

OPS5 Technical Document #19:
Adaptation to Climate Change

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Table of Contents

1. Introduction	3
2. Adaptation in OPS5	3
3. Implementation of NAPAs	4
3.1 Key finding	5
3.2 Background on LDCF	5
3.3 Methodology and data collection for LDCF review.....	7
3.4 Sample description	8
3.5 Key findings.....	12
4. Progress of the SCCF	18
4.1 Methodology	18
4.2 Portfolio composition and evolution.....	18
4.3 Innovative approaches	22
5. Mainstreaming Resilience and Adaptation to Climate Change in the GEF Focal Areas .	23
5.1 Methodology	24
5.2 Sample description	25
5.3 Findings.....	25
5.4 Examples of climate resilience information.....	29
5.4 Conclusions and recommendation.....	33
Annexes	35
Annex 1: List of projects in the LDCF sample.....	35
Annex 2: Documents consulted for LDCF.....	37
Annex 3: Survey protocol for LDCF	38

1. Introduction

1. The recognition that the Global Environment Facility (GEF) has a role in financing adaptation to climate change goes back to the early guidance of the financial mechanism of the UNFCCC. It is reflected in the 1995 GEF Operational Strategy calling for a staged process of GEF support initially financing studies, assessments and capacity building, followed by financing the implementation of adaptation measures. After the establishment of the Least Developed Countries Fund (LDCF) and Special Climate Change Fund (SCCF) in 2001 under the UNFCCC at COP7 the GEF was asked to manage the funds in its role as the financial mechanism. The LDCF was tasked with addressing the special needs of the Least Developed Countries (LDCs), specifically financing the preparation and implementation of National Adaptation Programs of Action (NAPAs). The SCCF supports adaptation and technology transfer in all developing country parties to the UNFCCC. As a precursor to operationalizing the funds the GEF established the Strategic Priority for Adaptation (SPA) to finance pilot adaptation projects that would demonstrate the practical and successful use of adaptation planning and assessment.

2. The SPA evaluation also highlighted the importance of mainstreaming resilience and adaptation into GEF focal areas, as a means of reducing risks to the GEF portfolio. Climate change is increasingly being recognized as a threat to the sustainability of the GEF portfolio, and addressing it is increasingly recognized as an intrinsic part of protecting or creating global environmental benefits. The SPA evaluation found evidence of gradual mainstreaming of adaptation and resilience concepts and measures in the GEF focal area strategies as they evolved from GEF-3 to GEF-5 (2010-14). STAP also prepared an advisory document on enhancing resilience to reduce climate change risks concluding the GEF should ensure that every opportunity is used to enhance resilience to climate in all its projects and programs.¹

2. Adaptation in OPS5

3. Overall performance studies provide an independent assessment of the achievements and performance of the GEF. The objective of these studies is to assess the extent the GEF is achieving its objectives and to identify areas for improvements. These studies play a key role in informing the replenishment process of the GEF. Within the GEF, issues of climate change adaptation are mainly addressed through the two separate funds LDCF and SCCF. These funds are not part of the GEF replenishment process but are included in OPS5 as the strategy on adaptation to climate change is being formulated concurrently with the main GEF Trust Fund focal area strategies. LDCF and SCCF rely on voluntary financial contributions from parties to the UNFCCC. The voluntary nature of the contributions has a significant effect on overall strategy and management of the funds. Including the activities of LDCF and SCCF in OPS5 will lead to a better understanding of adaptation to climate change. OPS5 will include an in-depth look at focal area strategies, as well as multifocal area efforts, including impact.

4. Adaptation to climate change is included in OPS5 through various channels. It has been considered a focal area and included in the Evaluation Office's evaluation streams such as Country Portfolio Evaluations; and in OPS5 sub-studies and technical documents. The first report of OPS5: Cumulative Evidence on the Challenging Pathways to Impact, which was

¹ Council Document GEF/C.39/Inf.18. November 10, 2010. Enhancing Resilience to Reducing Climate Risks: Scientific Rational for the Sustained Delivery of Global Environmental Benefits in GEF Focal Areas, A STAP Advisory Document.

submitted to the first replenishment meeting in April 2013, presents the evaluative evidence that was gathered through the Evaluation Office's various evaluations since OPS4. One of the more recent evaluations leading into the first report of OPS5 was the Evaluation of the GEF Focal Area Strategies. It was designed as a formative evaluation emphasizing learning as the primary goal. The evaluation's main objective was to collect and assess information related to the GEF-5 focal area strategies and the strategy on adaptation to climate change under the LDCF/SCCF to gain a systematic understanding of the elements and causal links each strategy envisions. Technical paper 7 is dedicated to the climate change adaptation strategy. This paper and the first report of OPS5 are available on the GEF Evaluation Office website.

5. An overall conclusion of the first OPS5 report is that evidence from several evaluation streams points to the emergence of multifocal area (MFA) projects and programs as a strong new modality of the GEF. The first report of OPS5 also highlighted the growth of multi-trust fund projects. The possibility of combining climate change adaptation activities under LDCF/SCCF with activities funded through focal areas under the main GEF Trust Fund was introduced in GEF-5. These elements pose challenges for the formulation of strategies for GEF-6. Further work has been conducted on focal area strategies and the strategy on adaptation to climate change in regard to focal area strategies, Results Based Management and tracking tools, MFA and MTF projects. LDCF/SCCF projects were also included in the OPS5 sub-study on gender mainstreaming. This technical document focuses on special activities conducted for LDCF, SCCF and mainstreaming on resilience and adaptation to climate change in the GEF focal areas.

3. Implementation of NAPAs

6. The GEF Evaluation Office in partnership with DANIDA in 2009 conducted an evaluation of the LDCF "to analyze and document the results and lessons learned from the operations of the LDCF in financing and promoting climate change adaptation".² In the spring of 2010, DANIDA funded a follow-up review to assess the general effort and specific actions undertaken by the GEF LDCF Secretariat in response to the conclusions and recommendations presented in the evaluation report, and to provide an account of recent activities under the LDCF. At the time of the Joint Evaluation of the LDCF, the fund was still in its first phase and grants to beneficiaries only covered the development of NAPAs. Since then the LDCF has proceeded into a new phase of funding concrete adaptation activities. This technical paper outlines preliminary findings of a quality-at-entry review of a sample of projects approved to implement NAPAs to assess the extent to which they respond to key issues identified by NAPAs and project design quality. The paper is part of a LDCF Evaluation update following two preceding evaluations on the LDCF conducted by the GEF Evaluation Office and DANIDA.

7. The analysis used a sample of 51 projects, representing 35 countries, approved to implement NAPAs, under the LDCF trust fund modality and is comprised of 47 full-size projects (FSPs) and 4 medium-size projects (MSPs). The overall results for the cohort of approved NAPA implementation projects have a 90 percent probability of being within a 10 percentage point of the results that this study found in the sample. We therefore report the findings in this paper with caution as preliminary findings that will form part of a larger study with a higher confidence level. This first phase will inform the final report of OPS5. The work

² GEF Evaluation Office and DANIDA. 2009. Joint External Evaluation: Operations of the Least Developed Countries for Adaptation to Climate Change.

will continue and the second phase will be reported on in a chapter of the LDCF/SCCF Annual Evaluation Report.

3.1 Key finding

8. The key findings are:

- **Key Finding 1:** A large majority of the projects are aligned with their NAPA
- **Key Finding 2:** The primary priority addressed in NAPA implementation projects was Agriculture
- **Key Finding 3:** Agriculture was the key adaptation issue in NAPAs
- **Key finding 4:** All projects were found to be consistent with LDCF strategies, eligibility criteria, and priorities

9. NAPAs were assessed to determine key adaption priorities as well as ranking of priorities. The primary adaptation priority/sector of each LDCF project was determined based on information from project documents as well as LDCF primary sector listings. The degree of alignment to NAPA priorities was based on the degree to which the project responded to the highest ranked priorities. The highest degree of alignment being that of addressing the highest ranked priority identified in the NAPA.

10. Fifty-eight percent of projects in the sample showed very high alignment with the NAPA, i.e. that they addressed the highest priority identified in the relevant NAPA. None of the projects in the sample showed little or no alignment with the relevant NAPA. The highest ranked adaptation priority in NAPAs was agriculture; 98 percent of NAPAs included Agriculture as a priority and in the sample agriculture (and food security was the Highest Primary priority in projects at 35 percent.

11. The evaluation also reviewed the overall relevance of the projects at design stage within the broader context of the NAPAs and LDCF criteria and priorities. This included alignment with other national priorities, as well as the degree of partnerships with key stakeholders, risk assessments (presence of risk assessment and mitigation strategy), and degree of gender based inclusion in adaptation activities at project design. A large majority of the projects in the sample were aligned with LDCF strategy and priorities, and a large majority of projects aligned with national priorities as well. A large majority included wide stakeholder involvement, particularly with community based organizations (84 percent of the projects were planning at design to work with CBOs). Projects are assessing risks and 96 percent of the projects included a mitigation strategy. Ninety-one percent of projects have a gender strategy, but only 33 percent have gender disaggregated indicators in their monitoring and evaluation plans.

12. In conclusion, countries are developing their NAPA implementation projects in alignment with the relevant NAPA in leading the country in the right direction in adaptation to the adverse effects of climate change. The findings are preliminary findings that will form part of a larger study with a higher confidence level.

3.2 Background on LDCF

13. NAPAs were established under article 4.9 of the UNFCCC to “provide a process for the Least Developed Countries to identify priority activities that respond to their urgent and

immediate needs with regard to adaptation to climate change—those needs for which further delay could increase vulnerability or lead to increased costs at a later stage.”³

14. The LDCF was established as a funding mechanism for LDCs, at its seventh Conferences of Parties (COP 7) to access funding to prepare and implement their NAPAs. The GEF manages the LDCF. The LDCF supports the preparation and the implementation of the NAPAs. Eligible LDCs can then access funding from the LDCF to implement the immediate adaptation needs of their as specified in the NAPAs. As of October 2013, 51 least developed countries (LDC) had received \$12.20 million in support of the preparation of their National Adaptation Programmes of Action (NAPA), of which 49 have been completed.^{4 5}

15. Through a country-driven and participatory approach, the NAPA process identifies adaptation needs of the country and prioritizes immediate needs for adaptation and list priority projects for funding. NAPA implementation projects therefore are expected to be closely aligned to their immediate needs as specified in the NAPA. Projects are accessing funds for adaptation needs such as agriculture and food security, disaster risk management, water resources management, natural resources management (NRM), health, climate information systems, coastal zone management and infrastructure development.

16. The GEF Evaluation Office in partnership with DANIDA conducted an evaluation of the LDCF “to analyze and document the results and lessons learned from the operations of the LDCF in financing and promoting climate change adaptation.”⁶ The joint evaluation of the Least Developed Countries Fund (LDCF) was completed in 2009. The purpose of the evaluation was to assess the results and lessons learned from the operations of the LDCF (including countries, agencies, donors, and Secretariat) in financing and promoting adaptation in LDCs.

17. The joint evaluation found that overall, the LDCF had accomplished the main target of supporting preparation of NAPAs in the majority of the LDCs eligible for support from the fund. In 2010, DANIDA funded a follow-up review to assess the general effort and specific actions undertaken by the GEF LDCF Secretariat in response to the conclusions and recommendations presented in the evaluation report, and to provide an account of recent activities under the LDCF. The overall conclusion is that substantial efforts have been made in response to the recommendations. The capacity of the Secretariat had been increased with additional staff, guidance to LDCs on how to access the Fund had been produced, as well as new project monitoring tools. The follow-up recommended further work on the implementation of NAPAs and encouraged donors and other stakeholders to follow these initiatives more closely.

18. At that time of the joint evaluation of the LDCF, the fund was still in its first phase and grants to beneficiaries only covered the development of NAPAs. Since then the LDCF has proceeded into a new phase of funding concrete adaptation activities. As of October 4, 2013,

³ https://unfccc.int/adaptation/workstreams/national_adaptation_programmes_of_action/items/7567.php.

⁴ Council Document GEF/LDCF.SCCF.15/03. October 6, 2013. Progress Report on the Least Developed Countries Fund and the Special Climate Change Fund.

⁵ South Sudan has not yet submitted NAPA to UNFCCC, but was approved to access LDCF resources for NAPA preparation in August 2013. Two of the NAPAs completed are by Cape Verde and Maldives, countries which are no longer classified as LDCs.

⁶ GEF Evaluation Office and DANIDA. 2009. Evaluation of the operation of the Least Developed Countries Fund for Adaptation to Climate Change.

of the 49 countries that had completed their NAPAs, 46 had accessed a total of \$628.15 million for 120 projects to address their urgent and immediate adaptation needs in Africa, Asia and Latin America and the Caribbean.⁷ In addition, a medium-size project (MSP) of \$2.19 million, aiming to support the preparation of the National Adaptation Plan (NAP) process in LDCs, was approved by the GEF CEO.⁸

3.3 Methodology and data collection for LDCF review

19. This update of the LDCF evaluation conducted a quality-at-entry review of a sample of projects approved to implement NAPAs to assess the extent to which they respond to key issues identified by NAPAs and project design quality. OPS5 aims to synthesis conclusions and evaluative evidence on adaptation to climate change. The findings and conclusion of the first phase of the update of the LDCF evaluation will inform the final report of OPS5. A second phase of the evaluation will continue the work and will be reported to the LDCF/SCCF Council in the Annual Evaluation Report. Although the LDCF is not part of the GEF replenishment process including the activities of LDCF in OPS5 will lead to a better understanding of adaptation to climate change.

