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

Approach Paper

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A. Introduction

1. At the 8th meeting in July 2010, the LDCF/SCCF Council requested the GEF Evaluation Office to undertake an evaluation of the SCCF to be presented at the November 2011 LDCF/SCCF Council meeting. This document describes the context and the approach by which the evaluation will be carried out.
2. The *Special Climate Change Fund* (SCCF) was first established in July 2001 with the approval of Decision 5/CP.6¹ by the 6th Conference of the Parties (COP) of the UN Framework Convention on Climate Change (UNFCCC) held at The Hague. The decision states that the SCCF will:

“finance activities, programmes and measures related to climate change, that are complementary to those funded by the resources allocated to the Global Environment Facility climate change focal area and by bilateral and multilateral funding, in the following areas: (a) *adaptation*, (b) *technology transfer*, (c) *energy, transport, industry, agriculture, forestry and waste management* and (d) *activities to assist developing country Parties* referred to under Article 4, paragraph 8 (h) [i.e. economies dependent on income from fossil fuels], in diversifying their economies.”²
3. With its broad scope covering climate change adaptation as well as mitigation, the SCCF represented the only comprehensive climate change fund directly under the UNFCCC until the Cancun Agreements by COP16 established the Green Climate Fund (GCF). The emergence of the GCF is changing the landscape of international climate finance and with it the role of the SCCF.
4. Subsequent guidance was provided to the GEF by COP7 (2001), COP8 (2002) and COP9 (2003)³ further defining the design of the SCCF. In particular at COP9, the SCCF was requested to prioritize funding for different activities granting “top priority” to adaptation activities to address adverse impacts of climate change. The SCCF is to support adaptation activities in seven priority areas (see Table 1).⁴
5. Furthermore, decision 5/CP.9 of 2003 defines technology transfer and associated capacity-building activities as an “essential area to receive funding” from the SCCF. Additional guidance on technology transfer was given in 2007 with the decision on the Development and Transfer of Environmentally Sound Technologies (ESTs) approved by COP13 in Bali and further made operational by COP14 in 2007 in Poznan.⁵

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

² Ibid.

³ FCCC/CP/2001/Add.1. Decision 5/CP.7; FCCC/CP/2002/6/Add.1, Decision 5/CP.9.

⁴ FCCC/CP/2003/6/Add.1.

⁵ FCCC/CP/2008/Add.1.

B. Context and Design of the SCCF

B.1. Adaptation to climate change and the GEF

6. GEF eligibility criteria for adaptation projects were first defined at COP1 in 1995 in Decision 11/CP.1 presenting three stages for adaptation activities:
 - Stage I: Planning, including studies of possible impacts of climate change;
 - Stage II: Measures, including further capacity building, which may be taken to prepare for adaptation, as envisioned under Article 4.2 (e) of the Convention;
 - Stage III: Measures to facilitate adequate adaptation, including insurance, and other adaptation measures as envisioned under Article 4.1 (b) and Article 4.4 of the Convention.
7. As the UNFCCC financial mechanism, GEF initially supported Stage I activities, mostly through the formulation of National Communications under the GEF Trust Fund.
8. At the 6th and 7th Conference of the Parties (COP) held at The Hague in 2000 and Marrakesh in 2001, the Parties to the UNFCCC adopted several decisions to establish a number of new funding mechanisms for financing climate change adaptation activities:
 - a) A pilot program on adaptation under the GEF Trust Fund,
 - b) The Least Developed Countries Funds (LDCF),
 - c) The Special Climate Change Fund (SCCF), and
 - d) The Adaptation Fund (AF) under the Kyoto Protocol.
9. In response to the COP guidance concerning the pilot program on adaptation, the GEF allocated an initial \$50 million in 2003 for a **Strategic Priority for Adaptation (SPA)**.⁶ The SPA portfolio is now complete. It consists of 26 projects that leveraged \$649 million in co-financing.
10. The GEF Secretariat jointly manages the **Special Climate Change Fund (SCCF)** and the **Least Developed Countries Fund (LDCF)**. These two funds receive direct guidance from the UNFCCC COP and are managed separately from the GEF Trust Fund, with their own governance structure and strategic priorities.
11. The LDCF addresses the special needs of the Least Developed Countries (LDCs) under the Climate Convention. Primarily, the LDCF finances the preparation and implementation of National Adaptation Programs of Action (NAPAs). The LDCF has approved approximately \$177 million for 47 projects.
12. While the SCCF features a broad scope of objectives, COP9 requested the SCCF to prioritize funding for adaptation. Consequently, 31 of the 35 approved SCCF projects to date represent activities that address adaptation to climate change. As of June 2011, the LDCF/SCCF Council has approved \$136 million of SCCF funding.

⁶ GEF, 2003.

