

PROGRAM EVALUATION OF THE SPECIAL CLIMATE CHANGE FUND

(Prepared by the Independent Evaluation Office of the GEF)

- APPROACH PAPER -

3 November 2016

Points of contact:

Ms. Anna Viggh, Senior Evaluation Officer, aviggh@thegef.org

Mr. Dennis Bours, Evaluation Officer, dbours@thegef.org

TABLE OF CONTENTS

Table of Contents	i
Figures and Tables	ii
I. Background of the SCCF and Context	1
Introduction	1
Background and Context.....	1
II. Meta-Evaluation Review	7
III. Purpose, Objective and Audience.....	9
Purpose	9
Objective	9
Stakeholders and audience.....	10
IV. Evaluation Questions and Coverage	10
Theory of Change	10
Breadth and Depth of Coverage	12
Specific Questions to be Answered by the Evaluation	14
Assessing performance	15
V. Evaluation Design and Limitations.....	15
Evaluation Design.....	15
Limitations.....	17
VI. Quality assurance.....	17
Expected outputs and outreach	17
VII. Resources	18
Budget.....	18
Team and Skills Mix.....	18
List of Abbreviations	20
Annex A: Conclusions and Recommendations of the 2011 SCCF Evaluation	22
Annex B: UNFCCC COP Guidance and Decisions.....	24
Annex C: Overview of Completed SCCF Projects	33
Annex D: SCCF Portfolio Composition	35
SCCF Portfolio by GEF Replenishment Phase.....	37
SCCF Portfolio by Implementing Agency	38
SCCF Portfolio by Region.....	39
Annex E: Results Framework of the GEF Adaptation Program.....	41
Annex F: Core Gender Indicators	43

FIGURES AND TABLES

Figure 1: Overview of SCCF Activity Windows.....	3
Figure 2: Multilateral Financial Mechanisms with an Adaptation Focus.....	4
Figure 3: Theory of Change.....	11
Table 1: Summary of Number of SCCF Projects by Project Status	6
Table 2: Budgetary Allocation by Project Status	6
Table 3: Budgetary Allocation by Project Type, including Co-financing.....	7
Table 4: Inclusion of SCCF Projects According to Project Status	15
Table 5: Evaluation Timeline.....	19
Table 6: Overview of UNFCCC COP Guidance and Decisions.....	24
Table 7: Overview of Completed SCCF Projects	33
Table 8: Number of SCCF Projects by Project Status	35
Table 9: Number of SCCF Projects by Project Status – Compacted.....	35
Table 10: SCCF Projects’ Grant Value by Project Status (M\$)	36
Table 11: SCCF Projects’ Grant Value by Project Status - Compacted (M\$).....	36
Table 12: Number of SCCF Projects by GEF Replenishment Phase	37
Table 13: Project Status by GEF Replenishment Phase	37
Table 14: SCCF Projects' Grant Value by GEF Replenishment Phase (M\$).....	37
Table 15: SCCF Projects’ Grant Value for Project Status by GEF Replenishment Phase (M\$).....	38
Table 16: Number of SCCF Projects by Implementing Agency	38
Table 17: SCCF Projects' Grant Value by Implementing Agency (M\$).....	39
Table 18: Number of SCCF Projects by Region	39
Table 19: SCCF Projects' Grant Value by Region (M\$).....	40
Table 20: Results Framework of the GEF Adaptation Program.....	41
Table 21: Core Gender Indicators	43

I. BACKGROUND OF THE SCCF AND CONTEXT

Introduction

1. The Least Developed Countries Fund/Special Climate Change Fund (LDCF/SCCF) Council at its 18th meeting in June 2015 approved the Four-Year Work Program of the Independent Evaluation Office of the Global Environment Facility (IEO)¹, which for fiscal year 2017 (FY17) was updated at the 20th LDCF/SCCF council Meeting², includes a program evaluation of the Special Climate Change Fund (SCCF) during FY17. The evaluation is seen as an update of the 2011 Evaluation of the SCCF.^{3 4} The update will provide evaluative evidence on the progress towards SCCF objectives as well as the major achievements and lessons learned since SCCF's establishment in 2001 and during the past 9 years of project implementation. The evaluation will follow-up on the conclusions and recommendations of the 2011 SCCF evaluation, and will provide the LDCF/SCCF Council with evaluative evidence of the Fund's relevance and emerging results. An overview of the 2011 SCCF evaluation recommendations is provided in annex A.

Background and Context

2. The SCCF was first established in July 2001 with the approval of Decision 5/CP.6 by the 6th Conference of the Parties (COP) of the UN Framework Convention on Climate Change (UNFCCC) held at The Hague.⁵ The decision states:

“That a special climate change fund shall be established to finance activities, programmes and measures related to climate change that are complementary to those funded by the resources allocated to the Global Environment Facility (GEF) 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, par. 8(h) [i.e. economies dependent on income from fossil fuels] in diversifying their economies.”⁶

3. The SCCF is mandated by parties to the UNFCCC to provide support to Parties not included in Annex I. With its broad scope covering climate change adaptation as well as

¹ IEO, [Four-Year Work Program and Budget for the Independent Evaluation Office of the GEF under the LDCF and SCCF](#), May 08 2015. Council Document GEF/LDCF.SCCF.18/ME/01/Rev.01.

² IEO, [FY17 Work Program and Budget for the Independent Evaluation Office of the GEF under the LDCF and SCCF](#), June 09 2016. Council Document GEF/LDCF.SCCF.20/ME/04.

³ IEO, [Evaluation of the Special Climate Change Fund](#), October 11 2011. Council Document GEF/LDCF.SCCF.11/ME/02.

⁴ IEO, [Evaluation of the Special Climate Change Fund, Volume 1: Evaluation Report](#), April 2012. Evaluation Report No. 73.

⁵ UNFCCC, Decision 5/CP.6 Funding under the Convention, Document [FCCC/CP/2001/5](#) (Annex, Core Elements for the Implementation of the Buenos Aires Plan of Action, I Funding under the Convention).

⁶ Ibid, page 38.

mitigation, the SCCF represented the only comprehensive climate change fund under the UNFCCC until the establishment of the Green Climate Fund (GCF). Subsequent guidance was provided to the GEF by COP-6 (2001), COP-7 (2001), COP-8 (2002), COP-9 (2003), COP-10 (2004), COP-12 (2006), COP-16 (2010), COP-18 (2012) and COP-21 (2015) further defining the design of the SCCF.⁷ An overview of UNFCCC COP guidance and decisions is provided in annex B. In particular at COP-9 and COP-12, the SCCF was requested to prioritize funding for different activities granting “top priority” to adaptation activities that focus on health, disaster risk management, technology transfer, mitigation activities in specific sectors, and activities that support economic diversification with the aim of moving away from the production, processing, export and/or consumption of fossil fuels and associated energy-intensive products. The SCCF is to support activities in four windows (figure 1).

4. The SCCF is one of a limited number of multilateral funds providing funding for innovative adaptation projects (figure 2). However, its COP-prescribed mandate goes well beyond adaptation. It should also be noted that the multilateral funds in figure 2 all have their specific adaptation focus or niche. For example, the Adaptation Fund has financed in particular community-based adaptation, while the GCF has taken previously financed concepts and scaled them up towards achieving transformational impact. The SCCF has focused more on highly innovative approaches in new and emerging adaptation areas, which provide the basis for upscaling by other financing mechanisms.

5. By the first LDCF/SCCF Council meeting in December 2006, thirteen contributing participants had pledged \$61.5 million towards the SCCF, of which \$40.6 million was received in payments.⁸ As of April 30 2007, cumulative net project allocations approved by Council or CEO amounted to \$17.1 million and the first SCCF projects started implementation in August 2007.⁹

6. The emergence of the GCF is changing the international climate finance landscape. The GCF was proposed during the 2009 Conference of Parties (COP-15) in Copenhagen, Denmark, formally established during the 2010 COP (COP-16) in Cancún, Mexico, accepted by Parties during the 2011 COP (COP-17) in Durban, South Africa, and made operational in the summer of 2014.¹⁰ It aims to support a paradigm shift in the global response to climate change by allocating resources to low-emission and climate-resilient projects and programmes in developing countries. It does so in the form of grants, equity investments and concessional lending, opposed to the SCCF only providing grants.^{11 12} With its adaptation and mitigation

⁷ FCCC/CP/2001/5 Decision 5/CP.6; FCCC/CP/2001/13/Add.1 Decision 4/CP.7, Decision 5/CP.7, Decision 7/CP.7; FCCC/CP/2002/7/Add.1 Decision 7/CP.8; FCCC/CP/2003/6/Add.1 Decision 5/CP.9; FCCC/CP/2004/10/Add.1 Decision 1/CP.10; FCCC/CP/2006/5/Add.1 Decision 1/CP.12; FCCC/CP/2010/7/Add.2 Decision 2/CP.16, Decision 4/CP.16; FCCC/CP/2012/8/Add.1 Decision 9/CP.18; FCCC/CP/2015/10/Add.1 Decision 1/CP.21.

⁸ GEF, [Status Report on the Climate Change Funds](#), November 30 2006. Council Document GEF/LDCF/SCCF.1/Inf.2/Rev.1.

⁹ GEF, [Status Report on the Climate Change Funds](#), May 17 2007. Council document GEF/LDCF.SCCF.2/Inf.2.

¹⁰ Richard K. Lattanzio, [International Climate Change Financing: The Green Climate Fund \(GCF\)](#), November 17 2014. Congressional Research Service, Document No. R41889.

¹¹ GCF, [Status of the Fund’s portfolio: pipeline and approved projects](#), June 15 2016. Board Meeting Document GCF/B.13/Inf.10.