20. The key evaluation question is: Are the NAPA implementation projects aligned with the relevant NAPA in leading the country in the right direction in adaptation to the adverse effects climate change?

21. The sample of 51 projects the evaluation team reviewed represented 35 countries and is comprised of 47 FSPs and 4 MSPs. Details are presented in the following sections on sample description. The overall results for the cohort of approved NAPA implementation projects have a 90 percent probability of being within a 10 percentage point of the results that this study found in the sample. We therefore report the findings in this paper with caution as preliminary findings that will form part of a larger study with a higher confidence level. The projects analyzed were at different stages of approval and implementation. Nineteen were under implementation, 26 were Council approved, 5 CEO endorsed and 1 CEO approved. NAPAs were assessed to determine key adaption priorities and ranking of priorities.

22. The primary adaptation priority/sector of each LDCF project was determined based on information from project documents and LDCF primary sector listings. The degree of alignment to the NAPA priorities in the relevant country was based on the degree to which the project responded to the highest ranked priorities. The highest degree of alignment being that of addressing the highest ranked priority identified in the NAPA of the relevant country. The evaluators also reviewed the overall relevance of the projects at design stage within the broader context of the NAPAs, and LDCF criteria and priorities. This Included alignment with other national priorities as well as the degree of partnerships with key stakeholders. Attention was also given to gender issues and women as agents of adaptation. This entailed an assessment of the degree of inclusion of gender aspects to climate vulnerability at project design, which is a guiding principle for NAPAs.

⁷ Council Document GEF/LDCF.SCCF.15/03. October 6, 2013. Progress Report on the Least Developed Countries Fund and the Special Climate Change Fund.

⁸ <http://www.thegef.org/gef/LDCF> and Council Document GEF/LDCF.SCCF.15/03. October 6, 2013. Progress Report on the Least Developed Countries Fund and the Special Climate Change Fund.

23. Data was collected through:

- Literature review: a review of the relevant NAPAs as well as of LDCF documentation including relevant Council documents, policies, and procedures. All relevant and available evaluations conducted by the GEF Evaluation Office, GEF Agencies, GEF partners, bilateral donors, and others were also reviewed.
- Quality at entry: an assessment of the quality at entry of projects that have been approved to implement NAPAs. This entailed a desk review of a sample of 51 projects assessing the extent to which they responded to key issues identified by NAPAs and to assess design quality. The analysis used a survey protocol (see annex 3) to undertake a desk review of the projects, to collect quantitative and qualitative data.

3.4 Sample description

24. NAPA implementation projects can either be FSPs or MSPs. Under the LDCF funding modality, projects over \$2 million are referred to as FSPs; those of \$2 million or below are referred to as MSPs. At project design 92 percent of the NAPA implementing projects in the sample are FSPs, while MSPs represented 8 percent of the total.

25. NAPA implementation projects follow a streamlined approval process. Please see figure 2 for a sample project approval process. Generally, the LDCF approval process for NAPA priority projects consists of the following two steps:⁹

- a. Project Identification Format (PIF) approval: PIFs can be submitted on a rolling basis. LDCF administration review of the PIF takes place within a maximum of ten days. Upon clearing for LDCF Council approval the PIF is posted on the GEF website for four weeks for review by the LDCF Council on a 'no objection basis.' Following clearance for Council approval, the project is eligible for a project preparation grant (PPG). Once the PIF is approved by the LDCF Council, the proposed funding is reserved.
- b. CEO endorsement requests: CEO endorsement requests can be submitted at any time no later than the date indicated in the PIF and approval letter. CEO endorsement requests, based on a fully developed project document, are reviewed and endorsed by the GEF Secretariat on a rolling basis. After a 10 day review period in the Secretariat, projects are either endorsed by the CEO (subject to four weeks of LDCF Council review), or returned to the relevant Agency with indication of issues preventing recommendation for CEO endorsement.

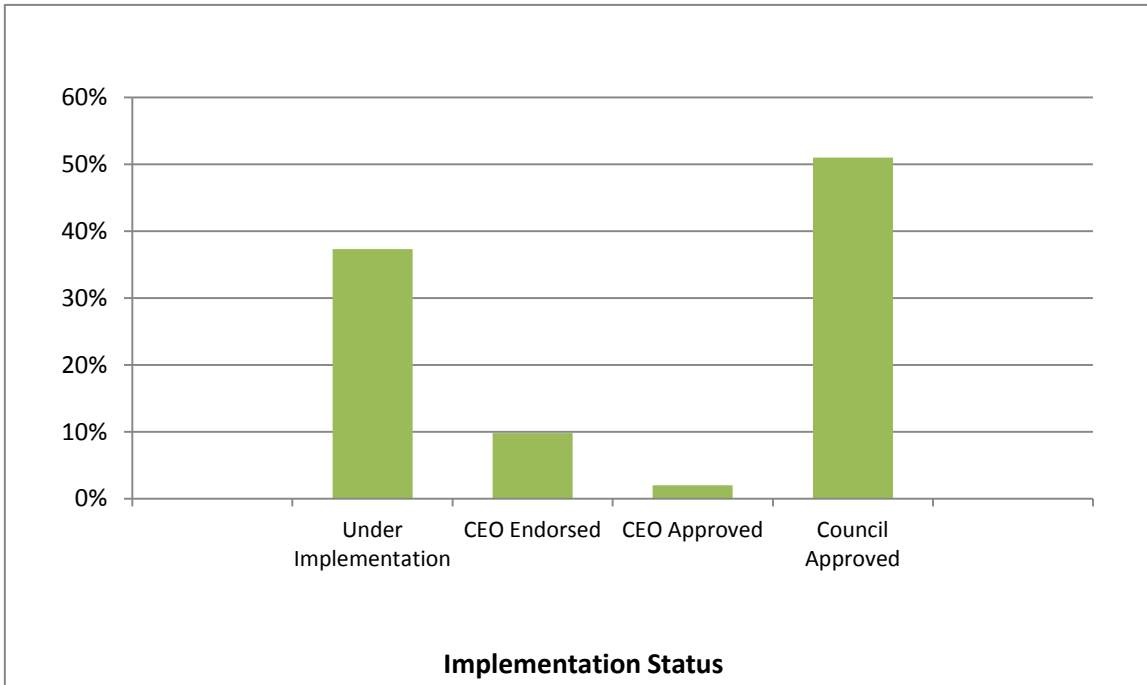
26. For FSPs, the general steps of the LDCF project cycle include submission of a PIF, including a PPG if desired (PPG, this is optional) after which CEO clearance is required. Upon approval of the PIF by the CEO, the LDCF/SCCF Council approves the PIF and the GEF Agency then works with the Project Proponent to develop the project fully into a detailed Full Project Document (FPD). The Council reviews and approves the FPD and GEF CEO endorses the project, after which it is ready for implementation.¹⁰

⁹ GEF Evaluation Office and DANIDA. 2009.

¹⁰ Biagini, B and Dobardzic, S. 2011. Accessing Resources under the Least Developed Country Fund. Available at <http://www.thegef.org/gef/node/4433>.

27. MSPs are approved by the CEO and undergo a one step process for approval. If a PPG is sought by the project proponent, an approved PIF is required for MSPs. A detailed FPD is submitted and if CEO approved implementation can begin.¹¹

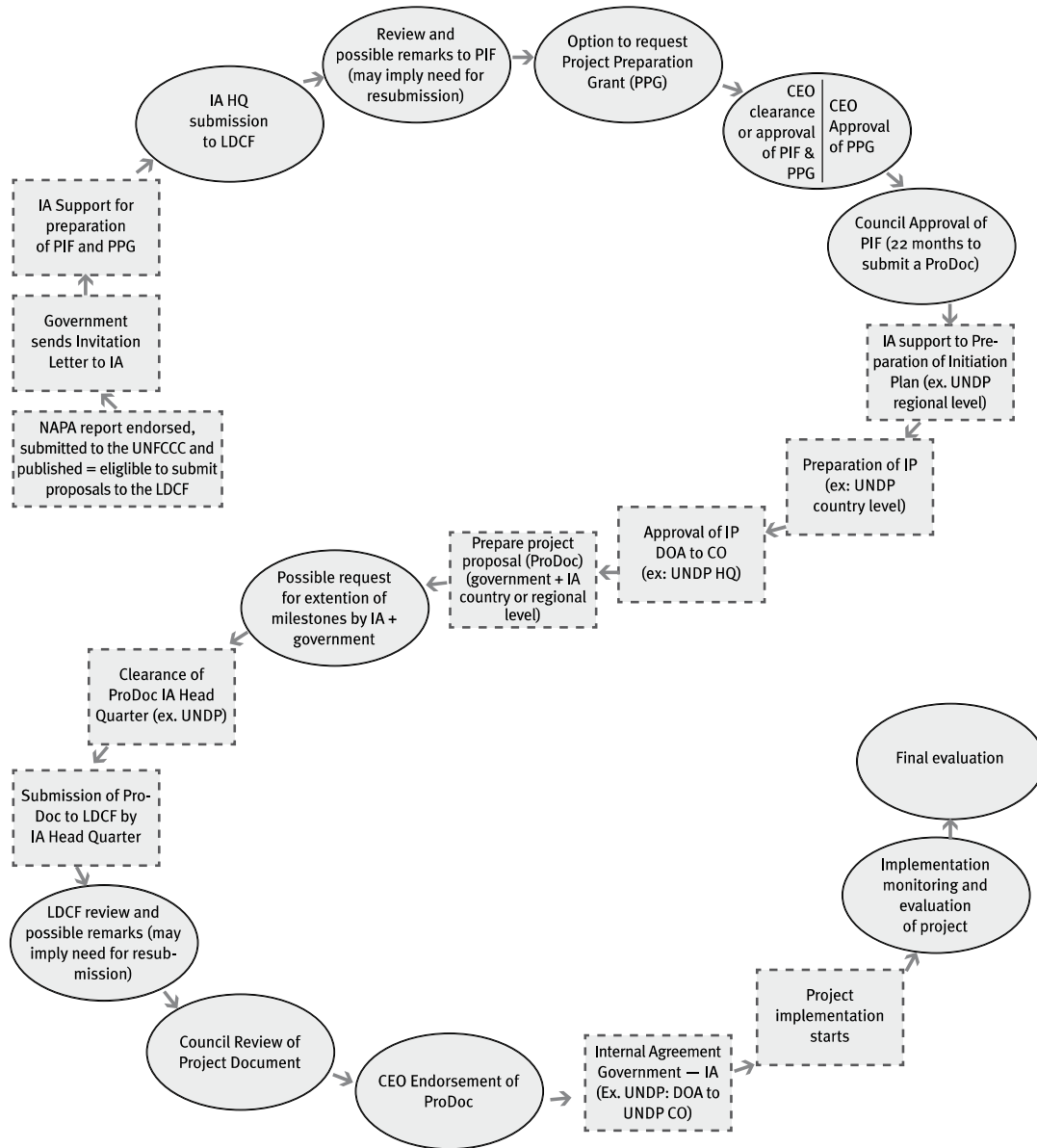
Figure 1: Percentage of Projects by Approval Status



28. Figure 1 above shows the implementation status of the projects in the sample. More than half the projects (51 percent) are Council approved, indicating that only a PIF has been approved. 10 percent of the projects are CEO endorsed and 2 percent CEO approved (this applies only to MSPs) and 37 percent are under implementation.

¹¹ Ibid.

Figure 2: LDCF Project Cycle for Preparing NAPA Implementation Projects (with UNDP as a GEF Agency)¹²

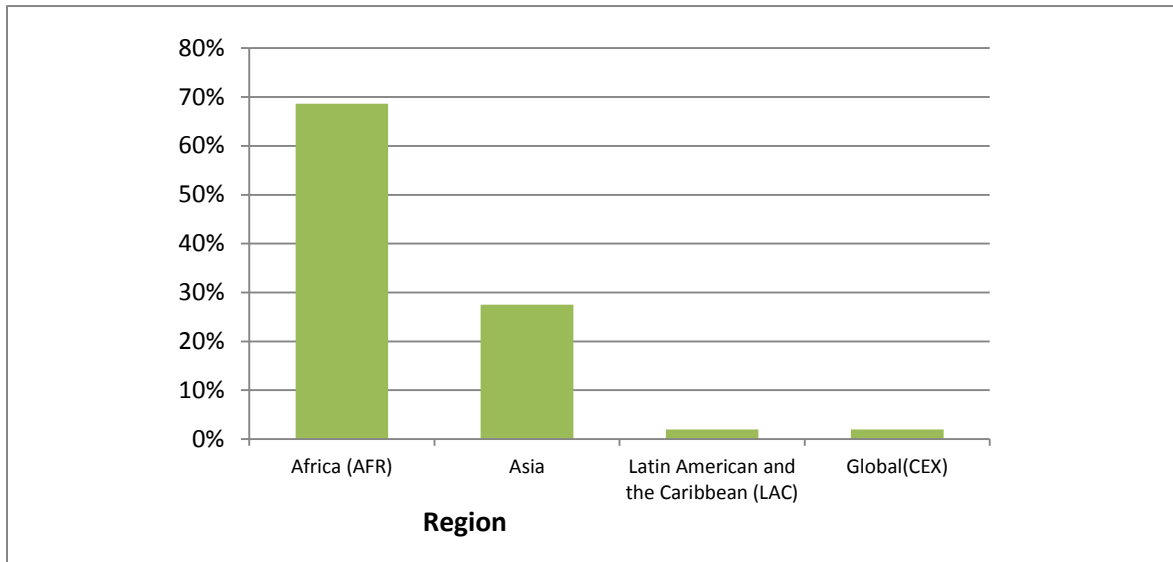


Notes: Boxes indicate actions taken by the governments and/or the GEF Agencies (in this case UNDP procedures are used to illustrate the process which a NAPA implementation project needs to undergo if UNDP acts as the implementing agency). Circles indicate actions by the LDCF administration, GEF CEO or LDCF/SCCF Council.