13. The **Adaptation Fund (AF)** was created to fund adaptation projects in developing countries that are Parties to the Kyoto protocol. The AF is financed with 2% of the proceeds from Certified Emission Reduction (CERs) issued for projects of the Clean Development Mechanism (CDM) and other sources of funding. In accordance with decision 1/CMP.3 of the COP serving as the meeting of the Parties to the Kyoto Protocol (CMP), the GEF provides secretariat services to the AF Board on an interim basis. As of June 30, 2011, the AF has approved 10 projects for \$60.5 million.

14. Finally, at COP 16 held in Cancun, Mexico, in 2010, the COP adopted a decision in which it decided to establish a *Green Climate Fund (GCF)*,

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

The GCF is currently under discussion, its functioning and funding remains unknown. This SCCF evaluation will contribute to provide objective elements to the on-going process.

B.2. Transfer of Environmentally Sound Technologies and the GEF

15. Technology transfer plays a critical role in the global response to the challenge of climate change.⁷ The transfer of Environmentally Sound Technologies (EST's) is embodied in the UNFCCC:

"Developed country Parties and other developed Parties included in Annex II shall take all practicable steps to promote, facilitate and finance, as appropriate, the transfer of, or access to, environmentally sound technologies and know-how to other Parties, particularly developing country Parties, to enable them to implement the provisions of the Convention." (UNFCCC, Article 4.5)

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

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

17. Since COP1, the GEF has served as the entity operating the financial mechanism of the UNFCCC also holding a mandate to fund ESTs. The GEF has since evolved into the largest public-sector funding source for ESTs investing about \$250 million annually.

⁷ The GEF and Its Role in The Transfer of Environmentally-Sound Technologies' July 2008.

18. The COP regularly provides further guidance to the GEF addressing the financing of EST transfer. The most recent was the approval of the Poznan Decision in 2008⁸ on Development and Transfer of technologies.
19. The GEF has reacted to COP guidance by introducing a strategic priority on technology transfer as part of its climate change focal area during the GEF 5 replenishment period. The GEF Technology Transfer Strategy endeavors to “exert a transformative impact in helping GEF-recipient countries to move along a low-carbon development path through investment in, and market transformation of, ESTs”.⁹
20. The SCCF should play a complementary role to technology transfer activities under the GEF Trust Fund. Currently, four projects are approved for SCCF funding for technology transfer and related capacity development activities amounting to approximately \$15 million.

B.3. Design of the Special Climate Change Fund

21. In the COP 2001 guidance to the GEF regarding the SCCF, Paragraph 2 of Decision 7/CP.7 requires that the SCCF shall finance activities within four funding windows:¹⁰
 - a) **Adaptation:** to support the implementation of adaptation actions in non-annex I parties.
 - b) **Transfer of technologies:** to focus on support to the transfer of environmentally sustainable technologies, concentrating on, but not limited to, technologies to reduce emissions or atmospheric concentrations of greenhouse gases, in line with the recommendations from the national communications, technology assessments (TNAs) and other relevant information.
 - c) Support six specific sectors, **Energy, transport, industry, agriculture, forestry, and waste management**
 - d) **Economic diversification for fossil fuel dependent countries:** activities to assist developing countries whose economies are highly dependent on income generated from the production, processing, and export or on consumption of fossil fuels and associated energy-intensive products in diversifying their economies.
22. Decision 5/CP.9 of 2003 provided further guidance for the operation of the SCCF with the adoption of identifying priority areas for windows A and B (see Table 1).¹¹

⁸ COP Decision 2/CP.14.

⁹ GEF (2011), Technology Transfer for Climate Change [<http://www.thegef.org/gef/TT>].

¹⁰ COP Decision 7/CP.7.

¹¹ GEF Secretariat, 2004b.

Table 1: Priority Areas to be financed under windows A and B

SCCF A – Adaptation	SCCF B – Transfer of Technologies
<ul style="list-style-type: none"> a) Water resources management b) Land management c) Agriculture d) Health e) Infrastructure development f) Fragile ecosystems (incl. mountain ecosystems) g) Integrated coastal zone management 	<ul style="list-style-type: none"> a) Implementation of the results of technology needs assessments b) Technology information c) Capacity-building for technology transfer d) Enabling environments

23. In addition, the UNFCCC COP9 guidance regarding windows A and B states that:

- a) The Special Climate Change Fund should serve as a catalyst to leverage additional resources from bilateral and other multilateral sources;
- b) Activities to be funded should be country-driven, cost-effective and integrated into national sustainable development and poverty-reduction strategies;
- c) Adaptation activities to address the adverse impacts of climate change shall have top priority for funding;
- d) Technology transfer and its associated capacity-building activities shall also be essential areas to receive funding from the SCCF.

