cash for food supply than an increase in crop production.
- **Aggregation:** Most adaptation projects fall within some project or fund that may need to be evaluated at some point in time. Many projects often have the same components, and thus could also have the same indicators. However, indicators have generally not been developed with aggregation in mind, making fund- and program-level evaluation of results difficult.

12. Indicators and the chain of results from baseline to target must reflect that these aspects have been taken into consideration. To do so, they would need to include one or more of the following qualities:

- **SMART indicators:** SMART indicators are Specific, Measurable, Achievable and Attributable, Relevant and Realistic, Time-bound, Timely, Trackable, and Targeted (GEF EO 2010). Because of the unique nature of adaptation, it may be difficult for indicators to comply with all of these, but a few should be considered.
- **Flexibility:** Indicators have to be flexible enough to deal with multiple and potentially changing baselines over time.
- **Robustness:** Indicators should be robust, meaning that they should be clear and easy to assess, and directly linked to the subject area, climate change, and adaptation objectives.
- **Chain of results:** There should be a clear connection between the different aspects of the logframe from outcomes and outputs to baselines, indicators, and targets for evaluators and project managers to gauge successful outcomes and objectives.
- **Maladaptation:** Indicators should show that no maladaptation will occur and that the adaptation activities will cause no harm to another system.
- **Aggregation:** A few indicators in each project should follow a standard set of indicators for a specific source of funding, and maybe even for sectoral areas. Some funds (Adaptation Fund, SCCF, etc.) already have some suggested standard indicators that could be used.

## The Adaptation Monitoring and Assessment Tool

13. The Adaptation Task Force and SCCF team of the GEF recently agreed upon an Adaptation Monitoring and Assessment Tool (AMAT). It outlines suggested objectives, outcomes, outputs, as well as outcome and output indicators, and can be followed in the development of the results framework for adaptation projects. A discussion of some of the indicators follows; table I.1 presents the main objectives and outcomes of the SCCF.

Table I.1. AMAT Objectives and Outcomes	
Objective	Outcome
1. Reduce vulnerability to the adverse impacts of climate change, including variability, at the local, national, regional, and global levels	1.1. Mainstreamed adaptation in broader development frameworks at country level and in targeted vulnerable areas
	1.2. Reduce vulnerability in development sectors
	1.3. Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas
2. Increase adaptive capacity to respond to the impacts of climate change, including variability, at the local, national, regional, and global levels	2.1. Increased knowledge and understanding of climate variability and change-induced risks at country level and in targeted vulnerable areas
	2.2. Strengthened adaptive capacity to reduce risks to climate-induced economic losses
	2.3. Strengthened awareness and ownership of adaptation and climate risk reduction processes at local level
3. Promote transfer and adoption of adaptation technology	3.1. Successful demonstration, deployment, and transfer of relevant adaptation technology in targeted areas
	3.2. Enhanced enabling environment to support adaptation-related technology transfer

14. The project documents analyzed in this paper were all endorsed prior to the approval of the AMAT, and thus cannot be measured against this tool. However, an assessment can still be made of how closely related to the AMAT they are, and potentially draw conclusions as to whether the use of the AMAT would improve the process of selecting indicators in SCCF projects and work well with the



logframe. The analysis thus takes into consideration this tool when reviewing indicators and, when applicable, makes note of whether the AMAT may have better suggested indicators than those proposed in the project documents.

## I.4 SCCF M&E Analysis

15. The following analysis reviews the M&E policies implemented in the 12 selected SCCF project documents (table I.2). It then provides an overview of the indicators used in the projects to establish the level of their strength, usability, and effectiveness to help assess success in adaptation. As mentioned, with the recent SCCF approved AMAT specifically aimed at helping project teams establish strong indicators, the analysis considers how well this tool would work, how well connected it is to indicators already proposed in project documents, and if it could help improve current development indicators.

<b>GEF ID</b>	<b>Project Name</b>	<b>Agency</b>	<b>Country</b>	<b>Status</b>	<b>SCCF Grant</b>	<b>Co-financing</b>	<b>Total</b>
3299	Strengthening the Capacity of Vulnerable Coastal Communities to Address the Risk of Climate Change and Extreme Weather Events	UNDP	Thailand	CEO Approved	0.87	2.00	2.87
3242	Adaptation to Climate Change in the Nile Delta Through Integrated Coastal Zone Management	UNDP	Egypt	CEO Endorsed	0.40	1.20	1.60
3218	Integrating Climate Change into the Management of Priority Health Risks	UNDP	Ghana	CEO Endorsed	1.72	3.75	5.47
2553	Piloting Climate Change Adaptation to Protect Human Health	UNDP	Global	CEO Endorsed	4.50	16.30	20.80
3159	Adaptation to Climate Change Impacts on the Coastal Wetlands	World Bank	Mexico	CEO Endorsed	4.50	21.00	25.50
3695	Mongolia Livestock Sector Adaptation Project	IFAD	Mongolia	CEO Endorsed	1.50	35.00	36.50
3243	Climate Change Adaptation Project, Phase I	World Bank	Philippines	CEO Endorsed	4.97	25.43	30.40
3907	Technology Needs Assessments	UNEP	Global	IA Approved	8.18	2.86	11.04
3679	Economic Analysis of Adaptation Options in Support of Decision Making	UNEP	Global	Completed	1.00	3.50	4.50
3154	Coping with Drought and Climate Change	UNDP	Ethiopia	Under Implementation	9.95	1.87	11.82
3101	Pacific Adaptation to Climate Change Project (PACC)	UNDP	Regional	Under Implementation	13.13	39.20	52.33
3156	Coping with Drought and Climate Change	UNDP	Zimbabwe	Under Implementation	9.83	1.16	10.99
<b>Total</b>					<b>60.55</b>	<b>153.26</b>	<b>213.81</b>

## Monitoring and Evaluation Policies Described in SCCF Projects

16. The M&E systems employed by the projects reviewed for the analysis are directly influenced by the M&E policies of the respective Agencies and in particular the GEF; a combination of UNDP and GEF procedures (seven projects), UNDP and World Bank procedures (two projects), International Fund for Agricultural Development (IFAD) and GEF procedures (one project), and UNEP and GEF procedures (two projects).
17. The SCCF is managed separately from the GEF Trust Fund with its own governance structure and strategic priorities set by guidance from the UNFCCC and the SCCF/LDCF Council decisions, yet follows similar GEF operational rules, guidelines, and procedures. Most important for the purpose of

this analysis, this has included the M&E Policy of the GEF as well as the results-based management (RBM) framework approved in 2007 during GEF-4. All but two projects (Ethiopia and Zimbabwe) were approved during GEF-4 and under the new RBM framework.<sup>1</sup> An RBM framework better reflects how outcome-based indicators are tracked to facilitate monitoring of results as opposed to the monitoring of the implementation process; it is thus much more heavily focused on performance, achievement, and sustainability of outputs, outcomes and indicators, rather than the management of project activities.

18. All projects used a results framework listing objectives, outcomes, outputs, indicators, baselines, and targets, sources of verification, and risk and assumptions. The inclusion of risks and assumptions in all but two projects (Ethiopia and Zimbabwe) differentiates this from previous analysis, which noted that only the Tanzania SCCF project Mainstreaming Climate Change in Integrated Water Resources Management listed potential risks and assumptions. The change could potentially be attributed to the approval and implementation of the GEF RBM framework. The Ethiopia and Zimbabwe projects were both approved during GEF-3, prior to the RBM framework and are lacking references to risks, but do include assumptions.

### Type, Responsibilities, and Frequency of Reporting

19. Table I.3 outlines the reporting generally required by the various policies within the four GEF Agencies of the 12 projects reviewed. Regular GEF requirements include the project implementation reviews (PIRs), midterm evaluations, and terminal evaluation. The PIR is an annual monitoring process mandated by the GEF. It has become an important part of project implementation and offers the main vehicle for extracting lessons learned. The midterm evaluation and terminal evaluation are independent of the project and are in all cases carried out by an independent organization determined by the Implementing Agency, often with the assistance of the GEF Agency and/or GEF regional coordinating unit.