¹² GCF, [Business Model Framework: Financial Instruments](#), June 10 2013. Board Meeting Document GCF/B.04/06.

mandate, combination of financial instruments, \$9.9 billion in signed pledges and \$1.8 billion of that amount having been received, the GCF is expected to change the landscape of international climate finance and that might potentially change the role of the SCCF.^{13 14}

Figure 1: Overview of SCCF Activity Windows

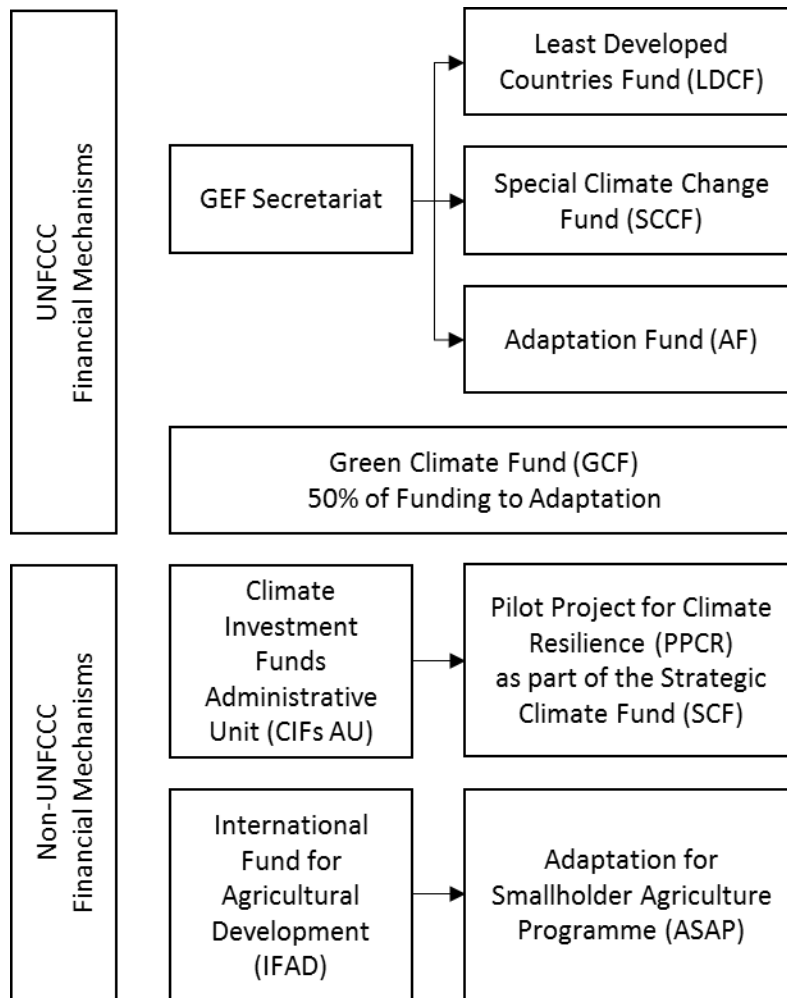
SCCF-A: Adaptation	SCCF-B: Transfer of technology
Adaptation in the following areas: 1. Water resources management 2. Land management 3. Agriculture 4. Health 5. Infrastructure development 6. Fragile ecosystems (including mountain ecosystems), and 7. Integrated coastal zone management. (COP-9 Decision 5/CP.9, Par.2)	1. Implementation of the results of technology needs assessments 2. Technology information 3. Capacity-building for technology transfer, and 4. Enabling environments. (COP-9 Decision 5/CP.9, Par.3)
SCCF-C: Mitigation in selected sectors	SCCF-D: Economic diversification
Sectors including: 1. Energy 2. Transport 3. Industry 4. Agriculture 5. Forestry, and 6. Waste management. (COP-12 Decision 1/CP.12, Par.1)	1. Capacity-building at the national level in the area of economic diversification, and 2. Technical assistance with respect to the investment climate, technological diffusion, transfer and innovation, and investment promotion of less GHG emitting, environmentally sound energy sources and more advanced fossil-fuel technologies. (COP-12 Decision 1/CP.12, Par.2)

7. The GEF acts as an operating entity of the financial mechanism of the UNFCCC and was entrusted with the (financial) operation of the SCCF. The SCCF is separate to the GEF Trust Fund, and the LDCF and SCCF have their own Council. However, the governance structure, operational procedures and policies that apply to the GEF Trust Fund are also applied to the LDCF and SCCF, *unless* the LDCF/SCCF Council decides that it is necessary for either the SCCF or the LDCF to modify procedures in response to COP guidance or to facilitate the operations of the Funds to successfully achieve their respective objectives.

¹³ GCF, [Fifth Report of the Green Climate Fund to the Conference of the Parties to the United Nations Framework Convention on Climate Change](#), June 8 2016. Board Meeting Document GCF/B.13/04.

¹⁴ GCF, [Audited financial statements of the Green Climate Fund for the year ended 31 December 2015](#), June 23 2016. Board Meeting Document GCF/B.13/22.

Figure 2: Multilateral Financial Mechanisms with an Adaptation Focus



8. Unlike the GEF Trust Fund, which is replenished every four years, the SCCF receives voluntary contributions with no regular replenishment schedule. This has led to a high level of financing uncertainty.

9. Because requests for funding significantly exceed the available resources, pre-selection criteria were developed in 2012 that focus on project or program quality, balanced distribution of funds in eligible countries, equitable regional distribution, balanced support for all priority sectors, and balanced distribution among GEF Agencies based on comparative advantage.^{15 16}

¹⁵ GEF, [Pre-Selection Criteria for Projects and Programs Submitted under the Special Climate Change Fund](#), May 7 2012. Council Document GEF/LDCF.SCCF.12/Inf.05.

¹⁶ GEF, [Updated Operational Guidelines for the Special Climate Change Fund for Adaptation and Technology Transfer](#), October 16 2012. Council Document GEF/LDCF.SCCF.13/05.

10. There are currently 18 GEF Agencies related to the SCCF. They comprise the original three GEF ‘implementing agencies’ (IAs) (UNDP, UNEP and World Bank) plus the seven former ‘executing agencies’ – Asian Development Bank (ADB), the African Development Bank (AfDB), the European Bank for Reconstruction and Development (EBRD), the Inter-American Development Bank (IDB), the Food and Agricultural Organization of the UN (FAO), the International Fund for Agricultural Development (IFAD), and the United Nations Industrial Development Organization (UNIDO). These ten agencies are called the GEF Agencies. Eight newly accredited agencies – Conservation International (CI), Development Bank of Latin America (CAF), Development Bank of Southern Africa (DBSA), the Foreign Economic Cooperation Office, Ministry of Environmental Protection of China (FECO), Fundo Brasileiro para a Biodiversidade (FUNBIO), the International Union for Conservation of Nature and Natural Resources (IUCN), West African Development Bank (BOAD), and the United States World Wildlife Fund (WWF-US) – are called GEF Project Agencies. They have no corporate responsibilities.

11. These 18 GEF Agencies have SCCF access for the preparation and implementation of activities financed by the Fund. As of May 31 2016, ten GEF Agencies were involved in SCCF operations (ADB, AfDB, EBRD, FAO, IADB, IFAD, UNDP, UNEP, UNIDO and World Bank). The SCCF portfolio as of October 27 2016 consists of 76 projects that are council approved, CEO endorsed, CEO approved, under implementation or completed. The World Bank is holding the largest financial share of the SCCF portfolio with \$103.7 million, being 29.8 percent of total funds approved, while UNDP holds the largest share in number of projects with 22 projects, or 28.9% of the portfolio. Of the 76 projects 8 projects are medium size projects (MSP), while 68 are full size projects (FSP). According to GEF’s Project Management Information System (PMIS), cross-referenced with LDCF/SCCF progress reports to Council, a total of \$347.5 million in project financing is allocated for these projects, while they leveraged close to \$3 billion in co-financing. Ten of the 76 projects are multi-trust fund projects, representing a total SCCF financing value of \$32.9 million. A total of 6 MSP and 8 FSP projects, with an SCCF financing value of \$66.1 million has been completed. These 14 projects leveraged \$227.6 million in co-financing. The average duration of an SCCF project is 4 years and 2 months.

12. An overview of basic figures regarding numbers of projects and budgetary allocation is presented in table 1, table 2 and table 3. An overview of completed SCCF projects is provided in annex C. More extensive tables on the SCCF portfolio composition are provided in annex D.

13. As of September 30 2016, 15 donors pledged and signed Contribution Agreements or Contribution Arrangements amounting to \$351.3 million, including \$291 million towards SCCF-A window for adaptation and \$60.3 million towards the SCCF-B window for technology transfer. A total of \$346.8 million in cash has been received to date from these donors. Activity windows SCCF-C and SCCF-D have not received any pledges or contributions to date. The SCCF Trust Fund earned investment income of approximately \$15.9 million on its undisbursed balance.¹⁷

¹⁷ World Bank, [Status Report for the Special Climate Change fund - Financial Report prepared by the Trustee](#), October 14 2016. Council Document GEF/LDCF.SCCF.21/Inf.03.

Table 1: Summary of Number of SCCF Projects by Project Status

Project Status ¹	Medium Size Projects (MSP)		Full Size Projects (FSP)		Grand Total		% of Grand Total
	SCCF	MTF	SCCF	MTF	SCCF	MTF	
Council Approved			3	1	3	1	5.3%
CEO Endorsed			26	5	26	5	40.8%
CEO Approved	1	1			1	1	2.6%
Under Implementation			22	3	22	3	32.9%
Project Completion	6		8		14		18.4%
Total²	7	1	59	9	66	10	100.0%
Grand Total²	8		68		76		

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count and status might have changed since.

² Only council approved, CEO endorsed/approved, under implementation and completed projects taken into account.

Table 2: Budgetary Allocation by Project Status

Project Status ¹	Budgetary Allocation (M\$)						% of Grand Total
	Medium Size Projects (MSP)		Full Size Projects (FSP)		Grand Total		
	SCCF	MTF	SCCF	MTF	SCCF	MTF	
Council Approved			19.20	9.45	19.20	9.45	8.2%
CEO Endorsed			141.21	13.21	141.21	13.21	44.4%
CEO Approved	2.19	0.50			2.19	0.50	0.8%
Under Implementation			85.92	9.78	85.92	9.78	27.5%
Project Completion	6.39		59.66		66.05		19.0%
Total²	8.59	0.50	305.98	32.43	314.57	32.93	100.0%
Grand Total²	9.09		338.42		347.50		

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count, status and value might have changed since.

² Only council approved, CEO endorsed/approved, under implementation and completed projects taken into account.