24. To date, only the windows for Adaptation, SCCF A, and Transfer of Technologies, SCCF B, feature available funding and approved projects. The GEF received additional COP guidance at COP12 in 2006 on how to operationalize a program in the areas of C and D; these two windows however still remain unfunded.¹²

25. Unlike the GEF Trust Fund, which is replenished every four years, the SCCF and LDCF receive voluntary contributions with no regular replenishment schedule. This leads to a high level of financing uncertainty, as also concluded in the recently completed LDCF evaluation.¹³

26. In 2004, the GEF Council approved the first *'Programming to Implement the Guidance for the Special Climate Change Fund'*.¹⁴ This document entails the operationalization of COP guidance on the SCCF, putting forward general principles for the implementation of the fund as well as specific programs for funding windows A and B.

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

- Applying the GEF project cycle,

¹² COP Decision 1/CP12.

¹³ Cowi/IIED prepared for DANIDA and GEFO, 2009.

¹⁴ GEF/C.24/12.

- Expedited procedures,
- GEF Council rules and procedures during the SCCF/LDCF Council meetings,
- Monitoring and evaluation policies and procedures.

28. The 2004 programming document defines the application of the ‘additional adaptation cost’ and the incremental cost in the context of the SCCF:

- For activities under window A as well as transfer of adaptation technologies under window B, access to SCCF adaptation funding requires the application of the ‘*additional cost of adaptation*’, referring to additional costs incurred for adaptation activities addressing climate change impacts. Additional adaptation costs are defined in the context of a specific development project/program and are not aimed at generating global environmental benefits.¹⁵
- For transfer of mitigation technologies under window B, the SCCF will finance the incremental costs and seek to serve as a catalyst to leverage additional resources for the transfer of technology.

‘The incremental costs will be those costs directly associated with securing the global benefits arising from the wide scale adoption of clean technologies in participating countries. [...] Incremental analysis of proposals for consideration will focus on defining the additional costs of the proposed activities; demonstrating how they are distinct from but make use of existing programs; and how the technology transfer process would be completed, that is, what are the avenues envisioned for the eventual investments.’¹⁶

Program for Adaptation

29. The “*Program for Adaptation*” included in the 2004 programming document reiterates the SCCF’s focus on the priority areas defined by the COP (see Table 1) and states that, in accordance to COP guidance, adaptation activities under the SCCF will:

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

30. Following the 2004 programming document, an overall GEF Adaptation Programming strategy was adopted for the LDCF/SCCF covering operations from July 1, 2010 until June 30, 2014. The 2010 financing strategy is proposing to:¹⁷

- Increase funding to support the growing volume and scale of interventions, taking advantage, for example, of the programmatic approach and other appropriate modalities;
- Increase the predictability of funding, in order to better facilitate medium-term planning of the resources; and

¹⁵ GEF Secretariat, 2004b.

¹⁶ GEF Secretariat, 2004b.

¹⁷ GEF Secretariat, 2010a.

- Channel GEF-managed adaptation financing resources through the SCCF and the LDCF, as the GEF-5 programming documents do not include adaptation.

31. This evaluation will largely take into consideration the programming strategy as endorsed by the GEF Council in November 2004 as the activities being evaluated have taken place before the adoption of the revised strategy of 2010.

Program for Technology Transfer

32. The *“Program for Technology Transfer”* included in the programming strategy (GEF/C.24/12) states that activities funded under SCCF B should seek to catalyze additional resources and focus on the transfer of environmentally sustainable technologies, concentrating on, but not limited to, technologies to reduce emissions or atmospheric concentrations of greenhouse gases. The SCCF does not provide investment capital for the transfer of technologies.

33. The objective of SCCF B is to be achieved through a two-step process:

- a) Identifying key technologies for transfer, and
- b) Building local capacity and improving the local enabling environment to facilitate the transfer of technologies.

Results-Based Management Framework

34. In addition to the programming document, a Results-Based Management (RBM) framework for adaptation has been devised by the GEF secretariat for the LDCF and SCCF. The LDCF/SCCF RBM applies to all adaptation projects funded under the SCCF, whether under SCCF A or SCCF B. Transfer of climate change mitigation technology, however, follows the RBM that applies to similar projects under the GEF Trust Fund. The LDCF/SCCF RBM framework draws upon the GEF RBM framework as well as previous work by the UNDP, GEF’s Adaptation Task Force and the GEF Evaluation Office. Along with the RBM framework, an Adaptation Monitoring and Assessment Tool (AMAT) has been developed by the GEF which defines the expected objectives of the SCCF within the approved thematic areas at local, national, regional and global levels.

- a) Reduce vulnerability to the adverse impacts of climate change, including variability;
- b) Increase adaptive capacity to respond to the impacts of climate change, including variability; and
- c) Promote transfer and adoption of adaptation technology.