Table I.3: Overview of Reporting by GEF Agency for the 12 projects reviewed			
United Nations Development Programme	World Bank	IFAD	United Nations Environment Programme
<ul style="list-style-type: none"> <li>• Inception workshop and report*</li> <li>• Quarterly progress reports**</li> <li>• Annual project reports**</li> <li>• Periodic thematic reports**</li> <li>• Annual tripartite reviews**</li> <li>• Terminal tripartite review**</li> <li>• PIRs*</li> <li>• Midterm evaluation****</li> <li>• Terminal evaluation****</li> <li>• Field visit***</li> </ul>	<ul style="list-style-type: none"> <li>• Biannual integrated project progress reports**</li> <li>• Field visits***</li> <li>• PIRs*</li> <li>• Progress reports**</li> <li>• Completion report**</li> <li>• Midterm evaluation****</li> <li>• Terminal evaluation****</li> </ul>	<ul style="list-style-type: none"> <li>• Regular reports and process monitoring**</li> <li>• Workshops*</li> <li>• Internal and external reviews**</li> <li>• Baseline household survey**</li> <li>• RIMS benchmark Survey**</li> <li>• RIMS midterm survey**</li> <li>• RIMS completion report**</li> <li>• Completion project impact study**</li> <li>• PIRs*</li> <li>• Midterm evaluation****</li> <li>• Terminal Evaluation****</li> </ul>	<ul style="list-style-type: none"> <li>• Inception workshop and report*</li> <li>• Periodic progress reports*</li> <li>• Quarterly and biannual reports*</li> <li>• PIRs*</li> <li>• Annual project reports**</li> <li>• Terminal evaluation****</li> </ul>
<p>*Joint (project team, GEF Agency); **Project team; ***GEF Agency and/or regional coordinating unit; ****independent with GEF Agency.</p> <p>Note: The list for each Agency does not reflect what each has in its respective M&amp;E policy, but simply reflects what is included in the project preparation and implementation of the reviewed SCCF projects. RIMS = Results and Impact Monitoring System.</p>			

20. All projects fulfilled the GEF requirements including annual PIRs, as well as midterm and terminal evaluations in the M&E plans. In addition, with very few variations between projects within each

<sup>1</sup> The SCCF/LDCF Council recently approved an RBM framework for adaptation under the SCCF and LDCF, but since all projects were approved and implemented prior to this policy, this analysis is considered with previous policies in mind.



agency, semi-annual and annual reporting was required. However, some project M&E plans explain in more detail the daily, weekly, and monthly monitoring of the projects. For example, United Nations Development Programme (UNDP) projects emphasize the daily monitoring of the implementation process, to be carried out by the project director. Periodic monitoring carried out by the UNDP country office, generally through quarterly meetings with the project team and other stakeholders and through field visits, which is also done by GEF regional coordinating units. Annual monitoring occurs through tripartite reviews, which is considered the highest policy-level meeting of parties directly involved with the implementation of the project. Two weeks prior to the tripartite reviews, an annual performance report must be submitted to the UNDP country office and UNDP GEF regional office framing the discussion for the tripartite review.

21. At the World Bank, M&E is also generally carried out by the project team. The frequency of reporting is not explained in detail; most of the focus is on annual, semi-annual, midterm, and final reporting. The World Bank, however, generally splits responsibilities between different parts of the team with regard to the various project components. For example, in the project Adaptation to Climate Change Impacts on the Coastal Wetlands in the Gulf of Mexico, the Instituto Nacional de Ecología is responsible for all M&E in the first two components (related directly to adaptation measures), and the Instituto Mexicana de Tecnología del Agua is responsible for M&E under component 3 (related to water resources planning); this makes sense because the project is multithematic, focusing on ecosystems and water resources. The same holds true for the other World Bank project, Climate Change Adaptation Project, Phase I, in the Philippines, where the responsibility rests with the Policy and Planning Service Office of the Department of Environment and the Foreign Assisted and Special Projects Office for the majority of data collection and monitoring. However, other departments are also relied on for various components of the project, including the National Irrigation Administration; the Department of Agriculture; and the Atmospheric, Geophysical, and Astronomical Services Administration.
22. IFAD incorporates the GEF M&E requirements into its Results and Impact Monitoring System (RIMS) adopted in 2003, which is in essence the same as an RBM tool, providing information at three levels of results (IFAD 2003):
  - Project activities and outputs
  - Project outcomes and changes in beneficiary behavior, improved performance and sustainability of groups, institutions, and infrastructure
  - Project impact on child malnutrition and household living standards

It requires that in addition to the GEF-mandated M&E, projects also have to complete a variety of surveys according to RIMS standards as well as RIMS completion reports.

23. Generally, information for all projects is collected quarterly, biannually, or annually through a combination of surveys, web questionnaires, workshop questionnaires, desktop document reviews of policy documents, meeting minutes, and other materials related to the projects, climate/weather, or sector-specific databases such as health, agriculture, and water, and geographic information system data.

### **Monitoring of Baselines: Relation to Targets and Perception of Risk**

24. All projects but two listed baseline values in the results framework with varying levels of robustness. The most robust baselines were found in those projects that performed a baseline analysis, established targets/baselines throughout project implementation, or considered risks that might alter the baseline. Projects used various techniques to establish this. Those with the most robust baselines usually completed surveys before project implementation, or early on, or simply expended more effort on both a baseline analysis and risk analysis.

- The World Bank project in the Philippines implemented a baseline survey to assess awareness and knowledge among proposed project beneficiaries and their use (or not) of adaptation technologies; the IFAD project in Mongolia used surveys from its RIMS.
  - The UNEP project Economic Analysis of Adaptation Options performed a scan of the baseline set of current tools, methodologies, and existing adaptation efforts in use to highlight significant gaps within each project component (UNEP 2009a). This provided a narrative, but detailed, baseline for each project objective and outcome.
  - This was also the case for the UNDP project Adaptation to Climate Change in the Nile Delta through ICZM, which did a baseline analysis according to vulnerability in the Nile and coastal protection implemented or in force.
25. Paying attention to the monitoring of baselines during project implementation provides more room for flexibility in project implementation. The two World Bank project documents pay much more attention to the monitoring of baselines over time compared to the UNDP ones. For example, they list targets for each year of implementation, thus in essence creating a new baseline to measure against in the following years. Setting concrete targets and establishing an annual baseline may indeed make it easier to adjust the project according to the moving social, economic, and political baselines; however, it will not have much impact on the moving climate baseline, as this baseline is likely to change more significantly in the long run (10–15 years) than in the short run (i.e., during project implementation).
26. Indeed, annual climate fluctuations and variability may occur in the short run of the project (such as through sudden increased rainfall, hurricanes, drought, etc.), which may be positive in the sense that it tests project implementation reflecting either potential project success or failure. For example, as mentioned in the World Bank project for the Philippines project, “This project is designed to reduce vulnerability to extreme events, which means that accurate evaluation of the results depends on whether these events occur within the project’s life” (World Bank 2010a).
27. Finally, a detailed risk analysis could significantly help determine the stability of various baselines, and is an important part of project implementation. As mentioned, all but the projects in Ethiopia and Zimbabwe considered risks in their results framework. However, a few projects did a more in-depth risk analysis within the project document.
28. For example, IFAD incorporated a risk analysis at the beginning of the project focusing on four aspects:
- Political stability
  - External shocks and crises such as the world economic crisis, non-climate-related disasters, etc.
  - Government policies
  - Enforcement, such as enforcement of legislation relevant to the success of the project
- Any of these four factors could have an impact on the project and change any part of the project baseline during implementation. Changes in, for instance, political decisions to include legislation that are not favorable to the project or lack of enforcement of legislation that is supporting the project may reduce positive project impact, and the implementation and development of the project may need to be restructured.
29. Conducting a more in-depth risk analysis and understanding the various risks also help the project team better plan for, and safeguard against, potential risks.
30. The United Nations Environment Programme’s (UNEP’s) risk assessment of the global technology needs assessment project focused in general on political perception and government priorities and

behavior, noting the main concern and risk to the project being a “lack of strong political commitment to the TNA [technology needs assessment] process... The weak commitment to climate change issues may result in countries not allocating adequate financial and human resources needed for conducting the widest possible stakeholder engagement” (UNEP 2009b). Understanding this risk, the project team and UNEP committed to seek out the strongest possible political commitment of national authorities to reduce the risk and achieve project objectives.