¹² GEF Evaluation Office and DANIDA. 2009, p. 37.

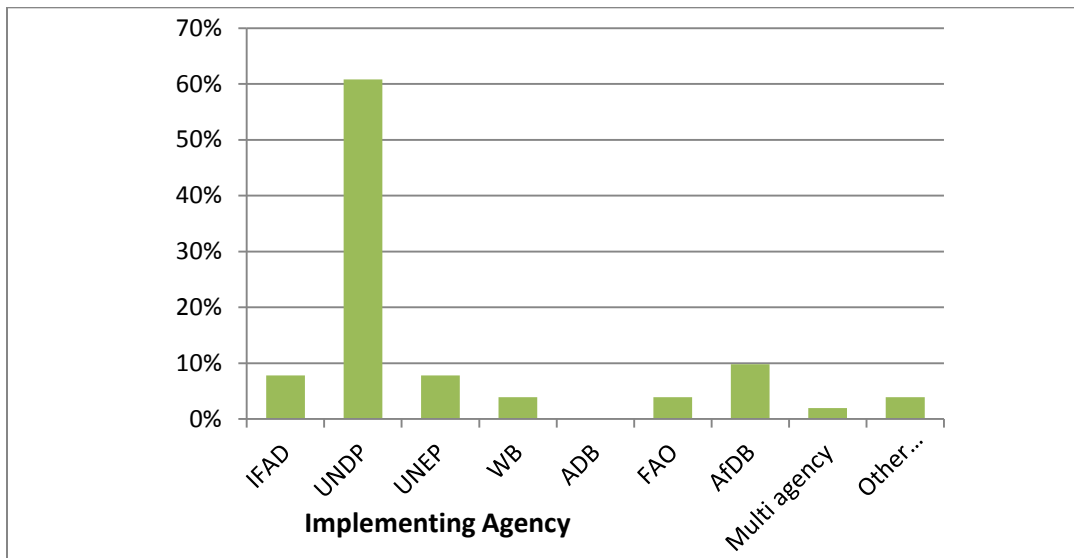
29. Most of the projects in the sample are from the Africa region (74 percent), followed by Asia (21 percent) and by Latin America and the Caribbean,¹³ and one global project respectively which together represented four percent of the distribution (see figure 3). The regional distribution of the sample and LDCF programming reflects the distribution of LDCs, a large majority of which are located in Africa.

Figure 3: Percentage of Projects by Region



30. UNDP is the lead GEF Agency with 68 percent of the projects in the sample. The AfDB represented ten percent of the projects with IFAD, UNEP (8 percent each), FAO (6 percent), and World Bank (4 percent). Multi-Agency projects represented 4 percent of the total (figure 4).

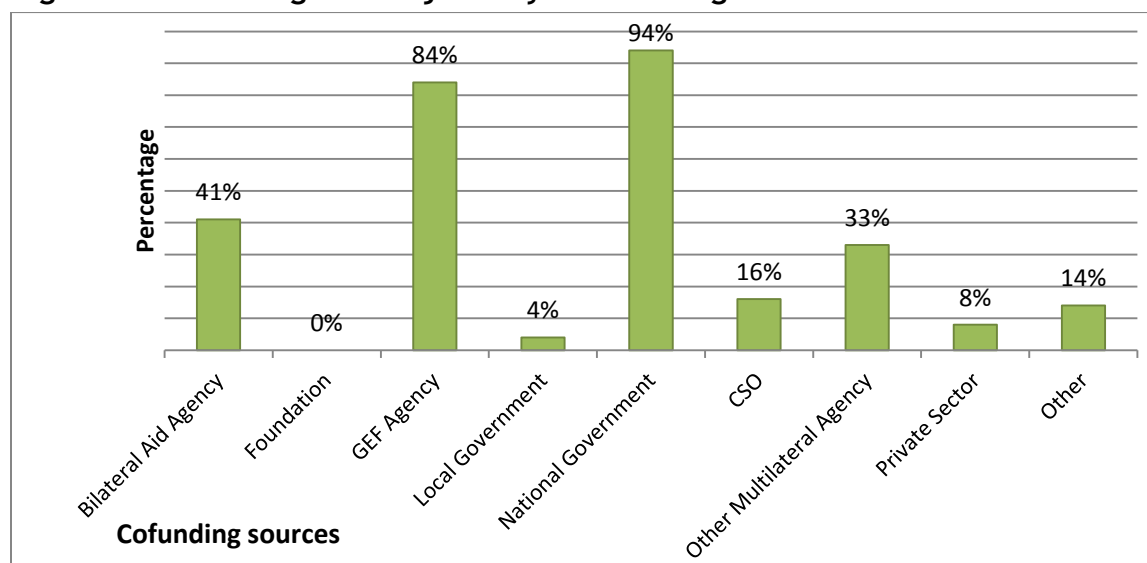
Figure 4: Percentage of Projects by GEF Agency



¹³ One project in Latin America and the Caribbean in Haiti.

31. Ninety-Four percent of the projects indicated National Governments as sources of cofinance at project design. Cofinancing from a local government authority represented 4 percent of the total. GEF Agencies represented 84 percent, followed by bilateral agencies (42 percent) (see figure 5). Civil society organizations (CSO) represented 16 percent of cofinancing sources, mostly from International NGOs, and the private sector represented 8 percent of cofinancing sources.

Figure 5: Percentage of Projects by Cofinancing Source



3.5 Key findings

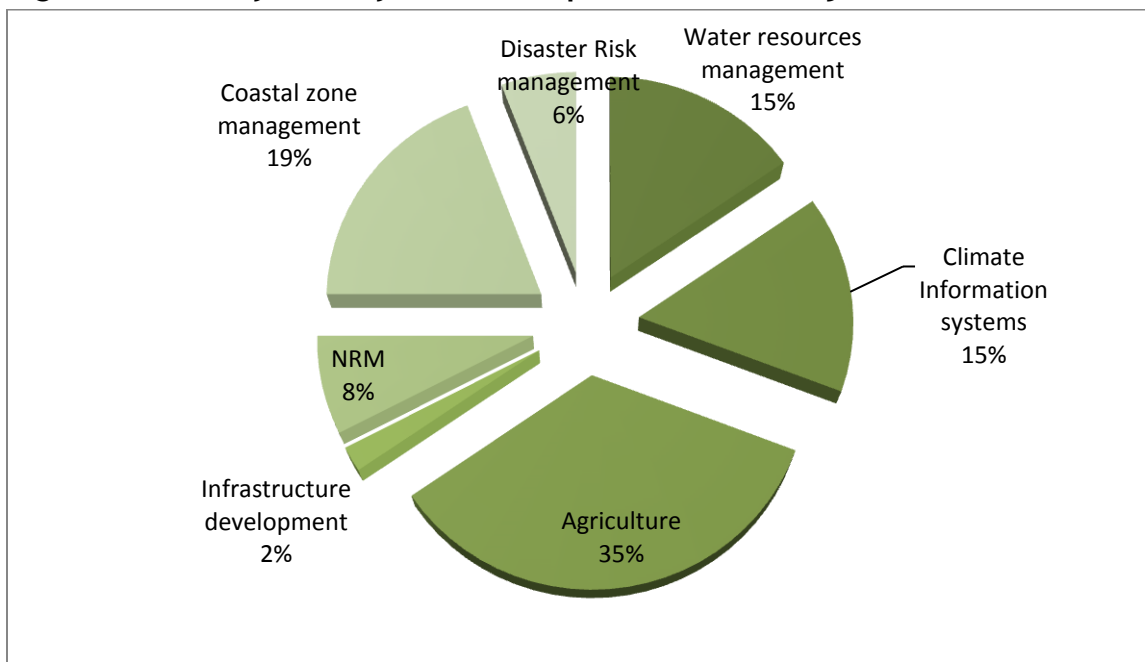
32. **Key Finding 1:** A large majority of the projects is aligned with their NAPA. Alignment to the NAPA was measured by the degree with which NAPA implementation projects responded to the priority adaptation needs listed in the NAPA. A rating of very high indicated an alignment of the projects primary priority to the highest ranked adaption need as outlined in the NAPA. Table 1 below shows the degree by percentage of projects alignment with NAPA priorities. All projects were aligned to their respective NAPA with 58 percent showing a very high degree of alignment and 42 percent a high alignment, i.e. more than half of projects were aligned with their respective country's highest priority.

Table 1: Alignment with NAPA of Relevant Country

Degree of alignment to NAPA	Percentage of NAPA implementation projects (%)
Very high: project's primary priority addresses first priority as listed/outlined in NAPA	58
High: project's primary priority does not address first priority but addresses one or more of the other listed/outlined priorities in NAPA	42
Low: project does not adequately address the specific priorities outlined in NAPA	0
None: Project does not address any of the priorities outlined in NAPA	0
Total	100

33. **Key Finding 2:** The primary priority addressed in NAPA implementation projects was Agriculture. NAPA implementation projects are designed to respond to key priority adaptation needs identified in the Country’s NAPA development process and listed and ranked in the NAPA document itself. For each project analyzed, the primary priority that the project intends to address was identified. Agriculture emerged as the key priority in the NAPAs submitted to the UNFCCC. It was subsequently the highest priority for NAPA implementation projects analyzed. As shown in figure 6, the highest primary priority in project sample was agriculture at 35 percent. Infrastructure development was the least priority with only one project in the sample addressing it.¹⁴ Others include coastal zone management (20 percent), water resources management (16 percent), climate information systems (16 percent), NRM (8 percent), and disaster risk reduction at (6 percent) respectively. Human health was not listed as a primary priority in any of the projects. At the regional level, 89 percent of projects from the Africa region indicated agriculture as their highest priority and 11 percent from Asia.¹⁵

Figure 6: Primary Priority in NAPA Implementation Projects



34. **Key Finding 3:** Agriculture was the key adaptation issue in NAPAs. The NAPAs list and then rank key priority needs for adaptation. Priority projects are then listed in order of highest priority for a particular country. Table 2 shows the key adaptation issues listed in all NAPAs analyzed. Agriculture was listed as a key adaptation need in 98 percent of NAPAs analyzed, followed by NRM and water resource management at 90 percent each respectively.

¹⁴ GEF ID 4696 - Strengthening the Resilience of Small Scale Rural Infrastructure and Local Government Systems to Climatic Variability and Risk, Timor Leste.

¹⁵ LAC and Global projects did not list agriculture as their highest priority.