35. Expected outcomes related to these three objectives include mainstreaming adaptation into broader development frameworks; reducing vulnerability in development sectors; diversifying and strengthening livelihoods; increasing knowledge of climate change and variability; strengthening adaptive capacity as well as awareness and ownership of

adaptation activities; demonstrate successful employment; and enhancing enabling environments to support adaptation technology transfer.¹⁸

C. Overview of the SCCF Portfolio as of June 2011

36. As of the end of December 2010, 14 participating countries have made pledges to the SCCF.¹⁹ The total amount pledged to date is about \$220 million. As of June 2011, the GEF LDCF/SCCF Council has approved \$136 million²⁰ from the SCCF Trust Fund to finance 33 SCCF projects plus two Multi Trust Fund (MTF) projects that feature an SCCF contribution;²¹ this is in addition to \$862 million provided in co-financing from other sources.²² SCCF projects are listed in Annex 1.
37. Available SCCF funding is about \$13.7 million as of June 2011.
38. Excluding MTF projects, the UNDP is the GEF Agency with the largest number of projects in the SCCF portfolio with 16 Council approved projects accounting for about 39% of the SCCF allocated funding. The World Bank is the Agency with the highest SCCF funding allocations per project, with an average of \$5.9 million per project compared to the \$3.6 million on average per UNDP project. The eight Council approved World Bank projects account for about 35% of the SCCF allocated funding. The World Bank projects on average generate a higher amount of co-financing compared to the UNDP (\$39.3 million versus \$16.1 million). Four other GEF Agencies, IFAD, EBRD, ADB and UNEP are also implementing or involved in jointly implementing a number of approved SCCF projects.²³
39. In May 2011, the SCCF Council approved its first two Multi Trust Fund (MTF) projects that combine funding from the SCCF, the LDCF and the GEF Trust Fund. One of them is a regional project in Africa implemented through the World Bank entitled “Sahel and West Africa Program in Support of the Great Green Wall Initiative.” This major initiative has an overall project cost of \$1.9 billion, of which \$100 million are covered by GEF sources. The SCCF contributes only \$4.2 million to the overall costs of the project. The other Multi Trust Fund project is a regional project in Asia jointly implemented by the ADB and UNEP. The SCCF contribution to the overall project costs of \$75 million is \$1.8 million.
40. Following UNFCCC guidance, the majority of the projects fall under SCCF-A (31) while four projects are funded under SCCF-B (Transfer of Technologies). There are currently seven mid-sized projects (MSPs) and 28 full-sized projects (FSPs): six MSPs fall under the Adaptation window, and one MSP falls under the Transfer of Technologies window. The SCCF allocation of funding was below \$1.1 million for seven projects, between \$1.1 and

¹⁸ GEF Secretariat – SCCF team, 2010. “Adaptation Monitoring Assessment Tool (AMAT). Can be accessed through the GEF website: <http://www.thegef.org>

¹⁹ Canada, Denmark, Finland, Germany, Ireland, Italy, Netherlands, Norway, Portugal, Spain, Sweden, Switzerland, United Kingdom, and the United States.

²⁰ This amount includes the grant and the agency fee.

²¹ Includes the four most recent projects approved under the LDCF/SCCF Joint Work Program at the May 2011 Council Meeting. The evaluation will include all approved projects up to June 30, 2011.

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

²³ PMIS, June 2011.

\$5 million for 17 projects, between \$5 and \$10 million for 10 projects and above \$10 million for one project.²⁴

Window/ Agency	#	SCCF Grant²⁵	Co- Financing	Total Financing	Average SCCF	Average Co- Financing	Average Total
a. Adaptation							
UNDP	14	49.7	254.9	304.6	3.6	18.2	21.8
World Bank	8	47.1	314.7	362.6	5.9	39.3	45.3
IFAD	3	7.6	33.7	41.3	2.5	11.2	13.8
UNEP	1	1.1	3.6	4.7	1.1	3.6	4.7
EBRD	1	2.7	23.0	25.7	2.7	23.0	25.7
Jointly- Implemented	2	11.3	219.2	230.5	5.6	109.6	115.2
Total Adaptation	29	120.3	849.1	969.4	4.1	29.3	33.4
b. Transfer of Technologies							
UNDP	2	3.8	3.6	7.4	1.9	1.8	3.7
IFAD	1	2.4	6.2	8.6	2.4	6.2	8.6
UNEP	1	9.0	2.9	11.9	9.0	2.9	11.9
Total TT	4	15.2	12.7	27.9	3.8	3.2	7.0
<i>Total UNDP</i>	16	53.5	258.5	312.0	3.6	16.1	19.5
<i>Total World Bank</i>	8	47.1	314.7	362.6	5.9	39.3	45.3
<i>Total IFAD</i>	4	10.0	39.9	49.9	2.5	10.0	12.5
<i>Total UNEP</i>	2	10.1	6.4	16.5	5.1	3.2	8.3
<i>EBRD</i>	1	2.7	23.0	25.7	2.7	23.0	25.7
<i>Total Joint- Implementati on</i>	2	11.3	219.2	230.5	5.6	109.6	115.2
Total SCCF	33	135.5	861.8	997.3	4.0	26.1	30.2