## **Participatory Monitoring**

31. Most of the projects included some level of participatory M&E, as shown in table I.3, whereby it is not only the project team responsible for developing and carrying out the M&E process. Most project stakeholders—the Implementing Agency, GEF regional coordinating unit, and project team—take part in establishing indicators and participating in monitoring and progress meetings. The project inception workshop in all projects plays a significant role in participatory M&E because of the assistance and up-front training the country teams receive during such workshops.

## **Additional M&E Provisions**

32. Project documents did not generally include additional provisions for M&E focusing primarily on the policies established by Implementing Agencies and the GEF, except for the World Bank project in the Philippines Climate Change Adaptation, Phase I, which incorporates the use of the World Wildlife Fund’s Management Effectiveness Tool for Protected Areas (METT) to evaluate aspects of progress under the protected area subcomponent. The use of this tool also prompted use of a variation in the baseline; namely, that the METT results for 2010 were part of the overall project baseline.

## **Learning and Knowledge Sharing (Dissemination)**

33. Dissemination and sharing of knowledge, learning, and best practices are very important components of project sustainability and potential replication. A strict requirement of the SCCF is that the project should be replicable, which means lessons should be extracted from all projects so they can be applied elsewhere (locally, regionally, nationally, or globally).
34. All projects implement provisions for dissemination of lessons learned. Because of the youth of most adaptation programs and funds, learning is a particularly important part of project design. Generally, projects advocate for learning through workshops, networks within and outside their own organizations, and sharing across electronic platforms—e.g., the Adaptation Learning Mechanism and Climate Eval.

## **I.5 Indicator Analysis**

### **Types of Indicators**

#### **Outcome and Output Indicators**

35. Using the results framework, all 12 projects reviewed listed outcome indicators; 7 of the projects also listed output indicators. The main issue found up front, however, is that in many instances projects would list output indicators as outcome indicators and vice versa, which shows a potential lack in knowledge of project managers in setting the two apart.
36. In the context of evaluations, the focus is primarily on outcome indicators, as these are more concentrated on effectiveness, positive or negative impacts, and results of a project or program. They signify a change in the level of performance, achievement, and behaviors; imply quantification of a product or activity; and measure change over time and the actual effects of an adaptation action. Output indicators feed into outcome indicators, and are usually produced by some process or activity.

One way to differentiate the two is that output indicators are much more tangible—e.g., actual products, capital goods, and services that result from an adaptation initiative.

37. In the SCCF projects, some output indicators wrongly listed as outcomes included the following:

- Document outlining financing options connected to specific case study lessons and comparison to current model in each case study at the end of the project (UNEP 2009a)
- Technical report on sustainability strategy for pilot adaptation measures (World Bank 2010b)
- Construction of a pilot stabilization barrier to buffer extreme weather events and future sea level rise (World Bank 2010b)

Correct outcome indicators would be, for example:

- Increased productivity in agriculture
- Number of adaptation measures implemented at local, national, or regional level
- Use of climate information by farmers

38. Some indicators included both output and outcome indicators within one listed indicator. A good example comes from the globally based project Economic Analysis of Adaptation Options in Support of Decision Making in the indicator “Launch event includes decision support tool that allows individual country decision makers to evaluate adaptation measures against each other based on measures to reduce loss from hazard events.” This indicator could be strengthened if separated into output and outcome indicators:

- The output indicator would then be “Decision support tool to evaluate adaptation measures against each other based on measures’ ability to reduce loss from hazard event.”
- The outcome indicator would be “Percentage/number of individual country decision makers that use the decision support tool to evaluate adaptation measures against each other.”

### **Binary Indicators**

39. The projects did not generally use binary (yes/no) indicators. This is consistent with findings from previous analysis of adaptation indicators. The GEF Evaluation Office considers that the use of such indicators is a very straightforward means of measuring whether an activity has been achieved or not. Binary indicators are suggested in the SCCF AMAT and could be used in the future development of project documents or revisions of current evaluation systems. Some indicators from the projects that could have been binary indicators follow:

- “Local awareness of international lessons” could be turned into “Are local communities aware of international lessons from drought management?” (UNDP 2007a, 2007b)
- “Existence of response plans in pilot districts” could be turned into “Do response plans exist in pilot districts?”

### **Qualitative and Quantitative Indicators**

40. The majority of the projects reviewed used a combination of qualitative and quantitative indicators. Quantitative (numerical) indicators were used in the context of number, percentage, or proportion of climate-secure households; policies implemented or mainstreamed in development plans; follow-up activities; staff trained; and lessons learned. While these kinds of indicators provide good insight into the actual achievement of the activity—e.g., household incomes have gone up, crop productivity has increased, citizens are more knowledgeable as to what actions to take in the event of climate

variability, etc.—they do not really measure the level of climate change adaptation achieved. They can often be considered proxy indicators for use when directly related indicators are not available.

41. Proxy indicators, or context indicators, could be affected by activities other than just the specific adaptation activity. For example, an increase in the number of food-secure households, as used in projects implemented in Ethiopia and Zimbabwe, could also be partly due to such factors as improved agricultural sector policies not related to climate change, or to improved household economics. The indicator can still be used to assess some level of potential increased adaptation, however. While a food-secure household does not ensure adaptation to climate change, it is understood that a food-secure household increases resilience of that household, which is the outcome expected from this particular component of the project—i.e., livelihoods strategies and resilience of vulnerable farmers in the selected pilot sites improved and sustained to cope with drought and climate change.
42. Earlier work on indicators noted that quantitative indicators could be coupled with indicators measuring proportion. While previous SCCF projects reviewed had not used proportion indicators, one project of those reviewed here did. The globally based project document “Piloting Climate Change Adaptation to Protect Human Health” used proportional indicators such as the following:
  - Proportion of health care facilities in pilot districts reporting climate-sensitive health risk data on a weekly basis
  - Proportion of district health managers who consider that interagency and intersectoral barriers are not important in delivering effective responses
  - Proportion of districts implementing a locally appropriate control intervention within a pre-defined appropriate response period
43. Three project documents focused on qualitative indicators only (UNDP 2009a; UNEP 2009a, 2009b). Qualitative indicators are even more of a challenge in gauging success, as they represent more perceived success than measureable success. They very easily become vague and ambiguous as was noted in earlier analyses of adaptation indicators in GEF projects. This is the case with the indicators in the 12 selected projects here as well. Qualitative indicators are usually meant to measure degrees of improvement in the quality of an action, such as the following:
  - Use of climate information by farmers, including women, in decision making
  - Knowledge and capacity for up-scaling and replication is in place (UNDP 2009a)
  - Protected area management plan strengthened including climate change parameters

Such indicators are not easy to interpret since no indications are given on

- the manner to gauge if something is in use,
  - to what level it is being used,
  - if knowledge and capacity is in place, or
  - the level to which a plan has been strengthened and if it is useful.
44. Earlier work suggested that to deal with this challenge, indicators could use standard scoring scales. This was proposed through the AMAT, which uses scoring scales. For example,

Indicator 1.1.3: For each action listed under indicator 1.1.1, indicate to what extent targets set out in plans have been met.

- 1 = Not significantly (<49%)
- 2 = Significantly (50-79%)
- 3 = Principally (>80%)

## Quality of Indicators

45. Because of the small number of projects reviewed for the analysis, indicators collected covered only a small sample of the variety of indicators that could be used in evaluating climate change adaptation. However, compared to the indicator review of 17 adaptation projects of which 7 were SCCF, which was done in 2008, the kind and quality of indicators is much the same. In general, indicators in the projects were of low quality; they were generally very vaguely defined and lacked significantly in strength and ability to show and assess success.
46. This finding was based on assessing indicators against the earlier listed qualities (SMART indicators, flexibility, robustness, chain of results, maladaptation, and aggregation), which produced the following conclusions.
47. The robustness of indicators in this analysis is determined by whether they comply with the SMART criteria and if they are clearly defined. Most indicators in the 12 reviewed projects complied with the SMART criteria to varying degrees. While most indicators implemented the **S**, **A**, **R**, and part of the **T** components of the criteria, **Measurability** and **Trackability** were lacking. For example, many indicators had no means of measurement to indicate what evaluators should look for when assessing results. Examples follow.
- **Mix of livelihood strategies** (UNDP 2007a, 2007b)—Is it an expanded mix? How many livelihood strategies are in the mix? Are we looking for an increase in livelihood diversification? Number of people who changed livelihood strategies?
  - **Local awareness of international lessons** (UNDP 2007a, 2007b)—Again, is it an increase in local awareness? A percentage increase? Are we looking for a specific number in the increase? This indicator is also made more vague by the term “international lessons”—i.e., what defines and is understood by international lessons?
  - **Community drought mitigation activities**—This indicator tells us nothing about what we are looking to measure. It also misses whether we are looking for development, implementation, revision, or any other sort of change in the activities.
48. With the use of scales, indicators could be made much more efficient, trackable, and measurable. As shown above, the SCCF AMAT suggests the use of scales to better track and measure indicators in monitoring and evaluating adaptation. The AMAT implements the use of scales by making a chain of results between indicators for an objective and outcome (table I.4):