Table 2: Key Adaptation Issue by Percentage in all NAPA

Adaptation issues in NAPAs	Percent of NAPAs (%)
Agriculture	98
Water resources management	90
NRM: Fragile ecosystems (incl. mountain ecosystems), afforestation, land management, land degradation	90
Human Health	76
Climate Information systems	60
Coastal zone management	50
Other, for example energy sector	46
Infrastructure development	40
Disaster Risk management	22

35. **Key finding 4:** All projects were found to be consistent with the LDCF strategies, eligibility criteria, and priorities. Other quality-at-entry parameters were analyzed including alignment with LDCF strategy and priorities. The LDCF was created with the objective of supporting urgent and immediate adaptation needs in the LDCs as identified in the NAPAs. A recent analysis by the LDCF shows that “the portfolio of projects approved under the LDCF contributed towards all three objectives of the Fund.”¹⁶

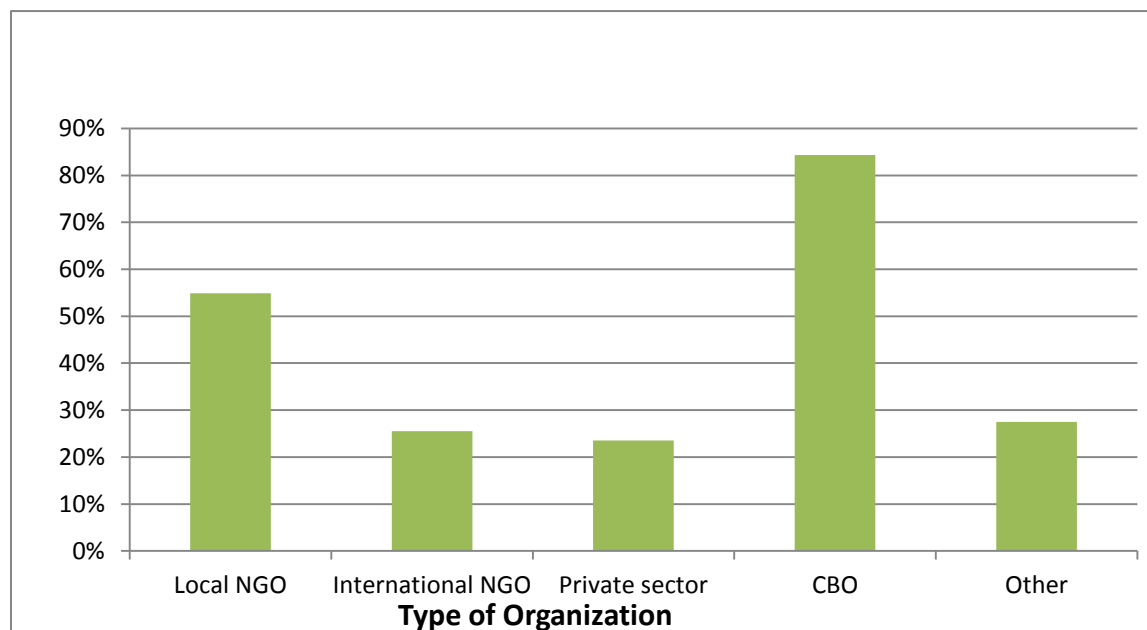
36. The projects in the sample were found to be aligned with LDCF goals since they were aimed at funding the additional costs associated with addressing adaptation needs. They also conform to the LDCF’s eligibility criteria, namely: 1) a country driven approach; 2) implementing the NAPA priorities; 3) supporting a “learning-by-doing” approach. This included alignment with national development priorities, stakeholder partnerships, presence of risk assessments and mitigation strategies as well as degree of gender mainstreaming including presence of gender strategy and indicators.

37. On close analysis the NAPA implementation projects are well aligned with other national development priorities. They were aligned with the key national policies on land use planning, environment, disaster risk management, decentralization and privatization such as, National Adaptation Priorities (NAPs), National Biodiversity Strategies and Action Plans (NBSAPs), national communications to the UNFCCC, Technology Needs Assessments (TNAs), National Implementation Plans (NIPs), Poverty Reduction Strategy Papers (PRSPs), and national Planning Frameworks (NPF). The projects were also aligned with the most immediate and urgent adaptation needs and gaps as outlined in the relevant NAPA.

38. Partnerships are an integral component in the design of NAPA implementation projects. The analysis assessed the extent to which the project at design plans to work with other partners to achieve their goals. Partnerships included in the analysis were with national governments, local government institutions, CSOs, private sector and of course project beneficiaries such as local community based organizations.

¹⁶ Council Document GEF/LDCF.SCCF.14/03. May 23, 2013. Progress Report on the Least Developed Countries Fund and the Special Climate Change Fund.

Figure 7: Percentage of Projects by Partnerships (CSO and Private Sector)



39. The majority of projects indicated partnerships with national governments with 96 percent of the projects partnering with a line Ministry for implementation (figure 7). The role of the line ministry was predominantly as executing agency (94 percent). Ninety-one percent of the projects indicated that they would receive support from the government (local and national) most prominently as a source of in kind financing (80 percent), with 51 percent receiving cash.

40. A large majority of projects included partnerships with non-governmental institutions, particularly with Community based organizations. Eighty-four percent of the projects were planning at design to work with CBOs and 55 percent with a local NGO group. Twenty-four percent indicated private sector partnerships particularly those focusing on urban water resources management and infrastructure development. International NGOs represented 26 percent of partnerships. Other groups included universities, schools, trust funds and radio stations.

41. The role of the CBO and/or private sector institutions was predominantly a participatory role during project implementation. Six percent would have a role as national executing agency and this included international NGOs and private sector. On the other hand, 17 percent were providing some cofinancing including international NGOs and some project beneficiaries such as CBOs. Box 1 below describes a NAPA implementation project that will use a multi-partnership approach to strengthen the resilience of infrastructure to climate variability in Timor Leste.

Box 1: Using Multiple Partnerships to Strengthen the Resilience of Small Scale Rural Infrastructure and Local Government Systems to Climatic Variability and Risk in Timor Leste

The **Strengthening the Resilience of Small Scale Rural Infrastructure and Local Government Systems to Climatic Variability and Risk** project aims to design and implement climate resilient small scale infrastructure in rural Timor Leste, through participatory approaches and strengthened local governance systems, reflecting the needs of communities vulnerable to increasing climate risks. The project proponents plan to use a wide range of partnerships to achieve the project's goal.

Government Ministries: The Ministry of Economy and Development, Ministry of State Administration and Territorial Management and the Ministry of Infrastructure are the lead executing agencies and will provide cofinancing for the project.

International and Local NGOs and Universities: NGOs and academic institutions will provide advice on improvement of community mobilization processes and development of methodologies, climate resilience innovation technology and infrastructure designs, curriculum development and implementation of capacity development and training, research, and case studies. They will also support the project with awareness raising materials and activities and for joint climate resilience knowledge development and sharing through a knowledge platform. They will also support policy advocacy.

Private Sector: The private sector is expected to implement the infrastructure components of the project and provide advice on improvement of infrastructure designs and assist with contract documents. The project has also identified the private sector as a target group for training on construction standards of climate resilient rural infrastructure.

CBOs and Traditional Authority: The project has identified CBOs and traditional authorities to provide local knowledge to the implementation of the project. They will also support all project stakeholders in acquiring adequate understanding of local realities. Additionally they will facilitate the development of practically feasible solutions and facilitate local planning.

42. Generally, NAPA implementation projects are assessing risks and a large majority (96 percent) included a risk mitigation strategy. Common risks highlighted by projects include Risks include:

- Political instability
- Political resistance
- Limited capacity of government partners
- Lack of political will
- Turnover of government staff
- Cultural and social resistance
- Occurrence of natural disasters: storms, flooding, earthquakes

43. A guiding principle for the development of NAPAs is the inclusion of gender aspects to climate vulnerability. The analysis assessed the degree of inclusion of gender aspects of climate vulnerability at project design.¹⁷ Overall a high percentage of projects (94 percent) have a gender strategy. However only 33 percent have gender disaggregated indicators in their monitoring and evaluation. This will be further explored in relation to the introduction of the adaptation results based management tracking tool in the next phase of the evaluation. Box 2 describes a NAPA implementation project in Malawi that included a comprehensive gender strategy at project design.

Box 2: Including a Comprehensive Gender Strategy to Climate Proof Local Development in Rural and Urban Areas of two Districts in Malawi

The goal of the **Climate proofing local development gains in rural and urban areas of Machinga and Mangochi Districts in Malawi** project, is to use ecological, physical and policy measures to reduce vulnerability to climate change driven droughts, floods and post-harvest grain losses for rural and urban communities of Machinga and Mangochi Districts of Malawi (reaching over 0.5 million people).

This project will secure the productivity gains of rural and urban communities in spite of climate change driven risks, primarily in two districts (Mangochi and Machinga), which cover an area of over a million hectares with a total population of about one million people. Women and youth constitute a large percentage of farmers. The project proponents realize that climate change affects men, women and children differently in Malawi, making the gender dimension of equality and women's empowerment a critical consideration in the design of the project.

The proponents also realize that the participation of all sectors of the population (men, women, and youth) is critical for identifying appropriate adaptation measures and their sustainability. They also recognized the importance of securing the right partnerships to implement its gender strategy. It will partner with the Ministry of Gender, Child and Community Development, to ensure equitable development across gender and communities

The project will ensure that broad participation of all relevant gender groups through formulation of a gender strategy to guide targeting of project initiatives.

44. In conclusion, a large majority of the NAPA implementation projects are aligned with their respective NAPA, thus indicating NAPA implementation projects are leading the country in the right direction in adaptation to the adverse effects climate change. The primary priority addressed in NAPA implementation projects was agriculture which was the key adaptation issue in their respective NAPA. The findings are preliminary findings that will form part of a larger study with a higher confidence level. The analysis looked at project design only and implementation may look different.

¹⁷ See GEF Policy on Gender Mainstreaming (PL/SD/02 May 1, 2012) available at <http://www.thegef.org/gef/policy/gender>; and GEF Council Document GEF/LDCF.SCCF.9/Inf.4. October 20, 2010. Updated Results-Based Management Framework For The Least Developed Countries Fund (LDCF) and the Special Climate Change Fund (SCCF) and Adaptation Monitoring And Assessment Tool.

4. Progress of the SCCF

45. The Evaluation of the SCCF was conducted and completed in 2011. It covered 35 projects and aimed to collect evaluative evidence on the progress toward SCCF objectives as well as main achievements and lessons learned during a decade of SCCF implementation. The evaluation assessed the relevance of the SCCF programming and project portfolio to the guidance of the UNFCCC, the GEF, and recipient countries' sustainable development agendas. It also reviewed the effectiveness and efficiency of the SCCF programming and portfolio in achieving objectives and expected outcomes.

46. One significant conclusion on effectiveness was that SCCF projects employ innovative approaches to overcome the lack of data on many emerging adaptation issues. For example, the SCCF portfolio features innovative ways to cope with the limitations of climate data and modeling and making use of existing scientific knowledge to provide a basis for locally implemented adaptation activities. The majority of SCCF projects include comprehensive strategies for generating a scientific baseline to adaptation activities by interpreting existing data regarding their significance for the project's geographic, social, and political context. Also, several SCCF projects make extensive use of participatory vulnerability assessment methods incorporating experiences from local communities into the adaptation activity design. These approaches will have to prove their ultimate effectiveness over time, but show promising intermediate achievements toward project objectives.

4.1 Methodology

47. This evaluation reviewed the progress of the SCCF since the 2011 evaluation in terms of new approvals and reporting on results and implementation of the innovative approaches identified by the SCCF evaluation. The database including information on project status, financing, implementation institutions, themes, countries, and regions was updated. The team conducted a desk review of available project monitoring and evaluation documents including project implementation reports (PIRs), mid-term reviews (MTRs), and terminal evaluations (TEs) to assess the progress in achieving results of the projects using innovative approaches.

48. OPS5 aims to synthesis conclusions and evaluative evidence on adaptation to climate change. The findings of the review of progress of the SCCF will inform the final report of OPS5 and will be reported to the LDCF/SCCF Council in the Annual Evaluation Report. Although the SCCF is not part of the GEF replenishment process including the activities of SCCF in OPS5 will lead to a better understanding of adaptation to climate change.

4.2 Portfolio composition and evolution

49. The SCCF portfolio of 35 approved projects has grown considerably since the 2011 SCCF evaluation. The updated SCCF portfolio¹⁸ consists of a broad variety of activities and comprises 58 approved projects, of which 41 are national, 13 are regional, and 4 are global. The majority of the projects (50) are funded under the SCCF-A (adaptation) window, of which 43 are FSPs and 7 are MSPs. The remaining 8 projects are funded under the SCCF-B

¹⁸ The portfolio included in this analysis includes projects approved as of October 4, 2013. See Council Document GEF/LDCF.SCCF.15/03.

(technology transfer) window and they are all FSPs. The SCCF-C and SCCF-D windows remain unfunded.

50. The overall project portfolio amounts to \$242.3 million; overall cofinancing¹⁹ is \$1,755.3 million for the 58 projects. At the time of the 2011 SCCF evaluation the overall portfolio amounted to \$142.6 million with a cofinancing amount of \$843.5 million for 35 projects. The 2011 evaluation found that most of the cofinancing was coming from other GEF-administered funding sources and national governments: 36 percent and 44 percent, respectively. CSOs and the private sector were responsible for the least amount of cofinancing, each contributing only 1 percent of total. This evaluation did not look into the amounts of cofinancing.

51. The largest number of SCCF projects is implemented through UNDP—19, all of which are under SCCF-A (table 3). Thirteen projects are implemented through the World Bank, six through IFAD, four through UNEP, three through the European Bank for Reconstruction and Development, three through FAO, and three through AfDB. Finally, two projects are implemented through ADB, and two through IADB. ADB is co-implementing a project with UNDP and a program with UNEP. UNDP and the World Bank are also co-implementing a project.

52. The World Bank and UNDP together account for 62 percent of total SCCF project funding. The Bank's share (33 percent) reflects the fact that its projects are larger—an average of \$6.2 million each, compared to \$3.6 million for UNDP, and \$3.5 million for IFAD. The second largest projects are implemented through AfDB with an average funding of \$4.3 million, however its share represents only 5 percent of the SCCF portfolio (figure 7).

53. The World Bank's SCCF projects also generate the largest amount of cofinancing (31 percent of all cofinancing), with an average of about \$42.0 million per project. However, AfDB generates more cofinancing per project with an average of \$66.2 million per project versus about \$26.0 million per project for UNDP (28 percent of all cofinancing). The project co-implemented by ADB and UNDP is the one generating the most cofinancing with \$145.3 million (table 4).