14. As of September 30 2016, cumulative funding decisions by the LDCF/SCCF Council and the GEF CEO amounted to \$357.4 million.¹⁸

¹⁸ Ibid.

Table 3: Budgetary Allocation by Project Type, including Co-financing

Project Type ¹	Trust Fund	No. of Projects	Budgetary Allocation (M\$)			Co-financing as % of Grand Total
			SCCF	Co-financing	Grand Total	
Medium Size Projects (MSP)	SCCF	7	8.59	23.30	31.89	73.1%
	MTF	1	0.50	7.00	7.50	93.3%
Full Size Projects (FSP)	SCCF	59	305.98	2,192.80	2,498.79	87.8%
	MTF	9	32.43	393.02	425.45	92.4%
Total²	SCCF	66	314.57	2,216.10	2,530.67	87.6%
	MTF	10	32.93	400.02	432.95	92.4%
Grand Total²		76	347.50	2,616.12	2,963.63	88.3%

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count and value might have changed since.

² Only council approved, CEO endorsed/approved, under implementation and completed projects taken into account.

II. META-EVALUATION REVIEW

15. The UNDP Evaluation Office carried out an independent evaluation of UNDP's work with LDCF/SCCF resources, published in 2009.¹⁹ The average time elapsed between Project Information Form (PIF) approval and CEO endorsement/approval of projects was 410 days (approximately 13 to 14 months), well within the 22-month maximum permitted time frame for FSP project preparation that starts at PIF approval. The evaluation's recommendations were not well targeted, stating they concerned "several organizations and actors, at various levels." It was not always clear whether individual recommendations were aimed at the LDCF or SCCF specifically. The evaluation did conclude that due to "the freezing of SCCF funding, the process [ed. refers to project cycle] process has been on hold for several years [...] and PIFs made previously may become obsolete and need to be redefined, should new funding become available."²⁰ It should be noted that currently there is no hard pipeline of SCCF projects. Once projects are submitted, and assessed for technical merit by the GEF Secretariat in collaboration with STAP, they are either approved or not approved. Funding proposals that were not approved are not queued into a pipeline as is the case for the LDCF.

16. The 2011 evaluation of the GEF Strategic Priority for Adaptation (SPA) pilot program aimed to provide lessons learned from implementation of the first climate change adaptation strategy supported by the GEF.²¹ One of the evaluation's recommendations stated that the GEF should 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. The

¹⁹ UNDP EO, [Evaluation of UNDP Work with Least Developed Countries Fund and Special Climate Change Fund Resources](#), 2009.

²⁰ Ibid, p. 26.

²¹ IEO, [Evaluation of the GEF Strategic Priority for Adaptation \(SPA\) – Evaluation Report No. 61](#), July 2011.

expanding of synergies with other GEF focal areas is one of the two strategic pillars part of the GEF programming strategy on climate change adaptation for the LDCF and the SCCF.²²

17. The IEO conducted an evaluation of the SCCF in 2011 (the predecessor to this current evaluation) with the aim to answer the overarching question, “What are the key lessons that can be drawn from the implementation of the SCCF 10 years after its inception?”²³ During the evaluation it became clear that, because of the early stage of implementation of most SCCF projects, conclusive evidence on results was sparse. Of the 35 SCCF projects that were reviewed, 15 were under implementation while 2 were completed. Since then the project portfolio has further matured. The evaluation included 12 conclusions and 2 recommendations, which can be found in annex A. The conclusions focused on relevance of the SCCF and its funded activity windows, the role of innovation and learning in the SCCF, the impact of the unpredictability of funding availability and branding of SCCF projects. The first recommendation appealed to donors to fund the SCCF adequately and predictably, preferably through a replenishment process. The second recommendation was aimed at the GEF Secretariat, to ensure transparency of the project pre-selection process, to properly disseminate good practice and a request to ensure improvements in the visibility of the SCCF as funding source. The GEF Secretariat agreed with most conclusions and fully endorsed the evaluation’s recommendations.²⁴ Council requested the Secretariat to prepare proposals to ensure transparency of the project pre-selection process, dissemination of good practices through existing channels, and visibility of the fund by requiring projects to identify their funding sources.²⁵ Transparency of the pre-selection process was covered by the GEF’s pre-selection criteria follow-up, while other elements of work are tracked in the management action record as part of IEO’s progress report and work program for the LDCF and SCCF.^{26 27}

18. The 2012 GEF Evaluation of Focal Area Strategies aimed to gain a deeper understanding of the elements and mechanisms that make a focal area strategy successful.²⁸ The evaluation concluded that, in most cases, the GEF-5 focal areas do not draw on a systematic identification of the envisaged causal relationships between different elements of the relevant strategy. Though causal links between GEF activities and the chains of causality toward the achievement of expected results are implicit in the GEF focal area strategies. Technical Paper 7 of this evaluation focused on climate change adaptation under the LDCF and SCCF.²⁹ The paper makes the causal linkages for GEF adaptation activities more explicit, and it affirmed that the

²² GEF, [GEF Programming Strategy on Adaptation to Climate Change for the Least Developed Countries Fund \(LDCF\) and the Special Climate Change Fund \(SCCF\)](#), May 05, 2014. Council Document GEF/LDCF.SCCF.16/03/Rev.01.

²³ IEO, [Evaluation of the Special Climate Change Fund](#), April 2012.

²⁴ GEF, [Management Response to Evaluation of the Special Climate Change Fund](#), October 13 2011. Council Document GEF/LDCF.SCCF.11/ME/03.

²⁵ GEF, [Joint Summary of the Chairs, LDCF/SCCF Council Meeting 11](#), November 10, 2011.

²⁶ GEF, [Pre-Selection Criteria for Projects and Programs Submitted under the Special Climate Change Fund](#), May 7 2012. Council Document GEF/LDCF.SCCF.12/Inf.05.

²⁷ IEO, [Progress Report and FY 2014 Work Program and Budget for the Evaluation Office under LDCF and SCCF](#), May 23 2013. Council Document GEF/LDCF.SCCF.14/ ME/01/Rev.01.

²⁸ IEO, [Evaluation of the GEF Focal Area Strategies](#), January 2013. Evaluation Report No. 78.

²⁹ IEO, [Evaluation of the GEF Focal Area Strategies – Technical Paper 7: Climate Change Adaptation under LDCF and SCCF](#), November 2012.

LDCF/SCCF strategy on adaptation largely reflects the current state of scientific knowledge and is sound from a scientific perspective on the basis of UNFCCC COP guidance. Technical Paper 8 provides an overview of COP guidance to the GEF.³⁰

19. The Fifth Overall Performance Study (OPS5) of the GEF, published in 2014, synthesized conclusions and evaluative evidence on adaptation to climate change through various channels.³¹ It has been considered as focal area and included in the IEO's evaluation streams such as country level evaluations and performance evaluations. Adaptation is included through work on focal area strategies, Results Based Management and tracking tools, Multi-Focal Area (MFA) and Multi-Trust Fund projects, and gender mainstreaming.

20. OPS5 Technical Document 3 (2013) analyzes the implementation of GEF focal area strategies.³² It concludes that the proportion of multi-focal area (MFA) projects in the LDCF and SCCF portfolio is relatively low. The combining of LDCF and SCCF resources with other focal area resources in Multi Trust Fund (MTF) projects has only been introduced as part of the GEF-5 replenishment period. But while the number of projects is low, the funding is considerable; at the time of the analysis, 30.1% of SCCF funds went to a total of 9 MTF projects. The review also finds that the proportion of projects that combine different focal area objectives within one focal area, meaning without being a Multi-Focal Area (MFA) project, is particularly high for SCCF (at 85%). OPS5 Technical Document 9 (2013) focuses specifically on MFA projects.³³ It finds that the share of MFA projects is increasing over time, and SCCF projects are more likely to address multi-focal concerns, compared to GEF Trust Fund projects.

III. PURPOSE, OBJECTIVE AND AUDIENCE

Purpose

21. The overall purpose of this evaluation is **to provide the LDCF/SCCF Council with evaluative evidence of the Fund's relevance and emerging results.**

Objective

22. The main objective of this SCCF evaluation, as follow-up to the 2011 evaluation, is **to provide evaluative evidence on the progress towards SCCF objectives, major achievements and lessons learned since the Fund's establishment** in response to guidance from the Sixth Conference of Parties to the UNFCCC meeting in 2001. The evaluation aims to provide recommendations on the way forward for the SCCF.

³⁰ IEO, [Evaluation of the GEF Focal Area Strategies – Technical Paper 8: Collection of COP Guidance to the GEF for the Four Conventions the GEF Serves as a Financial Mechanism](#), November 2012.

³¹ IEO, [The Fifth Overall Performance Study \(OPS5\)](#), May 2014.

³² IEO, 2013. [OPS5 Technical Document 3: Implementation of GEF Focal Area Strategies and Trends in Focal Area Achievements](#), March 2013.

³³ IEO, [OPS5 Technical Document 9: Multi Focal Area Projects in GEF Portfolio](#), November 2013.

Stakeholders and audience

23. The primary stakeholders are GEF Secretariat staff, staff of the GEF Agencies and LDCF/SCCF Council members. Secondary stakeholders are staff of the STAP, staff from Governments and country focal points, country-level project implementers and other GEF stakeholders and beneficiaries.³⁴

24. The evaluation's target audience is the LDCF/SCCF Council members, other LDCF/SCCF and GEF stakeholders, as well as the general public and professionals interested in climate change adaptation, national adaptation processes and development. This evaluation will be presented at the LDCF/SCCF Council in May 2017.³⁵

IV. EVALUATION QUESTIONS AND COVERAGE

Theory of Change

25. In the light of this evaluation a theory of change (TOC) has been developed for the Fund by the evaluation team, combining GEF's strategic objectives for adaptation (box 1), and objectives, outcomes and overarching goal as identified in the results framework of the GEF adaptation program (See annex E), with the SCCF outcome areas as identified by the COP decisions and visible in funded activity windows SCCF-A and SCCF-B. See figure 3 for the TOC.