Table I.4: Chain of results between indicators in SCCF AMAT	
Objective 1: Reduce vulnerability to the adverse impacts of climate change, including variability, at the local, national, regional, and global levels.	
<b>Outcome 1.1:</b> Mainstreamed adaptation in broader development frameworks at country level and in targeted vulnerable areas	<b>Indicator 1.1.1:</b> Adaptation actions implemented in national/subregional development frameworks (number and type)
	<b>Indicator 1.1.2:</b> For each action listed under Indicator 1.1.1: indicate which ones include adaptation budget allocation and targets (yes/no)
	<b>Indicator 1.1.3:</b> For each action listed under Indicator 1.1.1, indicate to what extent targets set out in plans have been met (score) 1 = Not significantly (<49%) 2 = Significantly (50–79%) 3 = principally (>80%)

49. Weak and strong terminology that may determine the robustness of indicators is listed in table I.5. The words in bold are the terminology of focus. What makes the terminology on the right stronger is

that it better shows a specific commitment, and actual action is carried out, results and achievements are made, and potential change in behavior may result. For example:

- **Number of adaptation measures implemented at the national, subnational, and local levels (UNDP 2009b)**—This indicator shows us that actual change has been made and activity has been implemented.
- **Use of climate information by farmers, including women (UNDP 2007a, 2007b)**—This indicator shows a change in behavior; i.e., farmers are using and carrying out the specific activity implemented.

Table I.5: Terminology used in Adaptation Indicators in the SCCF	
Weak	Strong
<ul style="list-style-type: none"> <li>• Number of <b>references made</b>...</li> <li>• <b>Acknowledgement</b> and/or <b>review</b> of...</li> <li>• [Concern] <b>reflected</b> in policy documents...</li> <li>• <b>Existence</b> of policy</li> <li>• Instance of assistance <b>provided</b>...</li> </ul>	<ul style="list-style-type: none"> <li>• Number of policies/activities <b>implemented/mainstreamed/in use</b>...</li> <li>• <b>Committed</b> budgets/activities/policies...</li> <li>• Policies/activities/budgets <b>revised</b>...</li> <li>• <b>Awareness</b> of climate change impacts...</li> <li>• Best practice/activity/policy, etc., <b>developed</b>...</li> <li>• Policy/activity/best <b>practice adopted</b> and/or <b>replicated</b>...</li> <li>• Best practices/lessons learned/knowledge <b>disseminated</b>...</li> <li>• Activity/policy <b>in place</b>...</li> <li>• System <b>strengthened</b>...</li> <li>• Adaptation measure <b>constructed/developed</b>...</li> </ul>

50. On the other hand, the terminology making indicators weak tells us very little about changes in behaviors. It may indicate potential change at a higher level or movement toward objectives and results, but is usually very vague. For example:

- **Number of references to coastal, crop production, and water sector climate change risk in relevant plans and programs**—While this indicator shows relevance to the activity, it is not certain that just because references are made in a policy will produce results. For results to occur, the policy will have to be implemented, used, and carried out. The same holds true for “existence of a policy”; just because a policy exists, does not indicate it is implemented, running, or functioning.
- **Number of instances of technical support provided to the 13 PICs**—While this may indicate an increase in capacity building, it would be better to measure the demand side of capacity building than the supply side. In other words, it would be better to examine “Number of new staff trained...”

51. It is important to note that this terminology cannot stand alone. To be robust, an indicator also has to adhere to the SMART criteria, especially in terms of being measureable and trackable. Many indicators were long and wordy, rendering them confusing and often including too many components. Although indicators are specific in some cases, they are particularly difficult to measure and track for evaluators. For example:

- **Government acknowledgment and review of synthesized factual and analytical information developed from the individual case studies necessary to support decisions in public and private spending toward activities that reduce vulnerability to climate change**—This indicator is long and wordy. It could be easily simplified to “Government acknowledgment/review of information from the individual case studies.” Even so, the indicator remains rather weak, as “acknowledgment” and “review” do not signify any actual changes or results.



52. Finally, robustness varied between thematic areas, and did not differ much from earlier findings by the GEF Evaluation Office. Disaster risk reduction and water indicators were generally more robust than those used in agriculture, biodiversity, and public health. Of the 12 projects reviewed, 2 focused on coastal resilience, which also showed more robust indicators. The themes of disaster risk and coastal and water resource management are more closely related to actual climate change and variability; while biodiversity, agriculture, and public health in many cases are affected by several other factors, which may pose a challenge in generating stronger indicators in these latter areas.

### Indicators of Chain of Results

53. One component in a successful M&E framework is the ability to compare baselines with final outcomes and targets with indicators at the beginning and end of a project, as alluded to in the previous sections on monitoring baselines. The strength of an outcome indicator relies very much on its connection and direct relation to the baseline and target and more so on the expected outcome, and it plays a significant part in measuring the chain of results and connectivity in the results framework.
54. In general, for the 12 projects reviewed, indicators are very relevant to the baselines, targets, and listed outcomes. Without this connection, the indicator becomes weak, as it is challenging to determine if there is an actual change over time. Take the indicator from the Zimbabwe project as an example: “Use of climate information by farmers including women in decision making.” Standing alone, this indicator says very little. For example, how do we know if farmers use the information? And how many farmers should use it to deem the project successful? The indicator from the Zimbabwe project is strengthened by the following baseline and target:
- **Baseline:** No farmers receiving or using formal early warning information in 2005. No systematic use of climatic information by extension agents, district planners, and other service providers.
  - **Target:** By the end of the project, 40 percent of farmers in three communal areas of Chiredzi and district planners, extension agents, catchment managers, nongovernmental organizations, and other service providers use hydro-climatic information for decision support.

This shows a clear connection from baseline through the indicator to the target, and will assist evaluators, project managers, and other stakeholders to assess success.

55. As mentioned, while the outcome indicators are key in assessing success, output indicators feed into outputs and play an important role in carrying out the activities implemented and achieving stated objectives. Outputs and output indicators were generally well matched with outcomes and objectives; however, as noted by the GEF (2008), a time lag between the output and outcome may become apparent because of the adjustment period usually needed within a system to change. In other words, while outputs are occurring during project implementation, most outcomes will likely not be apparent until a few years later when the outputs have become effective. Impacts and results will be still farther in the future once the system has adjusted and changes such as behavioral changes, etc., start taking place. Table 1.6 presents an example of this using the UNDP project Pacific Adaptation to Climate Change.



**Table I.6: Chain of Results from Outputs → Outcomes → Objectives—An Example from Pacific Adaptation to Climate Change**

**Objective:** Enhance the capacity of the participating countries to adapt to climate change, including variability, in selected key development sectors.

**Outcome:** Demonstration measures to reduce vulnerability in coastal areas, crop production and water management.

**Output:** Guidelines to integrate coastal climate risks into an integrated coastal management program

**Outcome Indicators:** Number of adaptation measures implemented at national, subnational, and local levels.

**Outcome Indicator:** At the end of year two, guidelines are developed and applied to two (2) national and subnational coastal sector related plans and programs.

Note: This table does not include all outcomes, outputs, and indicators under the objective but is meant to show the chain of results.

## Climate Change Adaptation Indicators and Objectives

56. Since what is ultimately being measured is the success of one or more climate change adaptation activities implemented, indicators should show a connection to the overall objectives of adaptation. In other words, what makes indicators specific to climate change and climate change adaptation is the ability of the indicator to connect the activity being implemented with potentially reducing vulnerability or increasing adaptive capacity. This was done with fairly good success, judging from the project documents reviewed.

57. Compared to the work done by GEF Agencies in 2008, recent project documents listed more indicators relevant to climate change adaptation than previously found; that is, more indicators show direct reliance on the activity implemented (table I.7).