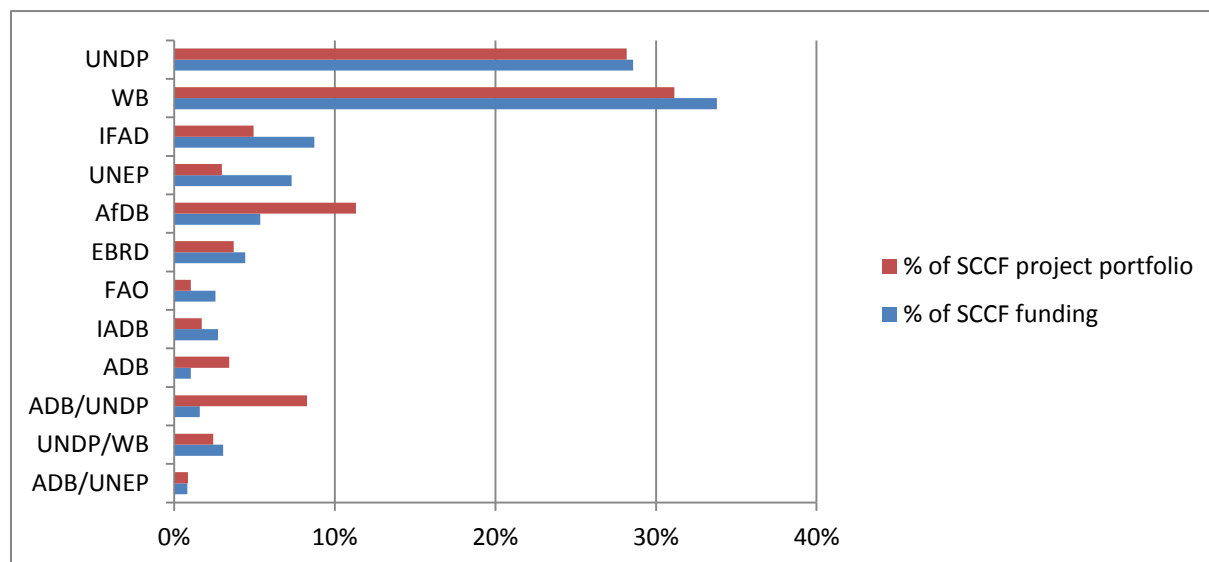
¹⁹ Cofinancing amounts at PIF stage were used if cofinancing information at the endorsement stage was not available.

Table 3: SCCF Project Funding by Window and GEF Agency

Window/ Agency	No. of Projects	SCCF Funding			Cofinancing			Total		
		Million \$	Average (million \$)	% of total	Million \$	Average (million \$)	% of total	Million \$	Average (million \$)	% of total
SCCF-A	50	201.8	4.0	83.3	1,497.5	29.9	85.3	1,699.2	34.0	85.1
ADB	2	2.5	1.3	1.2	60.3	30.2	4.0	62.8	31.4	3.7
ADB/UNDP	1	3.9	-	1.9	145.3	-	9.7	149.1	-	8.8
ADB/UNEP	1	2.0	-	1.0	15.0	-	1.0	17.0	-	1.0
AfDB	1	2.8	-	1.4	21.6	-	1.4	24.3	-	1.4
EBRD	2	8.7	4.4	4.3	52.5	26.2	3.5	61.2	30.6	3.6
FAO	3	6.2	2.1	3.1	18.1	6.0	1.2	24.3	8.1	1.4
IADB	1	4.6	-	2.3	23.7	-	1.6	28.3	-	1.7
IFAD	5	18.8	3.8	9.3	81.1	16.2	5.4	99.9	20.0	5.9
UNDP	19	69.2	3.6	34.3	494.7	26.0	33.0	563.9	29.7	33.2
UNDP/WB	1	7.4	-	3.7	42.6	42.6	2.8	50.0	42.6	2.9
UNEP	2	3.2	1.6	1.6	14.5	7.3	1.0	17.7	8.9	1.0
WB	12	72.4	6.0	35.9	528.1	44.0	35.3	600.6	50.0	35.3
SCCF-B	8	40.5	5.1	16.7	257.8	32.2	14.7	298.3	37.3	14.9
AfDB	2	10.2	5.1	25.2	177.0	88.5	68.7	187.2	93.6	62.8
EBRD	1	2.0	-	4.9	12.6	-	4.9	14.6	-	4.9
IADB	1	2.0	-	4.9	6.3	-	2.4	8.3	-	2.8
IFAD	1	2.4	-	5.8	5.7	-	2.2	8.1	-	2.7
UNEP	2	14.5	7.3	35.8	37.7	18.9	14.6	52.2	26.1	17.5
WB	1	9.5	-	23.3	18.5	-	7.2	27.9	-	9.4
All projects	58	242.3	4.2	100.0	1,755.3	30.3	100.0	1,997.5	34.4	100.0
ADB	2	2.5	1.3	1.0	60.3	30.2	3.4	62.8	31.4	3.1
ADB/UNDP	1	3.9	-	1.6	145.3	-	8.3	149.1	-	7.5
ADB/UNEP	1	2.0	-	0.8	15.0	-	0.9	17.0	-	0.9
AfDB	3	13.0	4.3	5.4	198.6	66.2	11.3	211.5	70.5	10.6
EBRD	3	10.7	3.6	4.4	65.1	21.7	3.7	75.8	25.3	3.8
FAO	3	6.2	2.1	2.6	18.1	6.0	1.0	24.3	8.1	1.2
IADB	2	6.6	3.3	2.7	30.0	15.0	1.7	36.6	18.3	1.8
IFAD	6	21.2	3.5	8.7	86.8	14.5	4.9	108.0	18.0	5.4
UNDP	19	69.2	3.6	28.6	494.7	26.0	28.2	563.9	29.7	28.2
UNDP/WB	1	7.4	-	3.1	42.6	-	2.4	50.0	-	2.5
UNEP	4	17.7	4.4	7.3	52.2	13.1	3.0	69.9	17.5	3.5
WB	13	81.9	6.3	33.8	546.6	42.0	31.1	628.5	48.3	31.

Note: - not applicable.

Figure 7: Distribution of SCCF Projects by Agency



54. UNDP, followed by the World Bank, is the Implementing Agency for the largest number of projects in all regions except Latin America and the Caribbean (LAC), and Europe and Central Asia (ECA). In LAC, the World Bank has the largest number of projects (three) and accounts for nearly five times as much funding (\$16.0 million) as UNDP, which has one project totaling \$3.7 million. In ECA, IFAD has the largest number of projects (three) and accounts for \$13.1 million funding, while EBRD has the second largest number of projects (two) with \$8.7 million funding.

55. UNDP is currently implementing 14 FSPs and five MSPs, all under the SCCF-A window. These 19 projects account for almost 29 percent of total SCCF project funding (\$69.2 million). Eleven of the Agency’s SCCF-A projects are in Africa. Agricultural and water resource management components figure most frequently in UNDP’s adaptation projects. UNDP is implementing the only two projects in the SCCF portfolio involving health and disease risk management.

56. The World Bank is implementing 12 FSPs accounting for 36 percent (\$72.4 million) of the total SCCF portfolio allocation. These projects are fairly equally distributed across priority areas under SCCF-A, except for the area of health. The World Bank is implementing one regional technology transfer projects. As noted, the Bank’s projects are significantly larger on average than those of the other GEF Agencies. The largest number of World Bank projects is located in Latin America and the Caribbean (LAC) and Asia, with three projects in each region. Two projects are in Africa (AFR)—one is a national project in Morocco on livestock adaptation (GEF ID3967) and one is a multi-trust fund regional program as part of the Great Green Wall Initiative combating soil degradation (GEF ID 4511); it is also co-implementing an adaptation project in Kenya with UNDP (GEF ID 3249). One World Bank project is in Europe and Central Asia (ECA) and the remaining four projects are regional; two are in LAC, one in ECA, and one implemented in 2 regions Asia and Africa.

57. IFAD is currently implementing six FSPs, all focused on agriculture and together accounting for almost 9 percent (\$21.2 million) of the total portfolio allocation. Three projects are located in ECA, one is in Asia, one is in Africa, and one is in LAC. Five projects are funded under the SCCF-A (adaptation); these primarily feature components in the key priority areas of agriculture, water, and land management. One project is funded under SCCF-B (technology transfer), this projects is in Jordan (GEF ID 4036) and focuses on capacity development to pilot efficient technologies for water use.

58. UNEP is implementing two adaptation MSPs and two technology transfer FSPs. Three of them have a global focus, and together account for 6 percent (\$15.5 million) of the total SCCF portfolio. The last one is an adaptation project in Albania with an Ecosystem-based Adaptation focus. UNEP is responsible for the fourth largest FSP under the SCCF (\$9 million), the Technology Needs Assessment initiative (GEF ID 3907). UNEP also collaborates with ADB in implementing the multi-trust fund Pilot Asia-Pacific Climate Technology Network and Finance Center (GEF ID 4512).

59. ADB implements two projects on its own, one is in India and the other one is a regional project also in Asia (GEF ID 4649), both of them are under the SCCF-A window. Moreover, ADB is the primary Agency contributing cofinancing to the ADB-UNEP implemented regional project (GEF ID 4512). ADB is also jointly implementing a project with UNDP in Vietnam for which it is the primary implementing Agency (GEF ID 3103).

60. The European Bank for Reconstruction and Development is implementing three FSPs, two under the SCCF-A window and one under the SCCF-B window. The project under the SCCF-B window is a regional project in ECA and accounts for \$2 million of the total SCCF portfolio.

61. The three remaining Agencies; AfDB, FAO, and IADB implement eight FSPs, five of them are under the SCCF-A window, while three are under SCCF-B. Three projects are in LAC, one in Africa, and the four remaining are regional projects (AfDB implements two regional projects in Africa, FAO implements one regional project in Africa, and finally IADB implements a regional project in LAC). These three agencies together account for 11 percent of the total SCCF portfolio.

4.3 Innovative approaches

62. In terms of effectiveness and results the evaluation focused on the innovative approaches that had been identified in the project design by the 2011 SCCF evaluation. Projects for which PIRs, MTRs and TEs were available were assessed for progress in achieving results using innovative approaches. Sixteen projects had PIRs available, while only one project (GEF ID 2931) had a MRT available and one project (GEF ID 2832) had a TE available. All 16 projects were funded under the SCCF-A window.

63. In the 2011 evaluation, one significant conclusion on effectiveness (conclusion 7) was that SCCF projects employ innovative approaches to overcome the lack of data on many emerging adaptation issues. Those innovative approaches have been identified at the project design phase. The 2011 evaluation found that “The limited availability of local climatic data, as well as the inadequate ability to analyze these data, represents a significant barrier when designing adaptation activities.” The data at project level cannot be precisely provided by the down-scaling of climate modeling data, which reduces the ability to design and

implement location-specific adaptation projects. Therefore, the evaluation found that to overcome this difficulty, the SCCF portfolio featured innovative approaches making use of the existing scientific knowledge. Some of the instruments used by SCCF projects are “meta-analyses of existing materials and available climate change and variability data, supplemented by sector-specific data related to the project as well as by the use of down-scaled climate modeling data when available.” Projects in the Andean region (GEF ID 2902) and Mexico (GEF ID 3159) were identified as using these types of innovative approaches. Other SCCF projects, especially ones in China (GEF ID 3265) and Tanzania (GEF ID 2832), designed adaptation activities on the basis of available knowledge from participatory vulnerability assessment methods incorporating experiences from local communities to streamline climate change adaptation into water management.

64. The evaluation team reviewed all available PIRs, MTRs and TEs for all 16 projects. Given the limited amount of detail provided in the monitoring reports, it is not possible to derive a consistent understanding of the effectiveness of the innovative approaches. In the PIFs, the innovative approaches at project design are identifiable; however, it is difficult to see the actual effectiveness of these approaches over time. The PIRs describe intermediate achievements but do not necessarily say whether the achievements are due to the innovative approaches or to another component of the project. Although the documentation is insufficient at this time to capture insights on the results of innovative approaches there is the possibility of reviewing the results once more TEs are available for SCCF projects and through other evaluation streams such as Country Portfolio Evaluations.

5. Mainstreaming Resilience and Adaptation to Climate Change in the GEF Focal Areas

65. Resilience to climate change is an intrinsic part of protecting or creating global environmental benefits given the strong convergence of global environmental benefits, development, and adaptation. The Evaluation of the Strategic Priority for Adaptation (SPA) completed in 2010 found evidence of gradual mainstreaming of adaptation and resilience concepts and measures in the GEF focal area strategies as they evolved from GEF-3 to GEF-5 (2010-14). For example, the biodiversity, international waters, and land degradation focal area strategies all integrate climate change issues in a more explicit manner in GEF-3, GEF-4, and GEF-5. Some of the GEF-4 projects had also begun to integrate adaptation and resilience concepts in their designs. Climate change is increasingly being recognized as a threat to the sustainability of the GEF portfolio, and addressing it is increasingly recognized as an intrinsic part of protecting or creating global environmental benefits. The evaluation recommended that the GEF continue to provide explicit incentives to mainstream resilience and adaptation to climate change into the GEF focal areas, as a means of reducing risks to the GEF portfolio.

66. STAP in its advisory document enhancing resilience to reduce climate change risks²⁰ concluded that GEF investments to deliver GEBs are best protected by adopting approaches that simultaneously address climate risks and the objectives of focal areas. It recommended that climate change risk assessment and resilience measures to be mainstreamed across the whole GEF-5 strategy and in the project cycle.