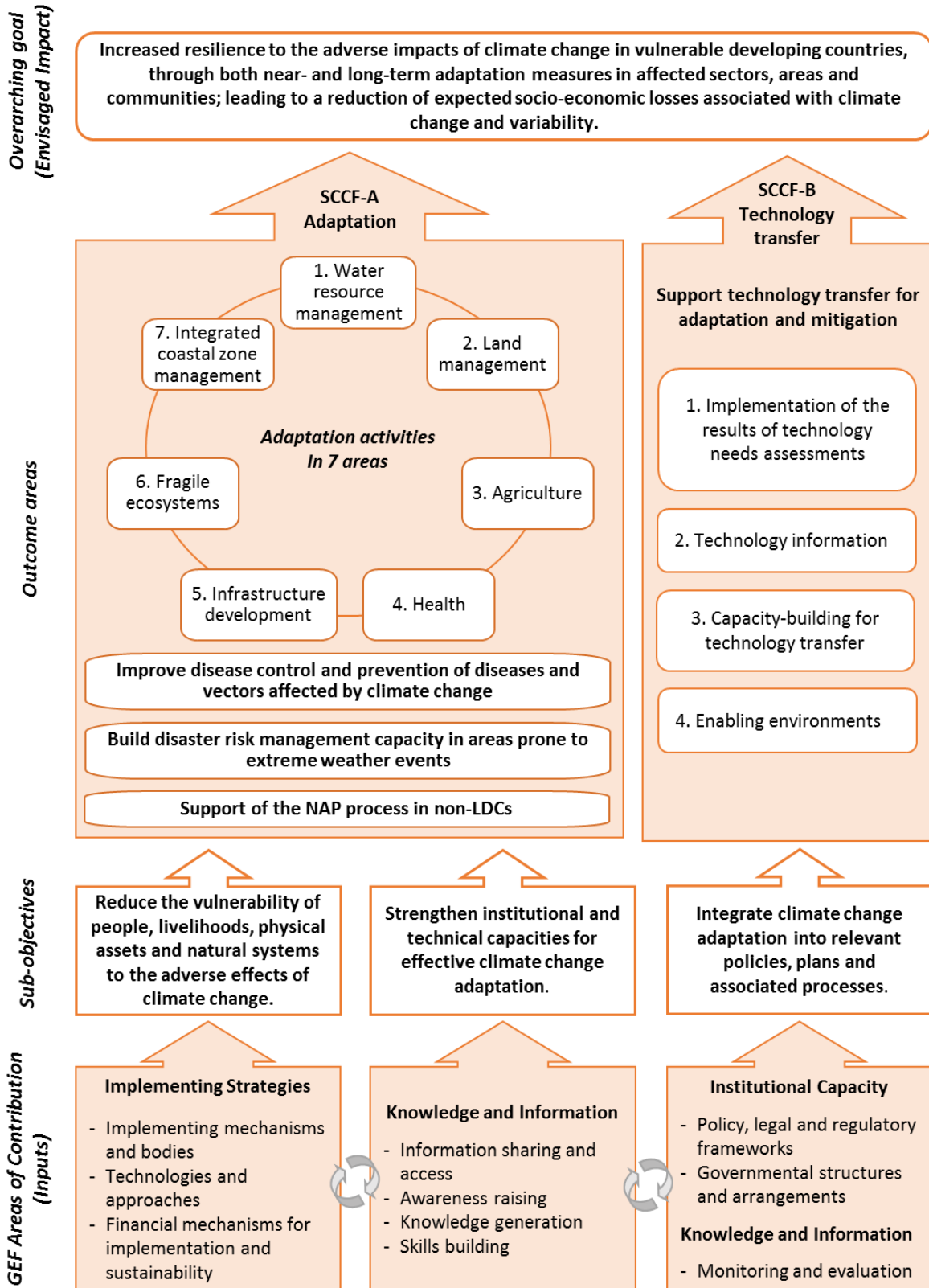
26. The SCCF-B activity window includes both an 'adaptation to climate change impacts' and a 'mitigation of greenhouse gases' component. The GEF specifies that "the GEF Trust Fund will provide resources for climate change mitigation, while climate change adaptation will be funded through the Least Development Country Fund (LDCF) and Special Climate Change Fund (SCCF)." SCCF-B's technology transfer component for mitigation falls outside the scope of GEF's strategic objectives for adaptation and results framework as visible in annex E.

27. The TOC informed the development of the evaluative questions, will further guide the development of related methods and protocols, and will be used to analyze the broader progress to impact through the aggregation of available evidence on broader scale and longer term results.

³⁴ Stakeholders are agencies, organizations, groups or individuals who have a direct or indirect interest in the development intervention or its evaluation (OECD DAC, 2010).

³⁵ The audience are agencies, organizations, groups or individuals who will gain experience and learn from evaluation information and findings (Yarbrough, et al. 2011), as well as those potentially affected by the outcome of the evaluation, are in a position to make decisions about the evaluation, and/or intend to use the evaluation process or findings to inform their decisions and actions (Patton, 2008).

Figure 3: Theory of Change



Box 1: GEF Strategic Objectives and Pillars

The GEF Programming Strategy on Adaptation to Climate Change for the LDCF and SCCF³⁶ has three strategic objectives (as included in the TOC):

- Reduce the vulnerability of people, livelihoods, physical assets and natural systems to the adverse effects of climate change;
- Strengthen institutional and technical capacities for effective climate change adaptation; and
- Integrate climate change adaptation into relevant policies, plans and associated processes.

The future direction charted by this Strategy is captured in two strategic pillars that are intended to guide programming under the LDCF and the SCCF towards their goal and objectives, namely:³⁷

- Integrating climate change adaptation into relevant policies, plans, programs and decision-making processes in a continuous, progressive and iterative manner as a means to identify and address short-, medium- and long-term adaptation needs; and
- Expanding synergies with other GEF focal areas.

These objectives and pillars are used to evaluate the Fund's performance against, and the full results framework of the GEF adaptation program³⁸ is provided in annex E.

Breadth and Depth of Coverage

28. This evaluation will cover the timeframe from the formal establishment of the SCCF in December 2001, up to the 21st LDCF/SCCF Council Meeting in October 2016. The focus will be on the progress since June 2011, which was the cut-off date for the earlier mentioned evaluation of the SCCF.

29. This evaluation will not examine the results of adaptation activities supported by the GEF apart from those within SCCF activity windows SCCF-A and SCCF-B. Activity windows SCCF-C and SCCF-D are excluded from results measurement, due to the absence of contributions and activities. The evaluation team will explore why activity windows SCCF-C and SCCF-D have not received any support.

³⁶ GEF, [GEF Programming Strategy on Adaptation to Climate Change for the Least Developed Countries Fund \(LDCF\) and the Special Climate Change Fund \(SCCF\)](#), May 05, 2014. Council Document GEF/LDCF.SCCF.16/03/Rev.01.

³⁷ *Ibid.*, p.6.

³⁸ GEF, [Updated Results-Based Management Framework for Adaptation to Climate Change under the Least Developed Countries Fund \(LDCF\) and the Special Climate Change Fund \(SCCF\)](#), October 15, 2014. Council Document GEF/LDCF.SCCF.17/05/Rev.01.

30. **Gender:** The 2011 evaluation of the SCCF did not mention gender. Consistent with the GEF's operational policies and procedures on gender mainstreaming, SCCF projects will apply GEF's five core gender indicators (See annex F) from October 2014 onwards.³⁹ The Results-Based Management (RBM) Framework Adaptation Monitoring and Assessment Tool (AMAT) has recently been updated to include GEF's core gender indicators in accordance with the GEF's Gender Equality Action Plan (GEAP), though the RBM framework and AMAT already included gender-disaggregated indicators since the AMAT's introduction in October 2010.^{40 41} The focus of the evaluation will be on evidence regarding the use of these indicators and guidance provided, and early evidence as to whether this translates into improved performance SCCF projects.

31. **Resilience:** The latest results framework of the GEF adaptation program (See annex E) states the overarching goal as: "Increase resilience to the adverse impacts of climate change in vulnerable developing countries, through both near- and long-term adaptation measures in affected sectors, areas and communities; leading to a reduction of expected socio-economic losses associated with climate change and variability."⁴² The three objectives of the results framework feed into this goal. The 2010 STAP Advisory Document "Enhancing Resilience to Reduce Climate Risks" explicitly mentions the various temporal perspectives (current variability, observed medium- and long-term trends in climate, and planning in response to model-based scenarios of anticipated long-term climate change) and broad-based categories of interventions (knowledge-based, capacity-based and ecosystem-based) that – if combined well – can bolster the synergies and perspectives needed for adaptation responses in support of longer-term resilient development.⁴³ The focus of the evaluation, in line with the TOC in figure 3, will be on early evidence as to whether completed projects have contributed to resilience to the adverse effects of climate change. The 10 SCCF MTF projects could also provide early information on resilience considerations through the quality at entry review of their project documents.

32. **Public involvement:**⁴⁴ The various public involvement processes are covered under header "VI. Quality Assurance."

³⁹ GEF, [Gender Equality Action Plan \(GEAP\)](#), October 30 2014. Council Document GEF/C.47/09.Rev.01.

⁴⁰ GEF, [Updated Results-Based Management Framework for Adaptation to Climate Change under the Least Developed Countries Fund and the Special Climate Change Fund](#), October 30 2014. Council Document GEF/LDCF.SCCF.17/05/Rev.01.

⁴¹ GEF, [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](#), October 20 2010. Council Document GEF/LDCF.SCCF.9/Inf.4.

⁴² "Climate resilience refers to the outcomes of evolutionary processes of managing change in order to reduce disruptions and enhance opportunities." IPCC, 2014. [Working Group II Contribution to the IPCC Fifth Assessment Report \(AR5\). Climate Change 2014: Impacts, Adaptation, and Vulnerability](#). Cambridge, MA: Cambridge University Press. Chapter 20, page 1108.

⁴³ STAP, [Enhancing Resilience to Reduce Climate Risks: Scientific Rationale for the Sustained Delivery of Global Environmental Benefits in GEF Focal Areas](#), November 10 2010. Council Document GEF/C.39/Inf.18.

⁴⁴ "Public involvement consists of three often related processes: information dissemination, consultation, and stakeholder participation." GEF, [Policy on Public Involvement in GEF Projects](#), August 13 2012. Policy Document SD/PL/01. Page 3.