**Table I.7: Examples of Indicators Connected to Adaptation Objectives of Reducing Vulnerability and Increasing Resilience**

- Production/dissemination of user-tailored climate forecast and other early-warning systems
- Use of climate information by farmers
- Presence of elements of climate risk management in district institutional planning and programs
- Community drought mitigation activities implemented
- Number of adaptation measures implemented at the national/subnational/local level
- Number of community climate risk reduction proposals mainstreamed into the Provincial Development Plans and endorsed by the Integrated Provincial Administrative Committee
- Number and impact of priority climate risk reduction measures being implemented by target communities
- Number of community-based adaptation measure evaluated for their effectiveness and long-term potential
- Number of community climate risk proposals financed through provincial government budgets
- Enhanced resilience of Nile Delta coastal area on approximately 2,504 km<sup>2</sup> due to adaptation measures such as beach nourishment, vegetative buffers, sand placement, and dune stabilization
- Living shoreline approach adopted to sustain functions and productivity in each of the vulnerable lagoons, in the face of sea level rise, through preserving existing wetlands and lagoon ecosystems and enhancing their functionality
- Number of stakeholders served by improved climate change related risks data from updated information management systems
- Construction of barrier to buffer extreme weather

## Potential for Program-Level Assessment (Aggregation)

58. There is not much potential for aggregation and high-level assessment of overall program-/fund-level progress and results with the indicators presented in the SCCF project documents reviewed because, as discussed earlier, indicators are too vague and unclear. The largest potential for aggregation is in areas such as policy implementation or number of adaptation activities/measures implemented;

however, policy implementation, even if across sectors, will not produce enough results for an evaluation to assess success or failure at the fund level. Few project documents include indicators that are comparable to each other. The project documents for Zimbabwe and Ethiopia, for example, have matching indicators due to the close relation between the projects; both are entitled Coping with Drought and Climate Change and include the exact same measures and components. This, however, represents an exception to the rule.

59. That said, fund-level aggregation of results could be made possible, but would necessitate creating a set of new indicators that could be applied to all of the projects in the SCCF. This would require additional work and effort by the evaluation team. To prevent issues with aggregation in the future, it would be useful to streamline a few indicators in all projects that relate to the main objectives of the SCCF. The AMAT could provide a good base if new SCCF projects are using it in their design, and existing SCCF projects revised their existing indicators accordingly.

## **I.6 Conclusion**

60. Understanding how best to evaluate success in climate change adaptation has become an urgent issue that the international development community has to deal with, as many of the first adaptation projects under implementation are now reaching closure. Even more so, hundreds (maybe more) projects will continue to be implemented every year, not only under the GEF funds, but also through various other funds and programs. Solid M&E plans are key to ensuring that evaluations of adaptation take place, and show successes or failures. Through the analysis of 12 M&E policies in SCCF project documents, it was found that while M&E policies are largely well explained and documented, indicators that help evaluate success (or failures) of adaptation projects are rather vague and weak.
61. It is clear that compared to previous analysis of M&E policies, the M&E policies in the 12 projects documents reviewed for this paper have become stronger and more detailed, following guidelines from RBM frameworks. Yet M&E policies are not streamlined across projects, mainly because projects develop M&E from a combination of the GEF mandate and Agency policies. As a result, the M&E policies of the projects reviewed involve numerous reporting requirements. While monitoring the progress of projects is important for verification and to ensure that goals are being met, too much reporting may overwhelm the project implementation team. The high amount of reporting requirements may be due to policies composed of a mix of GEF M&E added to individual Agencies' M&E. As projects are implemented by Agencies, and funded by GEF sources of funding, these double requirements are a necessity.
62. All M&E systems reviewed included baselines, participatory M&E, and plans for dissemination and knowledge sharing. It was clear that those projects that completed baseline analysis, included risk, and monitored baselines over time produced the most robust baselines. Baselines are not only key in establishing the situation in which the project is developed, but also key to continuously monitoring progress toward goals. Participatory M&E allows for stakeholder involvement and better cooperation between the different factions of the project; dissemination and knowledge sharing, while an important component of evaluations in general, is especially vital within the field of adaptation due to the youth of most adaptation funds and programs.
63. With regard to the type of indicators used, projects included, at varying degrees, both outcome and output indicators. The main issue found was that a clear lack of knowledge in differentiating the two kinds of indicators was evident within the logical framework. In a few instances, indicators included several parts that could be divided into outcome and output indicators, resulting in greater success in assessing results and decreasing confusion. Interestingly, qualitative indicators were not used as much as quantitative indicators. While qualitative indicators are more difficult to measure, they do add significant value within climate change adaptation evaluation as they often tell more about changes in behavior—a key aspect of adaptation. Qualitative indicators tell us more about the improvement in some asset (health care, food security), which may very well be related to other factors than the specific adaptation activity. In terms of relevance for project implementation, indicators were

generally directly relevant to the subject matter of the adaptation activity and structured more in terms of being directly relevant to climate change.

64. The quality of indicators was generally found to be mediocre; disaster risk and water and coastal management were slightly stronger and mirrored results found in earlier analysis. In general, indicators were too vaguely defined and lacking significantly in the ability to show success. In particular, many indicators lacked measurability and trackability, and the terminology used was not specific with regard to actually achieving results and outcomes. They were also often long and wordy, providing much confusion regarding exactly what is to be measured.
65. Because of the weakness of indicators in the analysis, there was very little basis for aggregating results at the fund level and at the sector level; strengthening indicators would likely help significantly in aggregating results. However, the real need is in capacity building and knowledge sharing on how to establish strong indicators. The mediocrity of indicators signifies the lack of understanding of how strong M&E systems reflect good indicators that can be used both during monitoring and evaluation. Ideally, such a system should include a good variety of program-specific indicators (showing ownership), but also indicators that can be aggregated at a higher level, mainly to show results at the sector level, fund level, program level, or regional and national scales.
66. The use of AMAT could certainly help in this aspect. At present, the indicators, while often of the same subject, are not similar to those presented in the AMAT, meaning that if the AMAT is to be used in projects developed prior to the approval of the tool, indicators in current projects would have to be revised. This would be time consuming, but may at a later stage provide for better results—not only at the project level but would also allow for aggregation. It is clear that the tool will provide a good guide for how to develop indicators under an M&E system. While this is an important aspect, and clearly the most difficult one to deal with in adaptation M&E policies, an even better help to project managers would likely be a tool set for adaptation projects that helps simplify the M&E system and provides information on what is, and how best to establish, baselines, indicators, and all other aspects of the M&E system.

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## **Annex J: Adaptation Monitoring and Assessment Tool (AMAT)**

### **J.1 Introduction**

The Adaptation Monitoring and Assessment Tool (AMAT) is being introduced to measure progress toward achieving the outputs and outcomes established at the portfolio level under the LDCF/SCCF results framework for GEF-5.

The tracking tool for adaptation projects or programs financed by the LDCF/SCCF will be conducted three times during the life of the project.

GEF-5 will offer an opportunity to pilot the AMAT and to test how best the LDCF/SCCF can measure results at the portfolio level. As such, Agencies are encouraged to include project-specific indicators that link directly to the LDCF/SCCF portfolio objectives and outcomes. As projects and programs progress, the LDCF/SCCF will have enough data points to reexamine and reassess specific indicators and integrate changes to improve how portfolio results are tracked for adaptation.