²⁰ Council Document GEF/C.39/Inf.18. November 10, 2010. Enhancing Resilience to Reducing Climate Risks: Scientific Rationale for the Sustained Delivery of Global Environmental Benefits in GEF Focal Areas, A STAP Advisory Document.

67. Currently, GEF Agencies are required to provide information, at PIF stage and CEO endorsement stage, about how the project “takes into account potential major risks, including the consequences of climate change” and what risk mitigation measures are proposed. In November 2012 the GEF Secretariat proposed to Council a new approach and framework for enhancing climate resilience in GEF projects based on focal area priorities and objectives.²¹ The framework will be relevant at both PIF and CEO Endorsement stages. At the PIF/PFD stage, the following is required: a) characterization of potential climate change risks and potential impacts relevant to the project; b) characterization of potential consequences of climate change on Global Environmental Benefits targeted by the project and project beneficiaries; and c) consideration of range of suitable adaptation measures and description of how the final project design will incorporate them. At the CEO Endorsement stage the following is required: a) analysis of projected climate change impacts on the project; and b) evidence of how the project design incorporates measures, practices, or technologies to respond to climate risks and to ensure climate resilience. The GEF Secretariat is finalizing the draft framework document that outlines climate resilience considerations across all focal areas.

68. The GEF has made some progress in harnessing the synergies between climate change adaptation and its other focal areas through multi-trust fund projects. The first report of OPS5 highlighted the growth of multi-trust fund projects. The possibility of combining climate change adaptation activities under LDCF/SCCF with activities funded through focal areas under the main GEF Trust Fund was introduced in GEF-5 as multi-trust fund projects. Given the crosscutting nature of adaptation activities that can complement activities under GEF focal areas, the number of corresponding projects is growing. GEF-5 includes 21 approved projects that combine multi-trust fund projects during GEF-5, has funded 10 with the GEF Trust Fund and two with LDCF as of 30 June 2013. The LDCF has 13 percent in multi-trust fund, eight with GEF Trust Fund in addition to two with SCCF. The remaining project is Nagoya Protocol Implementation Fund (NPIF) and GEF Trust Fund.

5.1 Methodology

69. The evaluation conducted a quality-at-entry review of GEF Trust Fund projects CEO endorsed or approved during GEF-5 to assess the integration of adaptation and resilience concepts into their designs. Out of a cohort of 528 projects (374 FSPs/MSPs and 154 enabling activities [EAs]) a sample of 296 projects (187 FSPs/MSPs and 109 EAs) were reviewed. The overall results for the cohort of approved projects have a 95 percent probability of being within a five percentage point of the result that this evaluation found in the sample.

70. The evaluation team conducted a desk review of project proposals to identify information about how the project “takes into account potential major risks, including the consequences of climate change” and what risk mitigation measures are proposed. The desk review focused on determining whether or not elements of climate change resilience, adaptation measures, and risk mitigation strategies were included in the project design, and how those elements were integrated.

71. The second step of the desk review extracted the information on adaptation or climate change resilience from the Y projects. The climate change resilience information was

²¹ Council Document GEF/C.43/Inf.06. October 15, 2012. Enhancing Climate Change Resilience in GEF Projects: Update on GEF Secretariat Efforts.

then classified into two categories depending on whether they were a) a project component that has the potential to provide climate resilience to the rest of the project, or b) risk mitigation measures to make the global environmental benefits more resilient.

5.2 Sample description

72. Overall, the sample of 296 projects consists of 134 (45 percent) FSPs, 53 (18 percent) MSPs, and 109 (37 percent) EAs as shown in table 4. The focal area most represented in the sample is biodiversity with 115 (39 percent) projects, followed by climate change with 74 (25 percent) projects, and POPs with 48 (16 percent) projects. The Agencies most represented in the sample are UNDP with 99 (33 percent) projects followed by UNEP with 73 (25 percent) projects, UNIDO and World Bank with 46 (15 percent) and 37 (12 percent) projects respectively. The six remaining Agencies together (ADB, EBRD, FAO, GEF SEC, IADB, and IFAD), account for 14 percent of the sample.

Table 4: Project Sample by Modality, Focal Area, and Agency

Modality	Number of projects	Focal Area	Number of projects	Lead Agency	Number of projects
FSP	134	Biodiversity	115	ADB	4
MSP	53	Climate Change	74	EBRD	3
EA	109	International Waters	10	FAO	13
Total	296	Land Degradation	27	GEF SEC	12
		Multi Focal Area	22	IADB	5
		POPs	48	IFAD	4
		Total	296	UNDP	99
				UNEP	73
				UNIDO	46
				World Bank	37
				Total	296

5.3 Findings

73. The key findings are the following:

- **Key finding 1:** Nearly 40 percent of all projects reviewed take into account resilience to climate change in their design.
- **Key finding 2:** EAs and FSPs take into account or provided information on adaptation or resilience to climate change the most in their design. IFAD addressed resilience in all of its projects reviewed, and UNDP in almost 63 percent. Biodiversity is the focal area that has the most projects considering climate resilience with 64 percent of projects incorporating climate resilience.
- **Key finding 3:** Out of the 114 projects taking into account climate change resilience in their projects documents, almost 83 percent of the resilience information is a project component that has the potential to provide climate resilience to the rest of the project.

74. Out of the 296 projects reviewed, 39 percent (114 projects) take into account or provided information on adaptation or resilience to climate change in their project document (see table 5), while the remaining 61 percent (182) did not provide any information on adaptation or climate change resilience. Table 5 also shows the variations across project modality. EAs have the highest percentage of projects considering resilience (42 percent), with the caveat that standard generic paragraphs are used in some EAs. MSPs have the lowest percentage of projects with information on resilience (28 percent) and FSPs fall in between, with nearly 40 percent of the projects providing information on resilience.

Table 5: Number of Projects Integrating Climate Resilience Information by Modality

Modality	No information on resilience (N)		Yes, information on resilience (Y)		Total	
	No.	% of total	No.	% of total	No.	% of total
FSP	81	60.4	53	39.6	134	45.3
MSP	38	71.7	15	28.3	53	17.9
EA	63	57.8	46	42.2	109	36.8
Total	182	61.5	114	38.5	296	100.0

75. The Agency with the most projects including information on adaptation or resilience to climate change is IFAD with information included in all four of its projects in the sample. Concerning the four main Agencies in the sample; climate change resilience was considered in 63 percent of UNDP projects, 43 percent of World Bank projects, 32 percent of UNEP projects, and only in 2 percent of UNIDO projects (table 6).

Table 6: Number of Projects Integrating Climate Resilience Information by Agency

Agency	No information on resilience (N)		Yes, information on resilience (Y)		Total	
	No.	% of total	No.	% of total	No.	% of total
ADB	2	50.0	2	50.0	4	1.4
EBRD	3	100.0	0	0	3	1.0
FAO	10	76.9	3	23.1	13	4.4
GEF SEC	11	91.7	1	8.3	12	4.1
IADB	3	60.0	2	40.0	5	1.7
IFAD	0	0	4	100.0	4	1.4
UNDP	37	37.4	62	62.6	99	33.4
UNEP	50	68.5	23	31.5	73	24.7
UNIDO	45	97.8	1	2.2	46	15.5
World Bank	21	56.8	16	43.2	37	12.5
Total	182	61.5	114	38.5	296	100.0

76. Adaptation and climate change resilience considerations also vary across focal areas (table 7). Biodiversity has the highest share of projects proposing adaptation measures to ensure climate change resilience with 64 percent, followed by multifocal area (55 percent),

international waters (50 percent), land degradation (33 percent), and climate change (20 percent). None of the 48 POPs projects included any information on adaptation measures, practices, or technologies to respond to climate risks to ensure climate resilience into their design.

Table 7: Number of Projects Integrating Climate Resilience Information by Focal Area

Focal Area	No information on resilience (N)		Yes, information on resilience (Y)		Total	
	No.	% of total	No.	% of total	No.	% of total
Biodiversity	42	36.5	73	63.5	115	38.9
Climate Change	59	79.7	15	20.3	74	25.0
International Waters	5	50.0	5	50.0	10	3.4
Land Degradation	18	66.7	9	33.3	27	9.1
Multi Focal Area	10	45.5	12	54.5	22	7.4
POPs	48	100.0	0	0	48	16.2
Total	182	61.5	114	38.5	296	100.0

77. Following the initial review of whether or not project documents were integrating climate resilience considerations into their design, the information included in the Y projects were carefully reviewed and classified into two categories depending on whether they were a) a project component that has the potential to provide climate resilience to the rest of the project, or b) risk mitigation measures to make the global environmental benefits more resilient.

78. Overall, out of the 114 projects considering climate resilience in their projects documents, 83 percent of the resilience measures are a project component that has the potential to provide climate resilience to the rest of the project, while 17 percent are risk mitigation measures to make the global environmental benefits more resilient.

79. There is little variation across focal area as shown in table 9. Eighty-nine percent of projects in the land degradation focal area have resilience components and 87 percent of climate change projects also have components. Similarly, 82 percent of biodiversity projects, 80 percent of international waters projects, and 75 percent of multifocal area projects have resilience components.

80. The variations are much greater across project modality. All climate resilience measures in the EAs are project components. It is important to note that two focal areas (international waters and multifocal area) do not have any EAs. Most of the climate resilience measures included in the design of FSPs are also component. It ranges from 71 percent for the climate change FSPs, to almost 82 percent for the multifocal area FSPs. The MSPs have the most variations by focal area. Forty percent of climate resilience measures in the biodiversity MSPs are project components, while all of the climate resilience measures in the MSPs under land degradation, climate change, and international waters are project components. Table 10 shows that MSPs are more likely to address the risk of climate change in project design through risk mitigation measures to make the global environmental benefits more resilient (47 percent) than a project component in comparison to FSPs (25 percent).

Table 9: Climate Resilience Information by Focal Area and Modality

Focal area /modality	Risk mitigation measure		Project component		Total	
	No.	% of total	No.	% of total	No.	% of total
BD	13	17.8	60	82.2	73	63.5
FSP	7	25.9	20	74.1	27	65.9
MSP	6	60.0	4	40.0	10	38.5
EA	0	-	36	100.0	36	75.0
LD	1	11.1	8	88.9	9	33.3
FSP	1	25.0	3	75.0	4	100.0
MSP	0	-	2	100.0	2	66.7
EA	0	-	3	100.0	3	15.0
CC	2	13.3	13	86.7	15	20.3
FSP	2	28.6	5	71.4	7	13.5
MSP	0	-	1	100.0	1	7.69
EA	0	-	7	100.0	7	77.8
IW	1	20.0	4	80.0	5	50.0
FSP	1	25.0	3	75.0	4	44.4
MSP	0	-	1	100.0	1	100.0
EA	0	-	0	-	0	-
MFA	3	25.0	9	75.0	12	54.6
FSP	2	18.2	9	81.8	11	57.9
MSP	1	100.0	0	-	1	33.3
EA	0	-	0	-	0	-
Total	20	17.5	94	82.5	114	100.0

Notes: BD = biodiversity, LD = land degradation, CC = climate change, IW = international waters, MFA = multifocal area.

Table 10: Climate Resilience Information by Modality

Modality	Risk mitigation measure		Project component		Total	
	No.	% of total	No.	% of total	No.	% of total
FSP	13	24.5	40	75.5	53	77.9
MSP	7	46.7	8	53.3	15	22.1
EA	0	-	46	100.0	46	67.6
Total	20	29.4	48	70.6	114	100.0

5.4 Examples of climate resilience information

81. There are several promising elements of project design among the 114 GEF-funded projects that provided information on adaptation or resilience to climate change in their project document. Below are some examples of risk mitigation measures to make the global environmental benefits more resilient.

82. Connecting migration corridor: UNDP biodiversity projects in Nigeria (GEF ID 3760) and Togo (GEF ID 4026) aim to establish wildlife corridors to as a measure to conserve biodiversity. In Nigeria, wildlife corridors link the major mountain refuges and other protected areas in the northern Niger Sahara biome; and in Togo the corridors link the OKM to the WAP Complex. This kind of migration corridor helps fauna to adapt to climate change and reduces human-wildlife resource conflicts due to climate change. The UNEP biodiversity project in Ethiopia (GEF ID 4091) incorporates altitudinal and corridor movement options in the conservation planning design to address climate change risks, particularly for medicinal plants.

83. Ecosystem based approach: The UNEP regional biodiversity project in Asia (GEF ID 3957) uses ecosystem-based approaches to protect human and ecological communities against the impacts of climate change. These approaches not only protect ecosystems, but also help sustain people and the natural resources on which they depend.

84. Ecologic restoration/conservation: The IFAD climate change project in Sudan (GEF ID 3915) involves afforestation and reforestation activities to increase the national carbon sequestration potential. Vegetation cover will be increased by approximately 10,000 ha in the Butana region, leading to an incremental carbon uptake of 380 KtC (or 1,393.46 KtCO₂e). The climate change mitigation measures include natural resources management and water development activities. Forest management, afforestation and production of energy from alternative sources are expected to contribute to diversify the income of local population and lessen the impact of climate change.