41. Though SCCF projects are spread across nearly 50 different countries (including regional initiatives covering multiple countries) a preliminary review showed that the majority of projects are located in Sub-Sahara Africa (9 projects). The largest amount of overall funding was allocated to projects in the East Asia and Pacific region (EAP, 28%) and Latin

²⁴ PMIS, June 2011.

²⁵ Includes GEF grant, agency fee and GEF grants for preparation.

American and the Caribbean region (LAC, 24%). The disparity in funding allocation is due to differences in project size: that is, about \$2.5 million on average in SSA²⁶ compared to \$4 million on average overall.

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

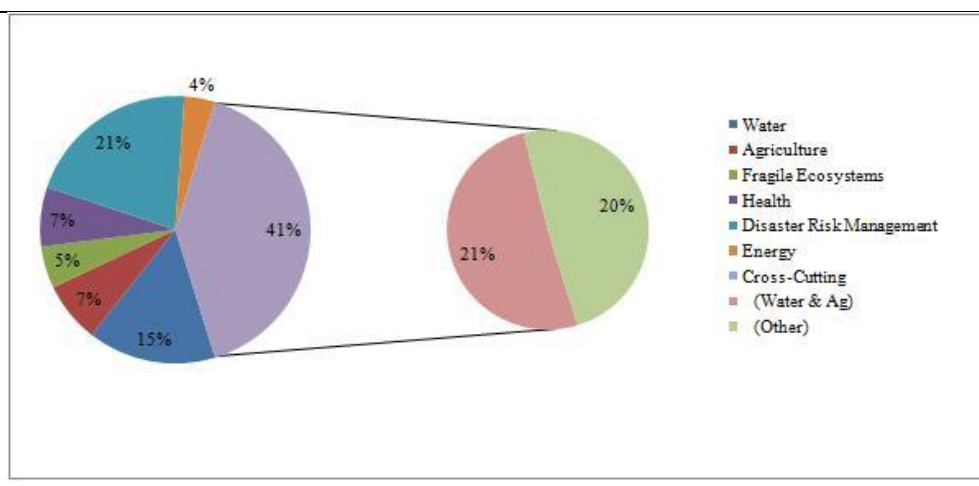
Agency	#	SCCF Grant	Co-Financing	Total Financing	Average SCCF	Average Co-Financing	Average Total
<i>Adaptation</i>							
EAP	7	38.1	392.1	430.2	5.4	56.0	61.5
ECA	3	11.8	51.9	63.7	3.9	17.3	21.2
LAC	5	29.0	108.3	137.3	5.8	21.6	27.5
MENA	3	12.5	126.6	139.1	4.2	42.2	46.4
SSA	9	22.4	150.2	172.6	2.5	16.7	19.2
Global	2	6.6	20.1	26.7	3.3	10.1	13.4
<i>Total Adaptation</i>	29	120.4	849.2	969.6	4.2	29.3	33.4
<i>T</i>							
LAC	2	3.8	3.6	7.4	1.9	1.8	3.7
MENA	1	2.4	6.2	8.6	2.4	6.2	8.6
Global	1	9.0	2.9	11.9	9.0	2.9	11.9
<i>Total TT</i>	4	15.2	12.7	27.8	3.8	3.2	7.0
<i>Total</i>							
EAP	7	38.1	392.1	430.2	5.4	56.0	61.5
ECA	3	11.8	51.9	63.7	3.9	17.3	21.2
LAC	7	32.8	111.9	144.7	4.7	16.0	20.7

²⁶ PMIS, June 2011.

²⁷ Health receives on average the same amount in co-financing, but is not considered here because there are only two projects in the portfolio.

MENA	4	14.9	132.8	147.6	3.7	33.2	36.9
SSA	9	22.4	150.2	172.6	2.5	16.7	19.2
Global	3	15.6	23.0	38.6	5.2	7.7	12.9
Total SCCF	33	135.5	861.8	997.3	4.0	26.1	30.2

Figure 1. Distribution of projects by Theme and Funding



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

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

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

D. Evaluation Limitations

45. The main limitation of the evaluation lies in the young age of the portfolio with few projects completed or under implementation. This translates into a limited availability of documents on implementation experience for the evaluation team in terms of project implementation reports, progress reports, project completion reports and ex-post evaluations.