### **J.2 Guidelines for Completion**

The Implementing Agency will fill out the AMAT Excel spreadsheet for each project, and submit the tracking tool three times during the life of the project:

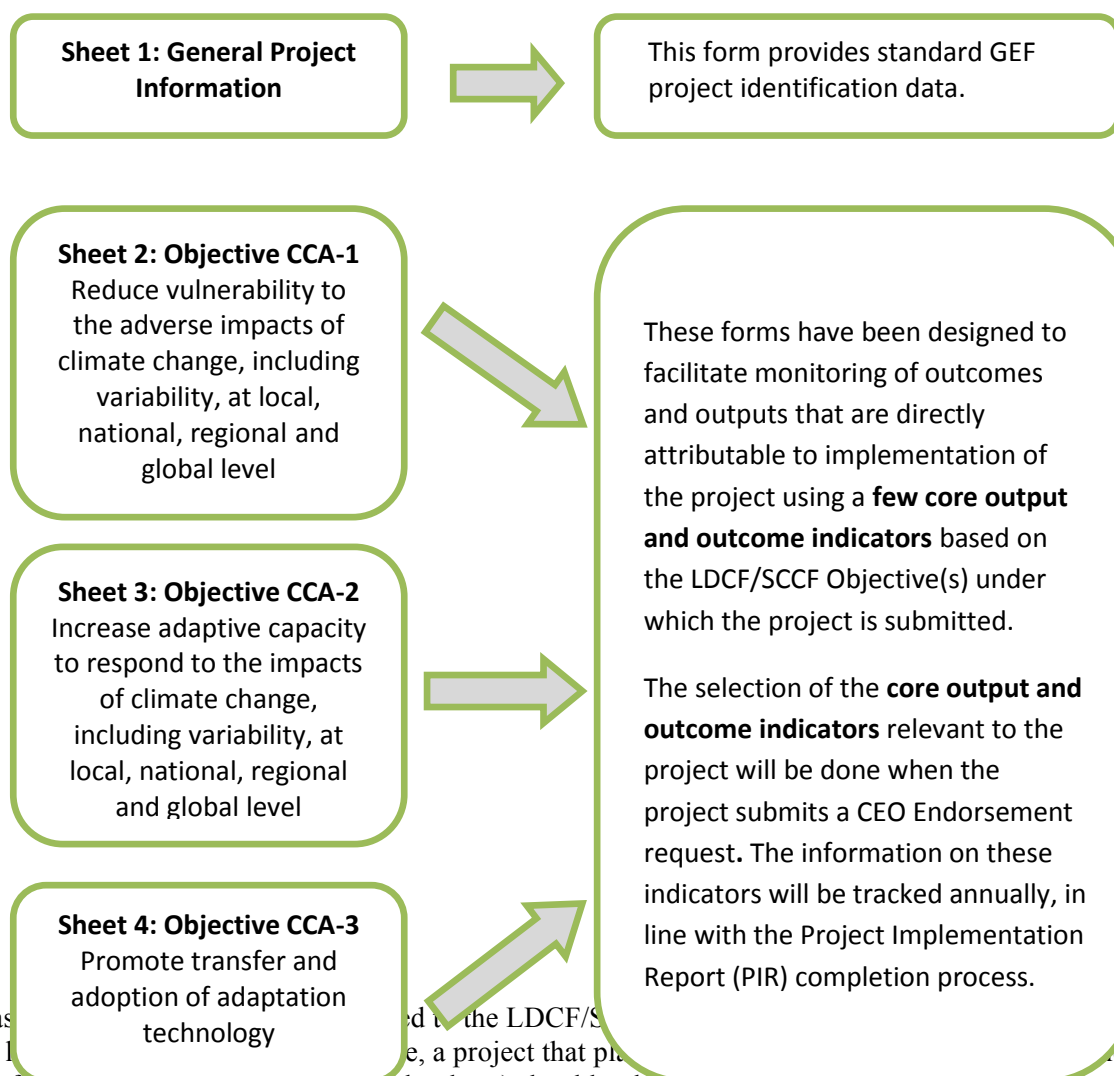
- At CEO endorsement/approval request
- At project/program midterm
- At project completion

Contextual information on existing climate change risks, vulnerability analysis, as well as socioeconomic conditions addressed in the full project document submitted for CEO endorsement/approval, will be complemented with quantitative data on core indicators identified from the AMAT. This information will largely serve as a baseline for tracking progress toward achievement of project objectives and targets. It is therefore essential that all required information be taken into account during project preparation.

When appropriate, the GEF requests that multicountry projects complete one tracking tool per country involved in the project, based on the project circumstances and activities in each respective country. The completed forms for each country should then be submitted as one package to the GEF. Global projects that do not have a country focus but for which the tracking tool is applicable should complete the tracking tool as comprehensively as possible.

The AMAT will also apply to multisector projects using LDCF/SCCF financing.

The AMAT Excel spreadsheet includes four sheets:



Please note that a project that is not aligned with the LDCF/SCCF Objective(s) (e.g., a project that promotes transfer and adoption of adaptation technology) should only fill in information on the relevant core set of indicators on Sheet 4.

The following steps will guide users in using the AMAT:

1. Each respective objective sheet (i.e., Objective CCA-1, Objective CCA-2, and Objective CCA-3) contains a menu of outcome and output indicators.
2. At the time of requesting CEO endorsement/approval, a project will be expected to select at least one outcome and one output indicator per focal area (CC-A) objective. Depending on the project, Agencies may be requested to submit more than one indicator per focal area. This means that only indicators specifically related to the main objectives and specific results that the projects plans to address should be selected (the rest of the suggested indicators that have no direct relation to the project should be left blank.)

For example, a project addressing Objective 1 (from the results framework) in the context of the agricultural sector should select only the outcome and output indicators on the Objective CCA-1 Sheet that can best capture how the project will attempt to reduce the vulnerability of a country's agricultural sector to the adverse impacts of climate change. The objective and outcome at the project level should be aligned with the results framework.

Once the set of core indicators is selected at the project CEO endorsement/approval stage, projects will fill in the baseline and expected target levels (expected to be delivered at project completion) for each selected indicator in the AMAT. A specific explanation on what data are sought under each indicator is provided within the AMAT.

3. After the project is CEO endorsed/approved and begins its implementation, the project's AMAT will be updated and submitted again at midterm and project completion. Baselines must be completed by CEO endorsement/approval.<sup>1</sup>

### J.3 Data Requirements for AMAT Excel Sheets

This section presents supplemental information regarding the menu of questions and indicators contained in the AMAT Excel spreadsheet.

#### General Project Information

1. GEF ID—This should be the GEF-issued PMIS number.
2. LDCF/SCCF Objective—Select the most appropriate based on project objective, outcome, approach, and impact (note that these three options are the ones agreed to by the LDCF/SCCF Council in June) .
  - a) **Objective 1:** Reduce vulnerability to the adverse impacts of climate change, including variability, at the local, national, regional, and global levels.
  - b) **Objective 2:** Increase adaptive capacity to respond to the impacts of climate change, including variability, at the local, national, regional, and global levels.
  - c) **Objective 3:** Promote transfer and adoption of adaptation technology.
3. Project's Primary Sector—This should be selected from the menu of provided options.
4. AMAT Completion Date—Specify the date the AMAT is being submitted.

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<sup>1</sup> Once projects begin implementation, baselines might be further refined and validated during the first year of implementation. If any changes to baseline figures are made, they must be reported by submitting an updated AMAT after the first year of implementation.



## Sheets 2, 3, and 4—Monitoring Outputs and Progress toward Outcomes under Objectives CCA-1, CCA-2, and CCA-3

These sheets track outcomes and outputs and their respective indicators as related to the three LDCF/SCCF objectives derived from the LDCF/SCCF RBM framework.

Expected Outcome	Outcome Indicator	Expected Output	Output Indicator
<b>OBJECTIVE 1: Reduce vulnerability to the adverse impacts of climate change, including variability, at the local, national, regional, and global levels</b>			
<b>Outcome 1.1:</b> Mainstream adaptation in broader development frameworks at country level and in targeted vulnerable areas	<p><b>Indicator 1.1.1:</b> Adaptation actions implemented in national/subregional development frameworks (number and type)</p> <p><b>Indicator 1.1.2:</b> For each action listed under Indicator 1.1.1, indicate which include adaptation budget allocation and targets (yes/no)</p> <p><b>Indicator 1.1.3:</b> For each action listed under Indicator 1.1.1, indicate to what extent targets set out in plans have been met (score) 1 = Not significantly (&lt;49%) 2 = Significantly (50-79%) 3 = Principally (&gt;80%)</p>	<b>Output 1.1.1:</b> Adaptation measures and necessary budget allocations included in relevant frameworks	<p><b>Indicator 1.1.1.1:</b> Development frameworks that include specific budgets for adaptation actions (list type of development framework and briefly describe the level<sup>a</sup> of the action)</p> <p><b>Indicator 1.1.1.2:</b> Sectoral strategies that include specific budgets for adaptation actions (list type and level)</p> <p><b>Indicator 1.1.1.3:</b> Regulatory reform and fiscal incentive structures introduced that incorporate adaptation as climate change risk management (list type and level)</p>
<b>Outcome 1.2:</b> Reduce vulnerability in development sectors	<p>Based on development sector(s) that project/program targets, select appropriate indicator(s) from list below or provide relevant indicator to track reduced vulnerability in targeted development sector:</p> <p><b>Indicator 1.2.1:</b> Infection rates of population to climate-sensitive diseases as compared with past population infected per year under similar climatic conditions (% change)</p> <p><b>Indicator 1.2.2:</b> % of targeted population</p>	<b>Output 1.2.1:</b> Vulnerable physical, natural, and social assets strengthened in response to climate change impacts, including variability	<p>As with outcome indicators, include or select indicator(s) relevant to sector project/program is targeting.</p> <p><b>Indicator 1.2.1.1:</b> Health measures introduced to respond to climate-sensitive disease (type and level)</p> <p><b>Indicator 1.2.1.2:</b> Resilient infrastructure measures introduced to prevent economic losses (type and level)</p> <p><b>Indicator 1.2.1.3:</b> Climate-resilient agricultural practices introduced to promote food security (type and level)</p> <p><b>Indicator 1.2.1.4:</b> Sustainable drinking water management practices introduced to increase access to clean drinking</p>