85. Similarly in the IFAD climate change project in Mexico (GEF ID 4149) the mitigation strategy involves restoring the functioning of forest ecosystems through the creation and maintenance of fire-fighting community brigades, establishment of fireproof breaches around reforestation areas, and proper fuel management. In addition the multifocal area UNDP project in Turkey (GEF ID 4469) addresses the risk of climate change through the shift from reactive to proactive forest management, particularly through proactive fire management.

86. Technological application: The UNEP biodiversity project in Cameroon (GEF ID 3651) will use modern technology to address climate change risks. The project will contribute to reducing rates of biodiversity loss and allowing early detection and quicker control of potentially deleterious introductions. At the same time it will allow the safe introduction of new organisms including products of modern technology that may allow better adaptation to ongoing climate change. Another example is an MSP, the UNEP biodiversity project (GEF ID 3667) in Rwanda. It addresses the adverse effects of climate change through improvement of soil conservation techniques particularly in highlands; and the introduction of agro forestry practices; creation of rainwater dams for the purpose of farming and livestock activities; introduction of new improved crop varieties mainly early-fruiting, resistant and adapted to climate; and development of drought resistant seeds.

87. Capacity building and raising awareness: Many projects are working with local communities as described below.

- The UNDP biodiversity project in Mongolia (GEF ID 4562), aims to empower rural communities by alleviating regulatory and implementation capacity gaps so that they can sustainably manage their critical ecosystem. Data indicated that existing community-managed areas have enhanced the resilience of communities to natural disaster.
- The UNDP biodiversity project in India (GEF ID 3936) proposes to address climate change risk by building a better understanding and knowledge base on the impacts of climate change and variability on the East Godavari River Estuarine Ecosystem, where the project is being implemented, through a study to assess the economic values of ecosystem services.
- The UNDP biodiversity project in Tanzania (GEF ID 3965) proposes ecosystem services payment and capacity building as an adaptation measures to address climate change risks.
- The IFAD climate change project in Mexico (GEF ID 4149) used participative based analysis on the options and pilots being promoted and how they will contribute to reducing vulnerability of communities to climate change. The project will use screening tools to support local decision-making that links climate-related risks and population livelihoods, which can help define appropriate adaptation strategies with broad social support.
- The UNDP biodiversity project in Colombia (GEF ID 3826) addressed the resilience of the National Sub-System of Marine Protected Areas to respond to climate change impacts such as sea level rise, by establishing the operational and financial capacities to manage marine protected area core and buffer areas.

88. The majority of projects in the sample incorporated information on adaptation or resilience to climate change through project components. Below are examples of project components that have the potential to provide climate resilience to the rest of the project.

89. Ecologic restoration/conservation: The main components of the IFAD climate change project in Panama (ID: 4098) are climate change mitigation through reforestation and agroforestry. Some of the proposed activities are environmental knowledge management for which awareness or environmental education workshops in technical and policy topics on climate change and adaptation will be carried out. The other proposed activity includes agroforestry coffee systems and improved silvo-pastoral production for soil conservation to improve their competitiveness and resilience to extreme climate events.

90. The World Bank multifocal project in Tunisia (GEF ID 4035) will contribute towards improvements in the global environment through increased vegetation cover on degraded and/or overgrazed areas; enhanced capacity to adapt to climate and system changes; restoration and maintenance of soil fertility; and improvement in water use efficiency. The integrated natural resource management (INRM) approach taken by the project will improve both desert ecosystem resilience and reduce climate risks to local populations. The global benefit of the project include sustainable management of natural resources, protection of threatened dryland and desert biodiversity, protection against erosion and desertification and increased resilience of the selected ecosystems and human livelihoods to climate change and variability.

91. The IFAD climate change project in Venezuela (GEF ID 3963) aims to promote sustainable and climate-friendly rural development in the States of Lara and Falcon and increase the potential of carbon stocks in the region, and reduce emissions while encouraging sustainable production alternatives that are better adapted to climate change and can help reduce poverty. The main component of this project includes mitigation measures to fix or increase carbon sequestration and avoid greenhouse gas emissions through agro-forestry system which are useful management tools to provide greater resilience to climate change in semi-arid tropics.

92. Ecosystem based approach: The mitigation strategy of the UNEP biodiversity project in Mexico (GEF ID 3813) is based on the ecosystem approach that improves ecosystem resilience and livelihoods. The global benefit of this project is enhanced resilience of agro-ecosystems and globally-significant ecosystems and their species to adapt to climate change. The objective of the biodiversity UNEP project in Nepal (GEF ID 4464) is to mainstream the conservation and use of agricultural biodiversity in the mountain agricultural production landscapes and improve ecosystem resilience. The project's component is to increase access to planting materials, and the expected output is to increase crop genetic diversity, to increase productivity and maintain ecosystem resilience.

93. Improved resource management: The regional multifocal ADB project's (GEF ID: 3591) main component is increasing resilience of marine resources and communities to climate change impacts. The expected outcomes of this project is increased resilience of coastal and marine resources and vulnerable communities through improved resource management and integration of climate change adaptation measures within coastal zone planning and framework. The UNDP biodiversity project in Lao PDR (GEF ID 2416) will contribute to conservation and sustainable use of biodiversity resources in agro-ecosystems in Lao PDR for the attainment of food security and sustainable economic development and adaptation to climate change impacts. The output of the project includes identification of institutional capacity of climate change adaptation to agro-biodiversity and efforts needed to coordinate. The global benefit of this project is the maintenance of crop genetic diversity to improve agricultural sector adaptation under climate change.

94. Another example is the ADB land degradation project in China (GEF ID 4633). A component of the project is to improve resilience to climate change of agro-ecosystems and reduced flood risk through improved land cover on 2,000 ha of land and improved rural livelihoods in poor areas. It aims to reduce soil salinity of 212 km² area including 186 km² of existing agricultural land and 15 km² of the economic development zone and increase productivity and climate resilience in the agricultural lands.

95. Enhanced participation: A component of the regional UNDP land degradation project (GEF ID 3396) is to increase the capacity of civil society organizations to facilitate community participation in sustainable land management (SLM) policy and programs. The project will help design and facilitate the implementation of training programs on SLM, adaptation to climate change, carbon finance, policy analysis and advocacy, and social and environmental accountability. The enhanced partnerships and knowledge transfer is the expected output of this project. Another example is the multifocal area UNDP project in Senegal (GEF ID: 4080). The expected outcome of the project is development of a framework for ecological management plans for eco-villages which incorporates sustainable natural resource management, biodiversity conservation, renewable energy, and climate change adaptation.

96. Community driven approach: A component of the multifocal UNDP project in Iran (GEF ID 2732) is community-driven climate-resilient approaches and techniques for sustainable land and water management demonstrated through INRM practices. The expected outcome of the project is implementation of land use and water management practices that are people-friendly, cost-effective and climate-resilient, that can also improve returns within the constraints of local agro-ecological conditions. The project will help reverse land degradation in upland areas, reduce risks to downstream lands and infrastructure, control flooding, improve sustainability of community water harvesting structures, increase agricultural productivity in low-lying areas, and improve water quality.

97. The UNEP biodiversity project in Sri Lanka (GEF ID 4150) has an adaptive component. The expected output of this project is to develop a robust community-based system of agro-biodiversity and resilience monitoring and a revised Sri Lanka national agro-biodiversity strategy. Some of the global benefits from this project are improved knowledge on the integrated management of agro-biodiversity and the development of specific tools and management practices for providing adaptability and resilience under climate change.

98. Technological application: The objective of the World Bank climate change enabling activity in China (GEF ID 4188) is to support China's efforts to assess climate mitigation and adaptation technology needs and to adopt corresponding global best practices. The component of this project is technology assessments at the sector and provincial levels which support the technology assessments of identified mitigation and adaptation sectors in several provinces, and provide guidance to those provinces for promoting advanced climate change technologies.

99. Regular monitoring and early warning system: This UNDP enabling activity project in Malaysia (GEF ID: 5296) contributes indirectly to Malaysia's achievements in the fight against the adverse effects of climate change by increasing the country's ability to measure and forecast its GHG emissions and with assessment of the most vulnerable sectors. The project will strengthen capacity of public institutions to address climate change including improved climate change modelling and observation systems. The objectives of the adaptation impacts and actions component is to further develop priority adaptation actions necessary to strengthen the preparedness to climate change impacts and its actions in areas identified as most vulnerable. In addition, this component will include specific studies on early warning systems; and technologies for adaptation in the agricultural sector, urban infrastructure for flood prevention, land use planning, health prevention systems, and tourism.

Capacity buildings and raising awareness: Many projects include capacity building and awareness-raising as described below.

- The main components of the climate change enabling activity implemented through the World Bank in Argentina (GEF ID 3964) are to strengthen the national Adaptation Agenda with the objective to assess the anticipated climate change impacts and to identify the most vulnerable sectors and areas in Argentina. One of the main sub-components of this project includes capacity building activities including the organization of workshops for journalists across the country. The objective is to train journalists on climate change topics. Another sub-component includes the design of a simulation game on adaptation—a tool that can generate awareness on impacts of climate change and the need to implement adaptation measures; and the preparation of a media campaign focused on the topic of climate change.

- The objective of the regional UNEP project (GEF ID: 3781) in biodiversity is to ensure the conservation and sustainable management of representative ecosystems and biodiversity, develop guidelines for adaptation, and build capacity for mainstreaming risk based adaptation in protected areas. The expected outcome is to develop complete tools for monitoring negative climate change effects and the results of adaptation and mitigation strategies then provide regional training workshops on the effects of climate on protected areas and methods of increasing adaptive capacity of the protected areas.
- In the IDB multifocal area project in Bolivia (GEF ID 3831) the main components are strengthening policies, regulatory framework and local capabilities for the management of vertical ecosystems. The expected outcome of the project includes: integrated management model implementation, trained local staff and communities in the use of traditional technologies and agricultural calendar, which is primarily targeted to control erosion and soil conservation resulting in improved resilience of ecosystems to climate change.

5.4 Conclusions and recommendation

100. In the GEF Council document “Enhancing climate change resilience in GEF projects: Update on GEF Secretariat Efforts”²² the GEF Secretariat was already working toward a more systematic consideration of climate risks in GEF projects and suitable measures to integrate resilience. This effort was built on the introduction by STAP of a screening tool for all GEF projects. The GEF Secretariat’s effort focused on identifying a set of strategic options for integrating climate resilience considerations into the design of GEF projects at different stages of project development. The GEF Secretariat’s approach was aimed at providing a more structured and constructive framework for enhancing climate resilience in GEF projects based on focal area priorities and objectives relevant at PIF stage and CEO endorsement. The Council document mentions that the PIF and CEO endorsement templates as well as the GEF Secretariat review questions would need to be modified. Before embarking on this approach, the Council, Secretariat, and Agencies will need to take into account any changes agreed in the GEF Project Cycle pursuant to the proposals presented in Council Document GEF/C.43/06, Streamlining of Project Cycle.

101. The GEF Secretariat already identified the next steps to ensure that climate resilience is considered in each project design.

- A draft framework document that outlines climate resilience considerations across all focal areas was expected to include key climate change risks and impacts for each of the focal areas, proposed response measures to enhance resilience, and options for integrating resilience at the PIF and CEO endorsement stages. The document would be developed with involvement of all focal area teams to ensure consensus and clarity of the proposed framework. In order to maintain consistency in project review process between the GEF Trust Fund and the LDCF and SCCF, and also to identify potential opportunities of funding for adaptation measures, the Secretariat would also consider whether this framework should apply to LDCF and SCCF projects in addition to GEF Trust Fund Projects.
- The next step would involve a consultation process that includes the GEF Agencies and STAP. After agreement with the GEF Agencies and STAP, the framework would be

²² Ibid.

approved by the GEF CEO for consideration as part of the GEF Policies and Procedures on the GEF project cycle.

- At the same time, the GEF Sixth Replenishment would provide the GEF an opportunity to discuss how the GEF focal area strategies can be further improved in terms of their contribution to climate change resilience. If result based management indicators are to be revised to better incorporate resiliency, this should be done in this context since the GEF RBM framework would be updated as a result of the Focal Area Strategy discussion.

102. The findings demonstrate the growing trend of integrating adaptation and resilience concepts in project design, yet there is still work to do in making the GEF portfolio climate resilient. This leads to the following recommendation:

- The GEF Secretariat should finalize the draft framework document that outlines climate change considerations across focal areas described in the next steps of the 2012 “Enhancing Climate Change Resilience in GEF Projects: Update on GEF Secretariat Efforts.”²³ At the same time GEF focal area strategies should be improved in terms of their contribution to climate change resilience.

²³ Ibid.