Specific Questions to be Answered by the Evaluation

33. The overarching goal and sub-objectives, visible in the TOC and an integral part of the GEF programming strategy on adaptation, translate into three main evaluation questions and a number of sub-questions grouped by the core evaluation criteria (relevance, effectiveness, efficiency, results and sustainability). The evaluation team will assess the performance and progress of the SCCF using aggregated data from these questions.

Relevance - How relevant is SCCF support in light of UNFCCC COP guidance and decisions, the GEF adaptation programming strategy, and countries' broader developmental policies, plans and programs?

How relevant is SCCF support in relation to the guidance and decisions of the UNFCCC, informing the Fund's mandate?

To what extent is the SCCF portfolio connected to countries' environmental and sustainable development agendas?

What is the niche of the SCCF in the global adaptation finance landscape of multilateral financial mechanisms?

Effectiveness and Efficiency - How effective and efficient is the SCCF and its portfolio in reaching its objectives, based on emerging results?

Effectiveness - How likely is it that the adaptation components of the SCCF will be achieving the three strategic objectives of the GEF programming strategy on adaptation to climate change?

Efficiency - How efficient is the Fund's project cycle?

What are the main factors that have been affecting the Fund's efficiency?

How have resource flows and resource predictability, or the lack thereof, affected the Fund's programming?

How have pre-selection criteria influenced, either positively or negatively, the Fund's efficiency and effectiveness?

Results and Sustainability - What are the emerging results of the SCCF and its portfolio and factors that affect the sustainability and resilience of these results?

What are the emerging results produced by the SCCF to this point?

How does SCCF support relate to other GEF focal areas?

What are the GEEW (Gender equality and the empowerment of women) objectives achieved (or likely to be achieved) and gender mainstreaming principles adhered to by the SCCF?

To what extent are the emerging results of SCCF support sustainable?

Assessing performance

34. The Fund’s performance will be assessed at the Fund’s macro level as well as the project level. The former would be in terms of the degree to which the SCCF has operated according to the strategic objectives set, informed by the UNFCCC COP guidance and decisions received, and further guided by the developed TOC to analyze the broader progress to impact.

V. EVALUATION DESIGN AND LIMITATIONS

Evaluation Design

35. The program evaluation of the SCCF will be learning-focused since adaptation support is ongoing and most outcomes are forthcoming. The evaluation aims to provide lessons learned across the experiences from different country parties, focus sectors, and implementation projects, and will provide recommendations on possible adjustments to SCCF support and supported activities.⁴⁵

36. Given that the SCCF projects are at different stages of implementation (see table 1), the status of the respective project determines the way and extent in which they will be included in the SCCF evaluation according to the core evaluation criteria. This is visualized in table 4.

Table 4: Inclusion of SCCF Projects According to Project Status

Core Criteria Status	Relevance	Effectiveness	Efficiency	Results and Sustainability
Completed	Full	Full	Full	Full
Under implementation	Full	Likelihood	Likelihood	N/A
Approved, but not under implementation	Expected	N/A	N/A	NA

37. The evaluation’s methodological approach is expected to include the following main elements:

- **Document review:** Review of documentation will include GEF specific documents on the SCCF and related interventions, as well as additional literature beyond GEF and LDCF/SCCF Council and project documents, and GEF Secretariat’s policies, processes and related documents.

⁴⁵ The purpose of the evaluation design, and the basis on which its soundness is assessed, is to produce reliable data that allows for valid evaluative judgments useful for learning and decision making.

- A review of available terminal evaluations and terminal evaluation reviews of completed projects will take place to document potentially replicable key lessons.
- A database of all projects will be compiled including basic project information such as project cycle, financing (including co-financing), implementing institutions involved, themes, countries, main objectives, key partners, and implementation status. Every project will be subject to a desk review, in line with table 4, and all project related information available (project documents, PIRs, MTRs, TEs, TERs, etc.) will be analyzed. The data gathered from the project reviews will be aggregated at the portfolio level and used to evaluate SCCF projects 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.
- The wider document review will include non-IEO evaluation materials, academic and grey literature on the Fund.
- **Meta-evaluation Review:** Over the last few years, the IEO and other agencies have conducted evaluations that have reviewed the SCCF and related adaptation activities. The evaluation team will conduct a meta-evaluation review to synthesize lessons, findings and experiences from prior assessments of the SCCF and related activities.
- **Quality-at-entry Review:** Two quality-at-entry reviews will be conducted; one of the SCCF projects currently under implementation, and a second one of the thirteen MTF projects, irrespective of their implementation status.
- **Interviews:** With select stakeholders from a) the GEF as the SCCF administrator, b) GEF Agencies, c) relevant government and non-governmental actors in selected countries, d) selected donors to SCCF, and e) the UNFCCC secretariat, regarding the results, operations and management of the SCCF.
- **Field Visits:** Field visits will be combined with visits planned for other ongoing evaluations and other evaluation activities to the extent possible. The number of SCCF project visits will depend on the mutually beneficial synergies explored between evaluations endeavors. In the absence of such synergies a minimum of two field visits will be conducted, focusing on countries with a sizable concentration of SCCF investments and projects with a certain level of maturity, covering an appropriate mix of implementing agencies and regions. Country focal points, project managers and other in-country stakeholders will be interviewed during field visits.
- **Triangulation:**⁴⁶ The evaluation team will conduct an analysis of, and triangulate, data collected to determine trends, formulate main findings, lessons and conclusions.

⁴⁶ The combining of quantitative and qualitative methods to verify and complement evaluative findings is known as ‘method triangulation’ and used to increase the evaluation’s reliability and validity by confirming data generated by one method through the results of another method. ‘Data triangulation’ is used by collecting data from different sources – being literature review, project portfolio review and interviews with various key stakeholders – to increase data validity and reliability by collecting data from various sources.

Different stakeholders will be consulted during the process to limit errors of interpretation. Also see “VI. Quality Assurance.”

Limitations

38. The evaluation will be subject to limitations due to the level of maturity and small size of the SCCF portfolio. It will not be possible to conduct an all-encompassing analysis of the impacts and results of the projects at this stage, given that a limited number of projects has reached their mid-term and only thirteen projects have been completed. Many projects remain at various levels of approval, which means that for these projects the evaluation will concentrate on an assessment of the strategies and project designs as put forward by the project documents and complement this information with (preliminary) project results when available and appropriate. The analysis will focus in part on highlighting illustrative examples from projects for which sufficient information and lessons have been articulated.

39. Another limitation is that due to time constraints only a small number of projects will be visited, which limits amount of information that can be collected from stakeholders directly involved in projects in the field. The focus will be on countries with a sizable concentration of SCCF investments and projects with a certain level of maturity, covering an appropriate mix of implementing agencies and regions.

40. The evaluation is also expected to face problems obtaining up-to-date and precise information on the status of SCCF projects due to GEF PMIS not being regularly updated. GEF PMIS data will be compared with LDCF/SCCF Council progress reports for the SCCF. GEF Secretariat as well as GEF Agencies will be requested to verify project data before project reviewing.

VI. QUALITY ASSURANCE

41. The draft approach paper and draft evaluation report will be circulated and validated before finalization by means of a comprehensive stakeholder feedback process with the key stakeholders. In the case of the draft evaluation report this will take place prior to the June Council in 2017. Comments, feedback and suggestions will be taken into account and the approach paper and final report will be adjusted accordingly. A consultant will also have an open peer reviewing function towards the draft approach paper and draft evaluation report.

Expected outputs and outreach

42. The SCCF evaluation will result in an evaluation report to Council that will be distributed to the LDCF/SCCF Council members, GEF Secretariat, the climate change task force, STAP and relevant GEF country focal points and GEF Agency staff. A graphically edited version will be published as open access on the IEO website and will also be made available to interested parties through email. A summary of the report will be produced and disseminated in three languages (English, French and Spanish). Findings will also be shared through a Climate-Eval blog post and a webinar will be developed to share the main findings of the evaluation, if interest suffices.

43. A first level of outreach will take place through existing IEO mailing lists as well as mailing lists of audience and stakeholders that will be developed during the implementation of the evaluation. A second level of outreach will take place through existing external mailing lists, like for example the Climate-L, IPDET, Pelican and Evaltalk list serves. A third and final level of outreach will take place through Twitter feeds as well as professional M&E and climate change focused LinkedIn user groups. Tracking will take place through web-page statistics on downloads, reactions on blog posts, online activity monitoring of twitter feeds and LinkedIn discussion posts, as well as registration for and attendance of a potential webinar.

VII. RESOURCES

44. The SCCF evaluation will take place between September 2016 and May 2017. The initial work plan is visible in the timeline in table 5, and will be further revised and detailed as part of the further preparation.

Budget

45. The SCCF evaluation update is budgeted at 55,000 US\$, of which 50,000 US\$ will be used FY17 and 5,000 US\$ FY18. A further breakdown of cost elements will be provided.

Team and Skills Mix

46. The evaluation will be led by IEO task manager Ms. Anna Viggh, with oversight from the Chief Evaluation Officer Ms. Geeta Batra and Director of the IEO Mr. Juha Uitto. The manager will lead core team comprised of IEO evaluation officer Mr. Dennis Bours and two consultants. A mid-career short-term consultant with technical and policy expertise in adaptation to climate change and evaluation as well as knowledge of the key adaptation priority areas will be hired to provide guidance and specific inputs at major milestones of the evaluation. A junior short-term consultant will be hired to support the SCCF portfolio analysis.