Expected Outcome	Outcome Indicator	Expected Output	Output Indicator
	<p>covered by innovative insurance mechanisms (disaggregated by sex)</p> <p><b>Indicator 1.2.3:</b> Number of additional people provided with access to safe water supply and basic sanitation services given existing and projected climate change (disaggregated by sex)</p> <p><b>Indicator 1.2.4:</b> Increase in water supply in targeted areas (tons/m<sup>3</sup>)</p> <p><b>Indicator 1.2.5:</b> Increase in agricultural productivity in targeted areas (tons/ha)</p> <p><b>Indicator 1.2.6:</b> Water availability for energy production (liters/gallons available for hydropower)</p> <p><b>Indicator 1.2.7:</b> Energy production from hydropower (kW/hr generated from hydro)</p> <p><b>Indicator 1.2.8:</b> % change in projected food production in targeted area given existing and projected climate change (food production is measured in tons/year)</p> <p><b>Indicator 1.2.9:</b> % change in food availability<sup>b</sup> given existing and projected climate change (food availability is measured in tons/year)</p> <p><b>Indicator 1.2.10:</b> % change in income generation in targeted area given existing and projected climate change</p> <p><b>Indicator 1.2.11:</b> % of population with access to improved flood and drought</p>		<p>water (type and level); examples:</p> <ul style="list-style-type: none"> <li>▪ Tube wells</li> <li>▪ Rainwater harvesting</li> <li>▪ Purification</li> <li>▪ Water storage</li> <li>▪ Other</li> </ul> <p><b>Indicator 1.2.1.5:</b> Sustainable water management practices introduced to increase access to irrigation water under existing and projected climate change (type and level); examples:</p> <ul style="list-style-type: none"> <li>▪ Drip irrigation</li> <li>▪ Reducing losses</li> <li>▪ Reducing evapotranspiration rates</li> <li>▪ Rainwater harvesting</li> <li>▪ Water storage</li> <li>▪ Other</li> </ul> <p><b>Indicator 1.2.1.6:</b> Sustainable water management practices introduced to increase energy production from water resources under existing and projected climate change (type and level)</p> <ul style="list-style-type: none"> <li>▪ Watershed management</li> <li>▪ Other</li> </ul> <p><b>Indicator 1.2.1.7:</b> Type and level of innovative insurance mechanisms introduced to reduce climate-induced damages</p> <p><b>Indicator 1.2.1.8:</b> Type and level of integrated disaster response measures to extreme climate events introduced to increase number of lives saved</p>

Expected Outcome	Outcome Indicator	Expected Output	Output Indicator
	<p>management (disaggregated by sex)</p> <p><b>Indicator 1.2.12:</b> % of livestock farmers covered by a monitoring and early warning and response measures scheme for climate-sensitive diseases</p> <p><b>Indicator 1.2.13:</b> % of cropland area covered by a monitoring and early warning and response action scheme for climate-sensitive plants pests and diseases (ha)</p> <p><b>Indicator 1.2.14:</b> Vulnerability and risk perception index (score) (disaggregated by sex)</p> <p><i>The score for this indicator will be assigned based on the results of a conducted survey. The score ranges from 1–5; following are explanations of the rankings.</i></p> <ol style="list-style-type: none"> <li>1. Extreme vulnerability</li> <li>2. High vulnerability</li> <li>3. Medium vulnerability</li> <li>4. Low vulnerability</li> <li>5. No vulnerability</li> </ol>		
<b>Outcome 1.3:</b> Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas	<p><b>Indicator 1.3.1:</b> Households and communities have more secure access to livelihood assets (score) (disaggregated by sex)</p> <p><i>The score for this indicator will be assigned based on the results of a conducted survey. The score ranges from 1–5; following are explanations of the rankings:</i></p> <ol style="list-style-type: none"> <li>1. No access to livelihood assets</li> <li>2. Poor access to livelihood assets</li> <li>3. Moderate access to livelihood assets</li> </ol>	<b>Output 1.3.1:</b> Targeted individual and community livelihood strategies strengthened in relation to climate change impacts, including variability	<b>Indicator 1.3.1.1:</b> % of targeted households that have adopted resilient livelihoods under existing and projected climate change

Expected Outcome	Outcome Indicator	Expected Output	Output Indicator
	<p>4. <i>Secure access to livelihood assets</i></p> <p>5. <i>Very secure access to livelihood assets</i></p> <p><b>Indicator 1.3.2.</b> % increase per capita income of farm households due to adaptation measures applied</p> <p><b>Indicator 1.3.3.</b> % increase per capita income of households outside of climate change–vulnerable sectors due to adaptation measures applied</p>		
<b>OBJECTIVE 2: Increase adaptive capacity to respond to the impacts of climate change, including variability, at the local, national, regional, and global levels</b>			
<b>Outcome 2.1:</b> Increased knowledge and understanding of climate variability and change-induced risks at country level and in targeted vulnerable areas	<p><b>Indicator 2.1.1:</b> Relevant risk information disseminated to stakeholders (Yes/No)</p>	<p><b>Output 2.1.1:</b> Risk and vulnerability assessments conducted and updated</p> <p><b>Output 2.1.2:</b> Systems in place to disseminate timely risk information</p>	<p><b>Indicator 2.1.1.1:</b> Update risk and vulnerability assessment (Yes/No)</p> <p><b>Indicator 2.1.1.2:</b> Risk and vulnerability assessment conducted (Yes/No).</p> <p><b>Indicator 2.1.2.1:</b> Type and scope of monitoring systems in place; examples:</p> <ul style="list-style-type: none"> <li>▪ Early warning systems</li> <li>▪ Climate threat monitoring systems</li> <li>▪ Event impact monitoring</li> </ul>
<b>Outcome 2.2:</b> Strengthened adaptive capacity to reduce risks to climate-induced economic losses	<p><b>Indicator 2.2.1:</b> Number and type of targeted institutions with increased adaptive capacity to minimize exposure to climate variability (describe number and type)</p> <p><b>Indicator 2.2.2:</b> Capacity perception index (score) (disaggregated by sex)</p> <p><i>The score ranges from 1–5; following are explanations of the rankings:</i></p> <ol style="list-style-type: none"> <li>1. <i>No capacity built</i></li> <li>2. <i>Initial awareness raised (e.g.,</i></li> </ol>	<p><b>Output 2.2.1:</b> Adaptive capacity of national and regional centers and networks strengthened to rapidly respond to extreme weather events</p> <p><b>Output 2.2.2:</b> Targeted population</p>	<p><b>Indicator 2.2.1.1:</b> Number of staff trained on technical adaptation themes (per theme) (disaggregated by sex)</p> <p><i>Specify the type of adaptation themes first, then indicate the actual number per theme disaggregated by sex:</i></p> <ul style="list-style-type: none"> <li>▪ Monitoring/forecasting capacity (early warning system [EWS], vulnerability mapping system)</li> <li>▪ Policy reform</li> <li>▪ Capacity development</li> <li>▪ Sustainable forest management</li> <li>▪ Strengthening infrastructure</li> <li>▪ Agriculture diversification</li> </ul>