²⁸ PMIS, June 2011.

46. The evaluation will accordingly concentrate on an assessment of the strategies and project designs as put forward by the project documents and complement this information with project results or preliminary results when available and appropriate. Information will be aggregated at the portfolio level.
47. In addition, the evaluation can only consider a small number of projects under the SCCF window B and of course no projects under funding windows C and D. Therefore, the evaluation will primarily concentrate on assessing the SCCF experience with adaptation strategies and projects. Projects and strategies in the other three windows will be considered in a more limited way, particularly assessing issues such as responsiveness to guidance as well as availability and accessibility of funds.

E. Evaluation Objectives and Key Areas of Interest

48. The main objective of the evaluation is to provide the LDCF/SCCF Council with evaluative evidence on the progress towards SCCF objectives as well as main achievements and lessons learned from the implementation of the SCCF so far, and to provide recommendations on the way forward for the SCCF.
49. The evaluation therefore focuses on the overarching question:
What are the key lessons that can be drawn from the implementation of the SCCF ten years after its establishment?
50. As the COP has requested feedback from parties and other entities on their experience with the SCCF, it is expected that the findings and recommendations from this evaluation will also be shared with the UNFCCC COP 17.
51. The evaluation will target two levels: the fund level and the project level. At the fund level, the evaluation will focus on the SCCF governance and management.
52. The SCCF evaluation will assess the implementation of the SCCF using aggregated data along four standard evaluation criteria: **relevance, efficiency, effectiveness, and results** (and their sustainability). Within each of these, the evaluation will identify and focus on a set of key areas of interest to specify and substantiate the respective criterion.

Four evaluation criteria:

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

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

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

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

I. RELEVANCE

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

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

The following table presents the key aspects of guidance given by UNFCCC COP 9:

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

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

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

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

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

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

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

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

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

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

II. EFFICIENCY

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

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

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

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

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

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

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

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

III. EFFECTIVENESS

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

A. Fund level effectiveness.

- a) Progress towards the achievement of objectives as summarized in the fund's RBM framework (GEF/LDCF.SCCF.7/4, para. 4):
 - Objective 1: Reduce vulnerability to the adverse impacts of climate change, including variability, at local, national, regional and global level.
 - Objective 2: Increase adaptive capacity to respond to the impacts of climate change, including variability, at local, national, regional and global level.
 - Objective 3: Promote the transfer and adoption of adaptation technology.
- b) Progress towards achievement of targets, expected outcomes, reported according to the agreed indicators as defined in the Adaptation Monitoring and Assessment Tool (AMAT);
- c) Effectiveness of the applied prioritization of sectors, regions and types of adaptation and technology transfer activities;
- d) The SCCF's ability to continuously improve its “responsiveness to countries and to the guidance of the Parties” (see GEF/C.24/12, para. 8).

B. Portfolio level effectiveness:

- a) Progress regarding the expected outcomes at the aggregated project level for each priority area of intervention as illustrated in Annex 2 of the RBM Framework (GEF/LDCF.SCCF.6/4);
- b) The methodological and scientific soundness of the assessment of vulnerability and adaptive/technology needs as well as the corresponding choice of the proposed adaptation/technology transfer activities;
- c) The effectiveness of the adaptation activities supported by the SCCF in strengthening resilience and adaptive capacity in recipient countries, including the projects' contribution to:

- increasing awareness, knowledge and understanding of climate-induced threats in recipient countries;
 - mainstreaming adaptation into the broader political and development agenda of recipient countries;
 - enhancing an enabling environment for the transfer, demonstration and deployment of adaptation-related technologies;
- d) The degree of stakeholder involvement and level of coordination with international and regional organizations whose expertise is relevant to adaptation or technology transfer.
 - e) Provisions integrated into the project design and strategy to ensure the project's flexibility to react to changes in the project context, available information, scientific advances as well as lessons learned during the project itself that require an adjustment of the project.
 - f) Provisions integrated into the project design and strategy to enhance the sustainability, replicability and scalability of SCCF funded project achievements.
 - g) The project's contribution to learning and knowledge dissemination regarding the effectiveness of climate change adaptation/technology transfer activities in view of effectiveness improvements of future projects.