Table 5: Evaluation Timeline

Task	Month:	Sept '16	Oct '16	Nov '16	Dec '16	Jan '17	Feb '17	Mar '17	Apr '17	May '17	Jun '17
I Evaluation Design											
Draft Approach Paper		■	■								
Feedback Process				■							
Approach Paper				■							
TORs		■									
Protocol Development			■	■							
II Evaluation Context											
Literature Review			■	■	■						
Meta-Evaluation Review		■	■	■							
Evaluation Matrix				■	■						
III Data Collection											
Interviews					■	■	■				
Project Desk Review		■	■	■	■						
Field Visits					■	■					
IV Analysis											
Data Analysis				■	■	■	■				
Draft Report						■	■	■			
Feedback Process							■	■			
V Outreach											
Final Document to Council								■	■		
Presentation to Council										■	
Final Graphically Edited Version of Report											→
Webinar											→
Report Summary											→
Blog-post											→

LIST OF ABBREVIATIONS

ADB	Asian Development Bank
AF	Adaptation Fund
AfDB	African Development Bank
AMAT	Adaptation Monitoring and Assessment Tool
ASAP	Adaptation for Smallholder Agriculture Programme
CCA	Climate change adaptation
CEO	Chief Executive Officer
CI	Conservation International
CIF	Climate Investment Funds
COP	Conference of the Parties
DANIDA	Danish International Development Assistance
DBSA	Development Bank of Southern Africa
DDP	District development plan
EA	Enabling Activity
EBRD	European Bank for Reconstruction and Development
EWS	Early warning system
FAO	Food and Agricultural Organization of the United Nations
FSP	Full Size Project
GCF	Green Climate Fund
GEAP	Gender Equality Action Plan
GEB	Global environmental benefit
GEEW	Gender equality and the empowerment of women
GEF	Global Environment Facility
IEO	Independent Evaluation Office (of the GEF)
GLOF	Glacial lake outburst flood
IA	Implementing agency
IDB	Inter-American Development Bank
IFAD	International Fund for Agricultural Development
IUCN	International Union for Conservation of Nature and Natural Resources
LDC	Least Developed Country

LDCF	Least Developed Countries Fund
LEG	Least Developed Countries Expert Group
MFA	Multi-focal area
MSP	Medium Size Project
MTF	Multi-trust fund
NAP	National Adaptation Plan
NRM	Natural resource management
ODA	Official development assistance
ODS	Ozone Depleting Substances
OPS	Overall Performance Study
PIF	Project Identification Form
PIR	Project Implementation Report
POP	Persistent Organic Pollutants
PPCR	Pilot Program for Climate Resilience
RBM	Results-based management
SCCF	Special Climate Change Fund
SCF	Strategic Climate Fund
SIDS	Small island developing states
SNC	Second National Communication
SPA	Strategic Priority on Adaptation
TE	Terminal evaluation
TER	Terminal evaluation review
TNC	Third National Communication
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNIDO	United Nations Industrial Development Organization
WWF-US	United States World Wildlife Fund

ANNEX A: CONCLUSIONS AND RECOMMENDATIONS OF THE 2011 SCCF EVALUATION

Conclusion 1: The four SCCF programming strategies are relevant to the COP guidance.

Conclusion 2: The adaptation projects are relevant to the COP guidance and SCCF programming.

Conclusion 3: The technology transfer projects are relevant to COP guidance and SCCF programming.

Conclusion 4: The funding of SCCF is not commensurate with the global mandate of the COP guidance.

Conclusion 5: Although SCCF programming was formulated to implement activities under windows C and D, COP guidance for these windows was not implemented because of lack of funding.

Conclusion 6: The adaptation projects are highly relevant to national sustainable development agendas of beneficiary countries, contributing to socio-economic development goals.

Conclusion 7: Projects employ innovative approaches to overcome the lack of data on many emerging adaptation issues.

Conclusion 8: In general projects are well geared towards replication and up-scaling, yet follow-up is uncertain due to lack of funding.

Conclusion 9: The SCCF has been managed by the GEF in a cost-effective way; its management costs are lowest of comparable funds.

Conclusion 10: The formal project cycle is implemented in accordance to GEF standards and rules. However, due to the unpredictability of funding availability, an informal project pre-selection process has been introduced which is non-transparent.

Conclusion 11: Opportunities for learning – highly relevant given the innovative nature of the projects – may be lost because no knowledge exchange and learning mechanism exists.

Conclusion 12: SCCF projects are systematically perceived as GEF Trust Fund projects.

Recommendation 1: The LDCF/SCCF Council should appeal to donors to adequately fund the SCCF in a predictable manner, preferably through a replenishment process.

Given the severe underfunding of the SCCF, the GEF Council should appeal to donors for a substantial replenishment of the SCCF for the following reasons:

- The creation of the SCCF by the UNFCCC COP was a response to the developing countries' needs with regards to abating climate change impacts. However, as the evidence in this evaluation shows the SCCF has not fulfilled its role due to the limited availability of funds.
- Nevertheless the SCCF has built up a portfolio of innovative projects, yielding valuable experiences on adaptation issues, building on agencies' and countries' learning curves, and providing a critical mass of expertise on climate change funding.
- The SCCF is cost-effective: it has the lowest management costs of the current funds operating on adaptation issues.
- Except for the Adaptation Fund, no other major sources of funding of adaptation have emerged in recent years and the GEF itself in its programming document for GEF-5 specifies that „the GEF Trust fund will provide resources for climate change mitigation, while climate change adaptation will be funded through the Least Developed Countries (LDCF) and the Special Climate Change Fund (SCCF)' confirming the SCCF's future role as crucial channel for adaptation financing through the GEF.

If funding of the SCCF would reach levels commensurate with its mandate, some of the current problems of the fund would disappear, like the lack of transparency in the pre-selection process.

Recommendation 2: The LDCF/SCCF Council should ask the Secretariat to prepare proposals to ensure:

47. Transparency of the project pre-selection process: the current lack of transparency is linked to the mismatch between the mandate, available funding and good project proposals.
48. Dissemination of good practices through existing channels: of eminent concern where the achievements are relevant beyond the SCCF itself.
49. Visibility of the fund by requiring projects to identify their funding source: a clear identification of the SCCF in outreach documents, press releases, websites and so on.

ANNEX B: UNFCCC COP GUIDANCE AND DECISIONS

Table 6: Overview of UNFCCC COP Guidance and Decisions

COP-6 (II): Bonn, Germany, 16 - 27 July 2001 (FCCC/CP/2001/5)	
I. DECISIONS ADOPTED BY THE CONFERENCE OF THE PARTIES AT THE FIRST PART OF ITS SIXTH SESSION	
Decision 5/CP.6 - Annex, I. FUNDING UNDER THE CONVENTION	
The Conference of the Parties agrees: 3. That:	
(a) There is a need for funding, including funding that is new and additional to contributions that are allocated to the Global Environment Facility climate change focal area and to multilateral and bilateral funding, for the implementation of the Convention;	SCCF general
(b) Predictable and adequate levels of funding shall be made available to Parties not included in Annex I;	SCCF target audience
Decision 5/CP.6 - Annex, I. FUNDING UNDER THE CONVENTION - Special climate change fund	
The Conference of the Parties agrees: Par. 1. That a special climate change fund shall be established to 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:	SCCF funding priorities
(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), in diversifying their economies.	
Par. 2. That the Parties included in Annex II and other Parties included in Annex I that are in a position to do so shall be invited to contribute to the fund, which shall be operated by an entity which operates the financial mechanism, under the guidance of the Conference of the Parties;	SCCF general

Par. 3. To invite the entity referred to in par. 2 above to make the necessary arrangements for this purpose.	SCCF general
COP-7: Marrakesh, Morocco, 29 October - 10 November 2001 (FCCC/CP/2001/13/Add.1)	
Decision 4/CP.7 - Development and transfer of technologies (decisions 4/CP.4 and 9/CP.5)	
The Conference of the Parties, [...] Par. 3. Requests the Global Environment Facility, as an operating entity of the financial mechanism of the Convention, to provide financial support for the implementation of the annexed framework (i.e. the framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention, [...]by increasing and improving the transfer of and access to environmentally sound technologies (ESTs) and know-how) through its climate change focal area and the special climate change fund established under decision 7/CP.7.	Technology transfer
Decision 5/CP.7 - I. ADVERSE EFFECTS OF CLIMATE CHANGE	
Par. 8. Decides that the implementation of the following activities shall be supported through the special climate change fund (in accordance with decision 7/CP.7) and/or the adaptation fund (in accordance with decision 10/CP.7), and other bilateral and multilateral sources: (a) Starting to implement adaptation activities promptly where sufficient information is available to warrant such activities, inter alia, in the areas of water resources management, land management, agriculture, health, infrastructure development, fragile ecosystems, including mountainous ecosystems, and integrated coastal zone management; (b) Improving the monitoring of diseases and vectors affected by climate change, and related forecasting and early-warning systems, and in this context improving disease control and prevention; (c) Supporting capacity building, including institutional capacity, for preventive measures, planning, preparedness and management of disasters relating to climate change, including contingency planning, in particular, for droughts and floods in areas prone to extreme weather events; (d) Strengthening existing and, where needed, establishing national and regional centres and information networks for rapid response to extreme weather events, utilizing information technology as much as possible;	SCCF funding priorities SCCF - Health SCCF - DRM SCCF - DRM
Decision 5/CP.7 - III. IMPACT OF THE IMPLEMENTATION OF RESPONSE MEASURES	

<p>Par. 19. Decides that the implementation of the activities included in paragraphs 25 to 32 below shall be supported through the Global Environment Facility (in accordance with decision 6/CP.7), the special climate change fund (in accordance with decision 7/CP.7), and other bilateral and multilateral sources;</p>	<p>Funding priorities - General</p>
<p>Decision 7/CP.7 - Funding under the Convention</p>	
<p>Par. 2. Decides also that a special climate change fund shall be established to finance activities, programmes and measures, relating to climate change, that are complementary to those funded by the resources allocated to the climate change focal area of Global Environment Facility and by bilateral and multilateral funding, in the following areas:</p> <ul style="list-style-type: none"> (a) Adaptation, in accordance with paragraph 8 of decision 5/CP.7; (b) Transfer of technologies, in accordance with decision 4/CP.7; (c) Energy, transport, industry, agriculture, forestry and waste management; (d) Activities to assist developing country Parties referred to under Article 4, paragraph 8(h), in diversifying their economies, in accordance with decision 5/CP.7; 	<p>SCCF funding priorities</p>
<p>Par. 4. Invites the entity referred to in paragraph 3 above to make the necessary arrangements for this purpose and report thereon to the Conference of the Parties at its eighth session for appropriate action;</p>	<p>SCCF general</p>
<p>COP-8: New Delhi, India, 23 October - 1 November 2002 (FCCC/CP/2002/7/Add.1)</p>	
<p>Decision 7/CP.8 - Initial guidance to an entity entrusted with the operation of the financial mechanism of the Convention, for the operation of the Special Climate Change Fund</p>	
<p>The Conference of the Parties, [...]</p> <p>Par. 1. Decides that, for the operation of the Special Climate Change Fund, the Global Environment Facility, as an entity entrusted with the operation of the financial mechanism of the Convention, should:</p> <ul style="list-style-type: none"> (a) Promote complementarity of funding between the Special Climate Change Fund and other funds with which the operating entity is entrusted; (b) Ensure financial separation of the Special Climate Change Fund from other funds with which the operating entity is entrusted; (c) Ensure transparency in the operation of the Special Climate Change Fund; 	<p>SCCF funding principles</p>