Expected Outcome	Outcome Indicator	Expected Output	Output Indicator
	<p><i>workshops, seminars)</i></p> <p>3. <i>Substantial training in practical application (e.g., vocational training)</i></p> <p>4. <i>Knowledge effectively transferred (e.g., passing examination, certification)</i></p> <p>5. <i>Ability to apply or disseminate knowledge demonstrated</i></p> <p><b>Indicator 2.2.3:</b> Reduced annual property losses from baseline (changes in annual losses in US\$ in the projected area)</p> <p><i>Indicate the measured US\$ change in annual property losses from the baseline that has happened due to the project</i></p>	<p>groups covered by adequate risk reduction measures</p>	<ul style="list-style-type: none"> <li>▪ Improved resilience of agricultural systems</li> <li>▪ Supporting livelihoods</li> <li>▪ Mangrove reforestation</li> <li>▪ Coastal drainage/irrigation system</li> <li>▪ Community-based adaptation</li> <li>▪ Erosion control/soil water conservation</li> <li>▪ Microfinance</li> <li>▪ Special programs for women</li> <li>▪ Livelihoods</li> <li>▪ Water storage</li> <li>▪ Information and communication technologies and information dissemination</li> <li>▪ Other</li> </ul> <p><b>Indicator 2.2.2.1:</b> % of population covered by climate change risk reduction measures (disaggregated by sex)</p> <p><i>Provide the measured % of population covered by adequate risk reduction measures disaggregated by sex</i></p>
<p><b>Outcome 2.3:</b> Strengthened awareness and ownership of adaptation and climate risk reduction processes at the local level</p>	<p><b>Indicator 2.3.1:</b> % of targeted population awareness of predicted adverse impacts of climate change and appropriate responses (score) (disaggregated by sex)</p> <p><i>Score ranges from 1–3; following are explanations of the rankings based on survey results:</i></p> <ol style="list-style-type: none"> <li>1. <i>No awareness level (&lt;50% correct)</i></li> <li>2. <i>Moderate awareness level (50–75%)</i></li> <li>3. <i>High awareness level (&gt;75% correct)</i></li> </ol> <p><b>Indicator 2.3.2:</b> % of population affirming ownership of adaptation processes (disaggregated by sex)</p>	<p><b>Output 2.3.1:</b> Targeted population groups participating in adaptation and risk reduction awareness activities</p>	<p><b>Indicator 2.3.1.1:</b> Risk reduction and awareness activities introduced at the local level (list type and scope<sup>c</sup>); examples:</p> <ul style="list-style-type: none"> <li>▪ Monitoring/forecasting capacity (EWS, vulnerability mapping system)</li> <li>▪ Policy reform</li> <li>▪ Capacity development</li> <li>▪ Agriculture diversification</li> <li>▪ Improved resilience of agricultural systems</li> <li>▪ Sustainable forest management</li> <li>▪ Strengthening infrastructure</li> <li>▪ Supporting livelihoods</li> <li>▪ Mangrove reforestation</li> <li>▪ Coastal drainage/irrigation system</li> <li>▪ Community-based adaptation</li> <li>▪ Erosion control/sustainable land and water management</li> <li>▪ Microfinance</li> <li>▪ Special programs for women</li> </ul>

Expected Outcome	Outcome Indicator	Expected Output	Output Indicator
			<ul style="list-style-type: none"> <li>▪ Livelihoods</li> <li>▪ Water storage</li> <li>▪ Information and communication technologies and information dissemination</li> <li>▪ Other</li> </ul> <p><b>Indicator 2.3.1.2:</b> Number and type of community groups trained in climate change risk reduction</p>
<b>OBJECTIVE 3: Promote transfer and adoption of adaptation technology</b>			
<b>Outcome 3.1:</b> Successful demonstration, deployment, and transfer of relevant adaptation technology in targeted areas	<b>Indicator 3.1.1:</b> % of targeted groups adopting adaptation technologies by technology type (disaggregated by sex)	<b>Output 3.1.1:</b> Relevant adaptation technology transferred to targeted groups	<p><b>Indicator 3.1.1.1:</b> Type of adaptation technologies transferred introduced to targeted groups; example:</p> <ul style="list-style-type: none"> <li>▪ Climate-resilient irrigation technologies</li> <li>▪ Desalinization</li> <li>▪ Artificial reefs</li> <li>▪ Resilient agricultural systems</li> <li>▪ Improved seeds</li> <li>▪ Other</li> </ul> <p><b>Indicator 3.1.1.2:</b> Type of relevant climate change adaptation technology implemented in selected areas by participatory stakeholders (number of households)</p>
<b>Outcome 3.2:</b> Enhanced enabling environment to support adaptation-related technology transfer	<p><b>Indicator 3.2.1:</b> Policy environment and regulatory framework for adaptation-related technology transfer established or strengthened (score)</p> <p><i>Score ranges from 1–5; following are explanations of the rankings:</i></p> <ol style="list-style-type: none"> <li>1. <i>No policy/regulatory framework for adaptation-related technology transfer in place</i></li> <li>2. <i>Policy/regulatory framework for adaptation-related technology transfer has been discussed and formally proposed</i></li> <li>3. <i>Policy/regulatory framework for adaptation-related technology transfer</i></li> </ol>	<p><b>Output 3.2.1:</b> Skills increased for relevant individuals in transfer of adaptation technology</p> <p><b>Output 3.2.2:</b> Relevant policies and frameworks developed and adopted to facilitate adaptation technology transfer</p>	<p><b>Indicator 3.2.1.1:</b> Number of individuals trained in adaptation-related technologies (disaggregated by gender)</p> <p><b>Indicator 3.2.2.1:</b> Number of policies developed or strengthened</p>

Expected Outcome	Outcome Indicator	Expected Output	Output Indicator
	<p><i>has been formally proposed but not adopted</i></p> <p>4. <i>Policy/regulatory framework for adaptation-related technology transfer has been formally adopted by the government but has no enforcement mechanism</i></p> <p>5. <i>Policy/regulatory framework for adaptation-related technology transfer is enforced</i></p> <p><b>Indicator 3.2.2:</b> Strengthened capacity to transfer appropriate adaptation technologies (score) (disaggregated by sex)</p> <p><i>Score ranges from 1–3; following are explanations of the rankings based on survey results.</i></p> <p>1. <i>No capacity achieved (&lt;50% correct)</i></p> <p>2. <i>Moderate capacity achieved (50–75%)</i></p> <p>3. <i>High capacity achieved (&gt;75% correct)</i></p>		

a. Level refers to the geopolitical scope of the action, (i.e., community level, local level, state/province level, national level, regional level, etc.).

b. Food availability refers to the portion of total food production in tons/year that is actually consumed by the population.

c. "Scope" here refers to briefly describing the reach of these activities in terms of the people involved, number of programs, number of months of implementation, etc.

## Annex K: Management Response

1. The GEF Secretariat welcomes the Evaluation of the Special Climate Change Fund (SCCF), prepared by the GEF Evaluation Office. This Evaluation was based on an in-depth assessment of the SCCF, following 10 years after its implementation. The Secretariat thanks the Evaluation Office for an outstanding effort resulting in an in-depth and rigorous analysis.
2. Overall, the Secretariat is pleased that the findings of the Evaluation are overwhelmingly positive, including, notably, on the relevance of the SCCF to national sustainable development agendas of the beneficiary countries, its outstanding cost-effectiveness, and its responsiveness to COP guidance.
3. The Secretariat agrees with the finding that the funding of the SCCF has been identified as the single most relevant impediment, and that with adequate funding, some of the secondary issues raised in the Evaluation would not exist.
4. Concerning knowledge exchange and learning mechanism (Conclusion 11), the Secretariat notes that the lessons and knowledge from the SCCF projects have been captured through the Adaptation Learning Mechanism, an interagency global knowledge platform on climate change adaptation, which was financed under the Strategic Priority for Adaptation of the GEF Trust Fund in 2005. In addition, the GEF launched its knowledge management initiative at the 40<sup>th</sup> meeting of the GEF Council, which is also relevant to the SCCF. These are also examples of how the low levels of SCCF administrative costs are maintained.
5. The Secretariat is pleased to fully endorse the recommendations put forth in the Evaluation. The Secretariat would look forward to the implementation of the first recommendation, and would wish to see the donors respond to the appeal of the LDCF/SCCF Council to adequately fund the SCCF in a predictable manner. The Secretariat intends to take action in order to implement the second recommendation.



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