IV. RESULTS/SUSTAINABILITY

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

A. Fund level results. The evaluation will:

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

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

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

F. Methods, Processes and Outputs

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

I. Evaluation Background Information

- a) **Literature review:** A review of relevant literature will be conducted with a focus on previous evaluations of adaptation projects, programs and strategies, information on the development of adaptation activities as well as activities dealing with mainstreaming of adaptation into national policies and procedures.
- b) **Meta evaluation of prior evaluations of SCCF projects:** Over the last few years, the GEFEO and other agencies have conducted evaluations that have reviewed SCCF funded projects. The evaluation team will conduct a meta-evaluation to synthesize lessons, findings and experiences from prior assessments of SCCF funded projects.
- c) **Compilation of UNFCCC COP Decisions and LDCF/SCCF Council guidance:** The evaluation team will compile all relevant guidance from both institutions to be considered in the assessment.
- d) **Assessment of M&E Systems, including an initial assessment of the AMAT.**

II. Data Collection

- a) **SCCF Portfolio database:** A database of all SCCF projects will be prepared including basic project information such as project cycle, financing (including co-financing), implementing institutions involved, themes, countries, main objectives, key partners, and implementation status.
- b) **Project reviews:** Every SCCF project will be subject to a desk review and all project related information available will be analyzed and interviews will be conducted with relevant project stakeholders. The data gathered from the project reviews will be

aggregated at the portfolio level and used to evaluate the SCCF as a whole. A protocol will be developed to assess the projects in a systematic manner and ensure that project level key questions are addressed coherently.

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

Project Status \ Evaluation criteria	Relevance	Efficiency	Effectiveness	Results
Completed	Full	Full	Full	Full
Ongoing	Full	Partially	Likelihood	Likelihood
Approved but not under Implementation	Expected	Process	n.a.	n.a.

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

III. Data Analysis

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

G. Dissemination

56. This draft evaluation report will be shared with GEF agencies and presented at the LDCF/SCCF Council meeting in November 2011. Its target audience will be the GEF Council and all GEF stakeholder as well as the general public and professionals interested in climate change adaption, technology transfer and development. The draft report will be circulated and validated before finalization through a comprehensive stakeholder feedback process.
57. Results of the evaluation will be presented to the UNFCCC Conference of the Parties (COP). COP Decision 4/CP.16 requested the GEF to “include in its report to the Conference of the Parties at its seventeenth session information on the implementation” of the SCCF (December 2010).
58. The evaluation will be made available through the GEF Evaluation Office website and will be distributed to the LDCF/SCCF Council members, GEF country focal points, GEF Secretariat, the GEF climate change task force, STAP, relevant GEF Agency and UNFCCC Secretariat staff and other interested parties through email. A two page summary (Signpost) of the report will be produced and disseminated in 3 languages (English, French and Spanish).
59. Learning products from this evaluation will be identified and developed for specific and targeted audiences. The evaluation team will explore possibilities of undertaking a film recording during the field visits.
60. Knowledge sharing will also be explored with the activities under the Community of Practice on Climate Change and Development. The SCCF evaluation will be included in the electronic repository, published on the wiki as well as disseminated through any side-event/workshops held under the Community of Practice. The evaluation will also be disseminated through the partnerships built under the Community of Practice initiative including e.g. DAC-DeREC, IDS- ELDIS, WB library, UNDP Adaptation Learning Mechanism, etc.

H. Time Frame

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

Calendar Year: 2011 (month)	1	2	3	4	5	6	7	8	9	10	11	12
Tasks												
I Evaluation Design												
Approach paper												
TORs												
Select Sr. Consultant												

Protocol Development												
II Evaluation Context												
Literature Review												
M&E Review												
Guidance Review												
Evaluation Matrix												
Meta Evaluation												
III Data Collection												
Interviews												
Project Desk Review												
Field Visits												
IV Analysis												
Data analysis												
Draft Report												
Consultation Workshop												
Final Document												
V Presentations												
Presentation to Council												
Presentation to COP17												