<p>(d) Adopt streamlined procedures for the operation of the Special Climate Change Fund while ensuring sound financial management;</p>	
<p>Par. 2. Decides to further define the prioritized activities, programmes and measures to be funded out of the Special Climate Change Fund in areas enumerated in paragraph 2 of decision 7/CP.7 by undertaking the activities described below:</p> <p>(a) Initiating a process now with a view to providing further guidance to the Global Environment Facility, this process to consist of:</p> <p>(i) Requesting Parties to submit to the secretariat, by 15 February 2003, views on activities, programmes and measures referred to in paragraph 2 of decision 7/CP.7;</p> <p>(ii) Requesting the Expert Group on Technology Transfer and the Least Developed Countries Expert Group to submit to the secretariat, as soon as possible, views, relevant to their mandates, on activities, programmes and measures referred to in paragraph 2 of decision 7/CP.7;</p> <p>(iii) Requesting the secretariat to prepare for consideration by the Subsidiary Body for Implementation, at its eighteenth session, a report summarizing and analyzing the above-mentioned submissions;</p> <p>(b) Upon completion of such a process, a decision at its ninth session will provide guidance to the Global Environment Facility in order for the Global Environment Facility to operationalize the fund without delay thereafter.</p>	<p>SCCF funding priorities</p>
<p>COP-9: Milan, Italy, 1 - 12 December 2003 (FCCC/CP/2003/6/Add.1)</p>	
<p>Decision 5/CP.9 - Further guidance to an entity entrusted with the operation of the financial mechanism of the Convention, for the operation of the Special Climate Change Fund</p>	
<p>The Conference of the Parties, [...]</p> <p>Par. 1. Decides that:</p> <p>(a) The Special Climate Change Fund should serve as a catalyst to leverage additional resources from bilateral and other multilateral sources;</p> <p>(b) Activities to be funded should be country-driven, cost-effective and integrated into national sustainable development and poverty-reduction strategies;</p>	<p>SCCF funding principles</p>

<p>(c) Adaptation activities to address the adverse impacts of climate change shall have top priority for funding;</p> <p>(d) Technology transfer and its associated capacity-building activities shall also be essential areas to receive funding from the Special Climate Change Fund;</p>	<p>SCCF - Adaptation overall</p> <p>SCCF - Technology transfer</p>
<p>Par. 2. Decides also that the implementation of adaptation activities shall be supported through the Special Climate Change Fund, taking into account national communications or national adaptation programmes of action, and other relevant information provided by the applicant Party, and include:</p> <p>(a) Implementation of adaptation activities where sufficient information is available to warrant such activities, inter alia, in the areas of water resources management, land management, agriculture, health, infrastructure development, fragile ecosystems, including mountain ecosystems, and integrated coastal zone management;</p> <p>(b) Improving the monitoring of diseases and vectors affected by climate change, and related forecasting and early warning systems, and in this context improving disease control and prevention;</p> <p>(c) Supporting capacity-building, including institutional capacity, for preventive measures, planning, preparedness and management of disasters relating to climate change, including contingency planning, in particular, for droughts and floods in areas prone to extreme weather events;</p> <p>(d) Strengthening existing and, where needed, establishing national and regional centres and information networks for rapid response to extreme weather events, utilizing information technology as much as possible;</p>	<p>SCCF - Adaptation overall</p> <p>SCCF - Health</p> <p>SCCF - DRM</p> <p>SCCF - DRM</p>
<p>Par. 3. Decides further that resources from the Special Climate Change Fund shall be used to fund technology transfer activities, programmes and measures that are complementary to those currently funded by the Global Environment Facility taking into account national communications or any other relevant documents in accordance with decision 4/CP.7 and its annex containing the framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention, in the following priority areas:</p> <p>(a) Implementation of the results of technology needs assessments;</p> <p>(b) Technology information;</p> <p>(c) Capacity-building for technology transfer;</p>	<p>SCCF - Technology transfer</p>

(d) Enabling environments;	
Par. 4. Decides further that activities under paragraph 2 (c) and (d) in decision 7/CP.7 are also to be funded by the Special Climate Change Fund and to this effect invites Parties to submit to the secretariat, by 15 September 2004, further views on activities, programmes and measures in these areas for further consideration by the Subsidiary Body for Implementation, at its twenty-first session, in order for the Conference of the Parties to take a decision on this matter at its tenth session;	SCCF funding priorities
Par. 5. Requests the entity entrusted with the operation of the fund to arrange expedited access to the Special Climate Change Fund in keeping with current practices of the Global Environment Facility, taking into account the need for adequate resources to implement eligible activities, programmes and measures;	SCCF - Resource approval and disbursement
Par. 6. Invites the entity entrusted with the operation of the Special Climate Change Fund to make the necessary arrangements to mobilize resources to make the fund operational without delay;	SCCF - Resource mobilization
Par. 7. Requests the entity referred to in paragraph 5 above to include in its report to the Conference of the Parties, at its tenth session, the specific steps it has undertaken to implement this decision;	SCCF - Reporting
COP-10: Buenos Aires, Argentina, 6 - 18 December 2004 (FCC/CP/2004/10/Add.1)	
Decision 1/CP.10 - Buenos Aires programme of work on adaptation and response measures	
The Conference of the Parties, [...] Par. 3. Urges Parties included in Annex II to the Convention (Annex II Parties) to contribute to the Special Climate Change Fund and other multilateral and bilateral sources, to support, as a top priority, adaptation activities to address the adverse impacts of climate change;	SCCF - Financial resources
COP-12: Nairobi, Kenya, 6 - 17 November 2006 (FCCC/CP/2006/5/Add.1)	
Decision 1/CP.12 - Further guidance to an entity entrusted with the operation of the financial mechanism of the Convention, for the operation of the Special Climate Change Fund	
The Conference of the Parties, [...] Par. 1. Decides that the Special Climate Change Fund shall be used to finance activities, programmes and measures relating to climate change in the areas set out in decision 7/CP.7, paragraph 2 (c), that are	SCCF – Sectors (SCCF-C)

<p>complementary to those funded by the resources allocated to the climate change focal area of the Global Environment Facility and by bilateral and multilateral funding, particularly in the following priority areas:</p> <ul style="list-style-type: none"> (a) Energy efficiency, energy savings, renewable energy and less-greenhouse-gas-emitting advanced fossil-fuel technologies; (b) Innovation including through research and development relating to energy efficiency and savings in the transport and industry sectors; (c) Climate-friendly agricultural technologies and practices, including traditional agricultural methods; (d) Afforestation, reforestation and use of marginal land; (e) Solid and liquid waste management for the recovery of methane; 	
<p>Par. 2. Decides that the Special Climate Change Fund shall be used to finance activities, programmes and measures relating to climate change in the areas set out in decision 7/CP.7, paragraph 2 (d), that are complementary to those funded by the resources allocated to the climate change focal area of the Global Environment Facility and by other bilateral and multilateral funding initially in the following areas:</p> <ul style="list-style-type: none"> (a) Capacity-building at the national level in the areas of: <ul style="list-style-type: none"> (i) Economic diversification; (ii) Energy efficiency in countries whose economies are highly dependent on consumption of fossil fuels and associated energy-intensive products; (b) Support through technical assistance the creation of favourable conditions for investment in sectors where such investment could contribute to economic diversification; (c) Support through technical assistance the diffusion and transfer of less-greenhouse-gas emitting advanced fossil-fuel technologies; (d) Support through technical assistance innovative national advanced fuel technologies; (e) Support through technical assistance the promotion of investments in less-greenhouse gas- emitting, environmentally sound energy sources, including natural gas, according to the national circumstances of Parties; 	<p>SCCF – Diversification (SCCF-D)</p>
<p>Par. 3. Decides to assess, at its fifteenth session, the status of implementation of paragraph 2 above, with a view to considering further guidance on how the fund shall support concrete implementation projects in accordance with paragraphs 22–29 of decision 5/CP.7;</p>	<p>SCCF general</p>

Par. 4. Decides that the operational principles and criteria of the Special Climate Change Fund and the manner in which they are carried out in the operation of the Special Climate Change Fund will apply only to Global Environment Facility activities financed under the Special Climate Change Fund;	SCCF funding principles
--	-------------------------

COP-16: Cancun, Mexico, 29 November - 10 December 2010 (FCCC/CP/2010/7/Add.2)

Decision 2/CP.16 - Fourth review of the financial mechanism

Par. 5. Decides that the Global Environment Facility should continue to provide and enhance support for the implementation of adaptation activities, including the implementation of national adaptation programmes of action, through the Least Developed Countries Fund and the Special Climate Change Fund;	CCA funding in general
--	------------------------

Par. 6. Requests the Global Environment Facility, in its regular report to the Conference of the Parties, to include information on the steps it has taken to implement the guidance provided in paragraphs 3, 4 and 5 above;	Reporting general
---	-------------------

Decision 4/CP.16 - Assessment of the Special Climate Change Fund

The Conference of the Parties, [...] Decides to conclude the assessment of the status of implementation of paragraph 2 of decision 1/CP.12 and to request the entity entrusted with the operation of the Special Climate Change Fund to include in its report to the Conference of the Parties at its seventeenth session information on the implementation of paragraph 2 (a–d) of decision 7/CP.7.	SCCF Review
---	-------------