Annexes

Annex 1: List of projects in the LDCF sample

GEF ID	Country	Agency	Title
3302	Malawi	AfDB	Climate Adaptation for Rural Livelihoods and Agriculture (CARLA)
3430	Sudan	UNDP	Implementing NAPA Priority Interventions to Build Resilience in the Agriculture and Water Sectors to the Adverse Impacts of Climate Change
3684	Burkina Faso	UNDP	Strengthening Adaptation Capacities and Reducing the Vulnerability to Climate Change in Burkina Faso
3716	Sierra Leone	IFAD	Integrating Adaptation to Climate Change into Agricultural Production and Food Security in Sierra Leone
3718	Congo DR	UNDP	Building the Capacity of the Agriculture Sector in DR Congo to Plan for and Respond to the Additional Threats Posed by Climate Change on Food Production and Security
3728	Gambia	UNEP	Strengthening of The Gambia's Climate Change Early Warning Systems
3733	Haiti	UNDP	Strengthening Adaptive Capacities to Address Climate Change Threats on Sustainable Development Strategies for Coastal Communities in Haiti
3776	Mali	UNDP	Enhancing Adaptive Capacity and Resilience to Climate Change in the Agriculture Sector in Mali
3798	Vanuatu	World Bank	Increasing Resilience to Climate Change and Natural Hazards
3838	Rwanda	UNEP	Reducing Vulnerability to Climate Change by Establishing Early Warning and Disaster Preparedness Systems and Support for Integrated Watershed Management in Flood Prone Areas
3847	Maldives	UNDP	Integrating Climate Change Risks into Resilient Island Planning
3857	Comoros	UNDP/ UNEP	Adapting Water Resource Management in Comoros to Increase Capacity to Cope with Climate Change
3893	Mauritania	IFAD	Support to the Adaptation of Vulnerable Agricultural Production Systems
3979	Mali	FAO	Integrating Climate Resilience into Agricultural Production for Food Security in Rural Areas
4018	Sao Tome and Principe	World Bank	Sao Tome and Principe Adaptation to Climate Change
4019	Guinea-Bissau	UNDP	Strengthening Resilience and Adaptive Capacity to Climate Change in Guinea-Bissau's Agrarian and Water Sectors
4034	Lao PDR	UNDP	Improving the Resilience of the Agriculture Sector in Lao PDR to Climate Change Impacts
4141	Tanzania	UNEP	Developing Core Capacity to Address Adaptation to Climate Change in Productive Coastal Zones
4216	Samoa	UNDP	Integration of Climate Change Risk and Resilience into Forestry Management (ICCRIFS)
4222	Ethiopia	UNDP	Promoting Autonomous Adaptation at the community level in Ethiopia
4431	Maldives	UNDP	Increasing Climate Change Resilience of Maldives through Adaptation in the Tourism Sector
4453	Lesotho	IFAD	Adaptation of Small-scale Agriculture Production (ASAP)
4568	Madagascar	UNEP	Adapting Coastal Zone Management to Climate Change in Madagascar Considering Ecosystem and Livelihood Improvement

GEF ID	Country	Agency	Title
4585	Samoa	UNDP	Enhancing the Resilience of Tourism-reliant Communities to Climate Change Risks
4599	Sierra Leone	UNDP	Building adaptive capacity to catalyze active public and private sector participation to manage the exposure and sensitivity of water supply services to climate change in Sierra Leone
4696	Timor Leste	UNDP	Strengthening the Resilience of Small Scale Rural Infrastructure and Local Government Systems to Climatic Variability and Risk
4701	Niger	UNDP	Scaling up Community-Based Adaptation (CBA) in Niger
4702	Niger	FAO	Integrating Climate Resilience into Agricultural and Pastoral Production for Food Security in Vulnerable Rural Areas through the Farmers Field School Approach
4714	Tuvalu	UNDP	Effective and Responsive Island-level Governance to Secure and Diversify Climate Resilient Marine-based Coastal Livelihoods and Enhance Climate Hazard Response Capacity
4724	Gambia	UNDP	Enhancing Resilience of Vulnerable Coastal Areas and Communities to Climate Change in the Republic of Gambia
4725	Solomon Islands	UNDP	Solomon Islands Water Sector Adaptation Project (SIWSAP)
4797	Malawi	UNDP	Climate Proofing Local Development Gains in Rural and Urban Areas of Machinga and Mangochi Districts
4950	Liberia	UNDP	Strengthening Liberia's Capability to Provide Climate Information and Services to Enhance Climate Resilient Development and Adaptation to Climate Change.
4976	Bhutan	UNDP	Addressing the Risk of Climate-induced Disasters through Enhanced National and Local Capacity for Effective Actions
5004	Sao Tome and Principe	UNDP	Strengthening Climate Information and Early Warning Systems in Western and Central Africa for Climate Resilient Development and Adaptation to Climate Change - Sao Tome and Principe
5006	Sierra Leone	UNDP	Strengthening Climate Information and Early Warning Systems in Western and Central Africa for Climate Resilient Development and Adaptation to Climate Change - Sierra Leone
5015	Malawi	UNDP	Implementing Urgent Adaptation Priorities Through Strengthened Decentralized and National Development Plans
5021	Djibouti	UNEP	Implementing Adaptation Technologies in Fragile Ecosystems of Djibouti's Central Plains
5056	Timor Leste	UNDP	Strengthening Community Resilience to Climate Induced Natural Disasters in the Dili to Ainaro Road Development Corridor, Timor Leste
5071	Gambia	UNEP/UNDP	Strengthening climate services and early warning systems in the Gambia for climate resilient development and adaptation to climate change - 2nd Phase of the GOTG/GEF/UNEP LDCF NAPA Early Warning Project
5111	Nepal	FAO	Reducing Vulnerability and Increasing Adaptive Capacity to Respond to Impacts of Climate Change and Variability for Sustainable Livelihoods in Agriculture Sector in Nepal
5174	Yemen	IFAD	Rural Adaptation in Yemen
5184	Sao Tome and Principe	UNDP	Enhancing Capacities of Rural Communities to Pursue Climate Resilient Livelihood Options in the Sao Tome and Principe Districts of Caué, Me-Zochi, Principe, Lemba, Cantagalo, and Lobata (CMPLCL)
5190	Mauritania	AfDB	Improving Climate Resilience of Water Sector Investments with Appropriate Climate Adaptive Activities for Pastoral and Forestry Resources in Southern Mauritania

GEF ID	Country	Agency	Title
5192	Mali	UNDP	Strengthening the Resilience of Women Producer Group's and Vulnerable Communities in Mali
5202	Afghanistan	UNDP	Strengthening the resilience of rural livelihood options for Afghan communities in Panjshir, Balkh, Uruzgan and Herat Provinces to manage climate change-induced disaster risks
5231	Angola	AfDB	Integrating Climate Change into Environment and Sustainable Land Management Practices
5232	Benin	AfDB	Flood Control and Climate Resilience of Agriculture Infrastructures in Oueme Valley - Benin
5318	Cambodia	UNDP	Strengthening Climate Information and Early Warning Systems in Cambodia to Support Climate Resilient Development and Adaptation to Climate Change
5382	Guinea	UNDP	Ecosystem-Based Adaptation Targeting Vulnerable Communities of the Upper Guinea Region
5417	Samoa	UNDP	Economy-wide integration of CC Adaptation and DRM/DRR to Reduce Climate Vulnerability of Communities in Samoa

Annex 2: Documents consulted for LDCF

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GEF/LDCF.SCCF.15/03. October 6, 2013. Progress Report on the Least Developed Countries Fund and the Special Climate Change Fund, LDCF/SCCF Council Meeting 2013.

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Website:https://unfccc.int/adaptation/workstreams/national_adaptation_programmes_of_action/items/7567.php.

GEF: Least Developed Country's Fund (LDCF) Website. <http://www.thegef.org/gef/LDCF>.

Annex 3: Survey protocol for LDCF

LDCF NAPA Evaluation - Project Review Protocol

I. PROJECT INFORMATION

1. Documents used for this review
2. GEF ID
3. Project title
4. Implementation status
 - a) Completed
 - b) Under implementation
 - c) CEO endorsed
 - d) Council approved
 - e) PIF approved
5. Region
 - a) Africa (AFR)
 - b) Asia
 - c) Latin American and the Caribbean (LAC)
 - d) Global (CEX)
6. List Country/ies
7. Implementing Agency
 - a) IFAD
 - b) UNDP
 - c) UNEP
 - d) WB
 - e) ADB
 - f) AfDB
8. Project size
 - a) Medium-size project
 - b) Full-size project
9. Overall funding in \$²⁴
 - a) LDCF trust funding
 - b) Cofinancing
 - c) Total funding
10. Cofinancing 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

II. EVALUATION

²⁴ LDCF funding = total grant amount (i.e. grant + PPG + Agency fees); total funding = total project cost (including PPG and fees).

The evaluation of projects will be focused and assessed on the basis of the project design. If it is under implementation Project will be assessed in conjunction with any PIRs or MTR done. When appropriate, for each question, a comment box will allow for explanation of scores and all qualitative information to be included in the analysis.

A) Relevance

NAPA Information

11. Year of NAPA Submission to the UNFCCC
12. NAPA Priorities List (and rank)²⁵ (multiple answers possible)
 - a) Water resources management
 - b) Climate Information systems
 - c) Agriculture
 - d) Human Health
 - e) Infrastructure development
 - f) NRM: Fragile ecosystems (incl. mountain ecosystems), afforestation, land management, land degradation
 - g) Coastal zone management
 - h) Disaster Risk management
 - i) OTHER (Energy Sector: Renewable energy, Energy Efficiency , energy security
13. Number of priority projects listed in NAPA
 - a) 1-5
 - b) 6-10
 - c) 11-20
 - d) > 20

Project's relevance to NAPA priority areas

14. Overall project objective
15. Main impact indicators (as given by PD)
16. Choose Primary²⁶ NAPA priority/sector that project addresses (multiple answers possible)
 - a) Water resources management
 - b) Climate Information systems
 - c) Agriculture
 - d) Human Health
 - e) Infrastructure development
 - f) NRM: Fragile ecosystems (incl. mountain ecosystems), afforestation, land management, land degradation
 - g) Coastal zone management
 - h) Disaster Risk management
 - i) Other (energy sector: Renewable energy, Energy Efficiency , energy security

Further comments and relevant text passages from documents:

- 16.b. Choose other NAPA priority/sectors that project addresses (multiple answers possible)
 - a) Water resources management
 - b) Climate Information systems
 - c) Agriculture
 - d) Human health

²⁵ According to the UNFCCC, The main content of NAPAs is a list of ranked priority adaptation activities and projects.

²⁶ Recognizing that adaptation in itself is cross-cutting, we identify the "primary sector" by looking at the specific \$ amounts allocated to sectors. According to the LDCF, fit with NAPA is described as "Does the project respond to the highest priority/ ies identified in the NAPA," see page.13 of http://www.thegef.org/gef/sites/thegef.org/files/publication/23469_LDCF.pdf.

- e) Infrastructure development
- f) NRM: fragile ecosystems (incl. mountain ecosystems), afforestation, land management, land degradation
- g) Coastal zone management
- h) Disaster risk management
- i) Other (energy sector: renewable energy, energy efficiency, energy security)

17. Overall assessment of projects alignment with NAPA priorities

Answer choices:

- a. Very high: project's primary priority addresses first priority as listed/outlined in country NAPA
- b. High: Project's primary priority does not address first priority but addresses one or more of the other listed/outlined priorities in country NAPA
- c. Low: Project does not adequately address the specific priorities outlined in country NAPA
- d. Project does not address ANY of the priorities outlined in Country NAPA

Explanation of choice and relevant text passages from documents

18. Project's relevance to the LDCF mandate and strategies

Is the project consistent with the LDCF strategies, eligibility criteria and priorities?

Yes/No/NA/UA

Explanation of Response and relevant text passages from documents

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

a. Is the project aligned with country's development and environmental agendas as well as national communications, e.g NAPAS, NAPs, NBSAPs, national communications, TNAs, NIPs, PRSPs, NPFE, etc.? Yes/No/NA/UA

Explanation of score and relevant text passages from documents:

B) Partnership and Mainstreaming

Degree of government involvement in project implementation

21. Does the project have a line ministry involved? Yes/No/NA/UA

22. Name Line Ministry (ies) partnering with the project

23. Role of Line Ministry (multiple choice)

- a. Executing agency
- b. Implementing partner
- c. Other (Describe)

Degree of government commitment (e.g. cofinancing)

24. Did the government provide cofinancing? Yes/No

If yes, what amount?

25. Did the Government provide in-kind support to the project? Yes/No/NA/UA

Describe Assistance:

Degree of civil society involvement in project implementation

26. Does the project include civil society organizations/groups to participate in project implementation? Yes/No/NA/UA

27. Name the civil society partners involved/identified in project design

28. Type of Organization

- a. Local NGO
- b. International NGO
- c. Private sector institution
- d. CBO

29. Role of civil society partners (multiple choice)

- a. Executing agency
- b. Implementing partner

c. Other (Describe)

C) Gender

Gender in M&E design

30. Does the project include a gender mainstreaming strategy or plan (if and when appropriate)? Yes/No/NA/UA

31. Do the M&E plans include gender disaggregated indicators? Yes/No

32. Describe indicators:

Degree of Gender participation in project activities

33. Is gender considered in Training components: Yes/No/NA/UA

Describe activities:

34. Is Gender considered in awareness activities: Yes/No/NA/UA

Describe activities:

D) Identification of Risks

35. Has the project indicated risks, including climate change risks that might prevent the project objectives from being achieved?

Describe Risks

36. Has the project design proposed measures that address these risks? Yes/No/UA/NA

37. Overall comments on project: Please describe any extraordinary aspects of the project design (positive or negative)