Annex 1: Overview of SCCF Portfolio

PMIS ID	Country	Project Title	Agency	Project Status	SCCF Total Costs (Approved)	Co-financing Total (Approved/Expected)	Total project Cost
Adaptation							
4261	Azerbaijan	Integrating climate change risks into water and flood management by vulnerable mountainous communities in the Greater Caucasus region of Azerbaijan	UNDP	Council Approved	3.1	7.4	10.4
3265	China	Mainstreaming Adaptation to Climate Change Into Water Resources Management and Rural Development	World Bank	Under implementation	5.8	50.5	56.3
2931	Ecuador	Adaptation to Climate Change through Effective Water Governance	UNDP	Under implementation	3.7	16.3	20.0
3242	Egypt	Adaptation to Climate Change in the Nile Delta	UNDP	CEO Endorsed	4.5	12.9	17.4
3154	Ethiopia	Coping with Drought and Climate Change	UNDP	Under implementation	1.1	1.9	3.0
4368	Ghana	Promoting a Value Chain Approach to Adaptation in Agriculture	IFAD	Council Approved	2.9	8.6	11.5
3679	Global	Economic Analysis of Adaptation Options in support of decision making	UNEP	Project completion	1.1	3.6	4.7
3218	Ghana	Climate Change and Human Health Programme	UNDP	CEO Endorsed	2.0	55.8	57.8
2553	Global (Barbados, Fiji, Uzbekistan, Jordan, Bhutan, Kenya, China)	Piloting Climate Change Adaptation to Protect Human Health	UNDP	CEO Endorsed	5.5	16.6	22.1
3227	Guyana	Conservancy Adaptation Project	World Bank	Under implementation	4.1	16.2	20.3
4340	Indonesia	Strategic Planning and Action to strengthen climate Resilience of rural Communities in Nusa Tenggara Timor province (SPARC)	UNDP	PIF cleared for Council Approval	5.0	54.9	59.9
3249	Kenya	Adaptation to Climate Change in Arid Lands (KACCAL)	World Bank/UNDP	CEO Endorsed	7.4	42.2	49.6
3159	Mexico	Adaptation to Climate Change Impacts on the Coastal Wetlands in the Gulf of Mexico through Improved Water Resource Management	World Bank	CEO Endorsed	5.3	19.0	24.3
3695	Mongolia	Mongolia Livestock Sector Adaptation Project	IFAD	CEO Endorsed	1.8	11.6	13.4
3967	Morocco	Integrating Climate Change in Development Planning and Disaster Prevention to Increase Resilience of Agricultural and Water Sectors	World Bank	Council Approved	5.0	100.2	105.2
3155	Mozambique	Coping with Drought and Climate Change	UNDP	CEO Approved	1.0	0.9	2.0

PMIS ID	Country	Project Title	Agency	Project Status	SCCF Total Costs (Approved)	Co-financing Total (Approved/Expected)	Total project Cost
4492	Nicaragua	Adaptation of Nicaragua's Water Supplies to Climate Change	World Bank	CEO Approved	6.6	31.5	38.1
3966	Pakistan	Promotion of Rural Livelihoods through Adaptation Support Programme	IFAD	Council Approved	3.0	13.5	16.5
3243	Philippines	Climate Change Adaptation Project	World Bank	CEO Endorsed	5.8	50.6	56.4
2902	Regional (Bolivia, Peru, Ecuador)	Design and Implementation of Pilot Climate Change Adaptation Measures in the Andean Region	World Bank	Under implementation	9.3	25.2	34.5
3101	Regional (Cook Islands, Micronesia, Fiji, Nauru, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu, Vanuatu)	Pacific Islands Adaptation to Climate Change Project (PACC)	UNDP	Under implementation	14.8	44.7	59.5
4515	Regional (Albania, Macedonia, Serbia)	Southeastern Europe and Caucasus Catastrophe Risk Insurance Facility (SEEC CRIF)	World Bank	Council Approved	6.0	21.5	27.5
3934	South Africa	Reducing Disaster Risks from Wildfire Hazards Associated with Climate Change in South Africa	UNDP	Council Approved	4.0	32.0	36.0
4255	Swaziland	Adapting National and Transboundary Water Resource Management in Swaziland to Manage Expected Climate Change	UNDP	Council Approved	1.8	6.1	7.9
4422	Tajikistan	Increasing Climate Resilience through Drinking Water Resources Management in North Tajikistan	EBRD	CEO Endorsed	2.7	23.0	25.7
2832	Tanzania	Mainstreaming Climate Change in Integrated Water Resources Management in Pangani River Basin	UNDP	Project completion	1.1	1.6	2.7
3299	Thailand	Climate Change Disaster Risk Reduction: Strengthening Vulnerable People's Capacity to Address the Risk and Impacts of Climate Change and Extreme Weather Events	UNDP	CEO Approved	1.0	2.7	3.7
3103	Vietnam	Climate-resilient Infrastructure Planning and Coastal Zone Development in Vietnam	ADB/UNDP	Council Approved	3.9	177.1	180.9
3156	Zimbabwe	Coping with Drought and Climate Change	UNDP	Under implementation	1.1	1.2	2.2
Technology Transfer							
4040	Brazil	RCCS - Renewable CO2 Capture and Storage from Sugar Fermentation Industry in Sao Paulo State	UNDP	Council Approved	3.0	2.7	5.7

PMIS ID	Country	Project Title	Agency	Project Status	SCCF Total Costs (Approved)	Co-financing Total (Approved/Expected)	Total project Cost
3907	Global	Technology Needs Assessment	UNEP	CEO Endorsed	9.0	2.9	11.9
4036	Jordan	DHRS Irrigation Technology Pilot Project to face Climate Change impact in Jordan	IFAD	Council Approved	2.4	6.2	8.6
4060	Jamaica	Introduction of Renewable Wave Energy Technologies for the Generation of Electric Power in Small Coastal Communities in Jamaica	UNDP	PPG Approved	0.8	0.9	1.7
Total					135.5	861.8	997.3

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