COP-18: Doha, Qatar, 26 November - 8 December 2012 (FCCC/CP/2012/8/Add.1)

Decision 9/CP.18 - Report of the Global Environment Facility to the Conference of the Parties and additional guidance to the Global Environment Facility

The Conference of the Parties, [...] Par. 1. Requests the Global Environment Facility, as an operating entity of the financial mechanism of the Convention: [...]	
---	--

<p>(c) Through the Special Climate Change Fund, to consider how to enable activities for the preparation of the national adaptation plan process for interested developing country Parties that are not least developed country Parties, as it requested the Global Environment Facility, through the Least Developed Countries Fund, to consider how to enable activities for the preparation of the national adaptation plan process for the least developed country Parties in decision 5/CP.17, paragraph 22;</p>	<p>SCCF - NAP process</p>
<p>Par. 2. Also requests the Global Environment Facility, as an operating entity of the financial mechanism of the Convention, in its annual report to the Conference of the Parties, to include information on the steps it has taken to implement the guidance provided in paragraph 1 above;</p>	<p>SCCF - Reporting</p>
<p>Par. 5. Also urges developed country Parties to mobilize financial support for the national adaptation plan process for interested developing country Parties that are not least developed country Parties through bilateral and multilateral channels, including through the Special Climate Change Fund, in accordance with decision 1/CP.16, as it urged developed country Parties to mobilize financial support for the national adaptation plan process for least developed country Parties in decision 5/CP.17, paragraph 21</p>	<p>SCCF - Resource mobilization</p>
<p>COP-21: Paris, France, 30 November - 13 December 2015 (FCC/CP/2015/10/Add.1)</p>	
<p>Decision 1/CP.21 - III. Decisions to give effect to the Agreement (i.e. the Paris Agreement)</p>	
<p>Par. 58. Decides that the Green Climate Fund and the Global Environment Facility, the entities entrusted with the operation of the Financial Mechanism of the Convention, as well as the Least Developed Countries Fund and the Special Climate Change Fund, administered by the Global Environment Facility, shall serve the Agreement;</p>	<p>General funding</p>

ANNEX C: OVERVIEW OF COMPLETED SCCF PROJECTS
Table 7: Overview of Completed SCCF Projects

GEF ID	Fund	Agency	Project Title	Country	GEF Funding (M\$) ¹	Outcome rating ²	Sustainability rating ³	M&E design at entry rating ²	M&E plan implementation rating ²
2553	SCCF	WHO	Piloting Climate Change Adaptation to Protect Human Health	Global	5.04	MS	MU	S	MS
2832	SCCF	UNDP	Mainstreaming Climate Change in Integrated Water Resource Management in Pangani River Basin	Tanzania	1	MS	ML	NR	MU
2902	SCCF	WB	Adaptation To The Impact Of Rapid Glacier Retreat In The Tropical Andes	Regional	7.94	MS	ML	MU	MU
2931	SCCF	UNDP	Adaptation to Climate Change through Effective Water Governance	Ecuador	3	MS	L	S	S
3101	SCCF	UNDP	Pacific Adaptation to Climate Change Project (PACC)	Regional	13.13	MS	ML	MU	MU
3154	SCCF	UNDP	Coping with Drought and Climate Change	Ethiopia	1	S	MU	MS	MS
3155	SCCF	UNDP	Coping with Drought and Climate Change	Mozambique	0.96	MS	ML	U	MU
3156	SCCF	UNDP	Coping with Drought and Climate Change	Zimbabwe	1	S	ML	MS	MS
3227	SCCF	WB	Conservancy Adaptation	Guyana	3.8	MS	ML	MU	MU
3249	SCCF	UNDP	Adaptation To Climate Change In Arid Lands (KACCALI)	Kenya	1	MS	L	MU	U
3265	SCCF	World Bank	Mainstreaming Adaptation to Climate Change into Water Resources Management and Rural Development	People's Republic of China	5	S	L	Substantial ⁴	Substantial ⁴
3299	SCCF	UNDP	Strengthening the Capacity of Vulnerable Coastal Communities to Address the Risk of Climate Change and Extreme Weather Events	Thailand	0.87	MS	ML	S	MU

Table 7 Continued...

GEF ID	Fund	Agency	Project Title	Country	GEF Funding (M\$) ¹	Outcome rating ²	Sustainability rating ³	M&E design at entry rating ²	M&E plan implementation rating ²
3679	SCCF	UNEP	Economic Analysis of Adaptation Options	Global	1	MU	MU	MU	MU
3907	SCCF	UNEP	Technology Needs Assessments	Global	8.18	-	-	-	-

¹ Amount excludes PPG grant and agency fees.

² GEF/GEF Agency six-point rating scale: Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), and Highly Unsatisfactory (HU). Alternatively, the rating might be Not Rated (NR) by the implementing agency.

³ GEF/GEF Agency four-point scale: Likely (L), Moderately Likely (ML), Moderately Unlikely (MU), and Unlikely (U).

⁴ World Bank IEG uses a four-point scale for the M&E Design and M&E Implementation ratings: High, Substantial, Modest, and Negligible.

ANNEX D: SCCF PORTFOLIO COMPOSITION

Table 8: Number of SCCF Projects by Project Status

Project Status ¹	Medium Size Projects (MSP)		Full Size Projects (FSP)		Grand Total	
	SCCF	MTF	SCCF	MTF	SCCF	MTF
1. Cancelled	1		2		3	
1. Dropped	11		20	2	31	2
1. Rejected		0		1		1
2. CEO PIF Rejection			4		4	
3. Council Approved			3	1	3	1
4. CEO Endorsed			26	5	26	5
5. CEO Approved	1	1			1	1
6. Under Implementation			22	3	22	3
7. Project Completion	6		8		14	
Grand Total		20		97		117
Grand Total (Status 3 to 7)²		8		68		76

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count and status might have changed since.

² Only council approved, CEO endorsed/approved, under implementation and completed projects taken into account.

Table 9: Number of SCCF Projects by Project Status – Compacted

Project Status ¹	MSP	FSP	Grand Total	% of Grand Total
Council Approved		4	4	5.3%
CEO Endorsed		31	31	40.8%
CEO Approved	2		2	2.6%
Under Implementation		25	25	32.9%
Project Completion	6	8	14	18.4%
Grand Total²	8	68	76	100.0%

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count and status might have changed since.

² Only council approved, CEO endorsed/approved, under implementation and completed projects taken into account.

Table 10: SCCF Projects' Grant Value by Project Status (M\$)

Project Status ¹	Medium Size Projects (MSP)		Full Size Projects (FSP)		Grand Total	
	SCCF	MTF	SCCF	MTF	SCCF	MTF
1. Cancelled	0.82		5.97		6.79	
1. Dropped	9.67		79.91	15.98	89.58	15.98
1. Rejected				18.53		18.53
2. CEO PIF Rejection			19.47		19.47	
3. Council Approved			19.20	9.45	19.20	9.45
4. CEO Endorsed			141.21	13.21	141.21	13.21
5. CEO Approved	2.19	0.50			2.19	0.50
6. Under Implementation			85.92	9.78	85.92	9.78
7. Project Completion	6.39		59.66		66.05	
Grand Total²	19.57		478.27		497.84	
Grand Total³	9.09		338.42		347.50	

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count, status and value might have changed since.

² Values for cancelled, dropped and rejected projects show original project value, not disbursements to implementing agencies.

³ Only council approved, CEO endorsed/approved, under implementation and completed projects taken into account.

Table 11: SCCF Projects' Grant Value by Project Status - Compacted (M\$)

Project Status ^{1,2}	MSP	FSP	Grand Total	% of Grand Total
Council Approved		28.65	28.65	8.2%
CEO Endorsed		154.41	154.41	44.4%
CEO Approved	2.69		2.69	0.8%
Under Implementation		95.69	95.69	27.5%
Project Completion	6.39	59.66	66.05	19.0%
Grand Total²	9.09	338.42	347.50	100.0%

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count, status and value might have changed since.

² Only council approved, CEO endorsed/approved, under implementation and completed projects taken into account.

SCCF Portfolio by GEF Replenishment Phase

Table 12: Number of SCCF Projects by GEF Replenishment Phase

GEF Replenishment Phase ¹	MSP	FSP	Grand Total	% of Grand Total
GEF-3	4	2	6	7.9%
GEF-4	2	17	19	25.0%
GEF-5	2	40	42	55.3%
GEF-6		9	9	11.8%
Grand Total²	8	68	76	100.0%

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count might have changed since.

² Only council approved, CEO endorsed/approved, under implementation and completed projects taken into account.

Table 13: Project Status by GEF Replenishment Phase

Project Status vs. Replenishment phase ¹	GEF-3	GEF-4	GEF-5	GEF-6	Grand Total	% of Grand Total
Council Approved			3	1	4	5.3%
CEO Endorsed			23	8	31	40.8%
CEO Approved			2		2	2.6%
Under Implementation		11	14		25	32.9%
Project Completion	6	8			14	18.4%
Grand Total²	6	19	42	9	76	100.0%
% of Grand Total	7.9%	25.0%	55.3%	11.8%	100.0%	

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count and status might have changed since.

² Only council approved, CEO endorsed/approved, under implementation and completed projects taken into account.

Table 14: SCCF Projects' Grant Value by GEF Replenishment Phase (M\$)

GEF Replenishment Phase ¹	Budgetary Allocation (M\$)			% of Grand Total
	MSP	FSP	Grand Total	
GEF-3	4.29	11.54	15.84	4.6%
GEF-4	2.10	87.45	89.55	25.8%
GEF-5	2.69	191.39	194.08	55.9%
GEF-6		48.04	48.04	13.8%
Grand Total²	9.09	338.42	347.50	100.0%

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count and value might have changed since.

² Only council approved, CEO endorsed/approved, under implementation and completed projects taken into account.

Table 15: SCCF Projects' Grant Value for Project Status by GEF Replenishment Phase (M\$)

Project Status ¹	Budgetary Allocation (M\$)					% of Grand Total
	GEF-3	GEF-4	GEF-5	GEF-6	Grand Total	
Council Approved			24.05	4.60	28.65	8.2%
CEO Endorsed			110.98	43.44	154.41	44.4%
CEO Approved			2.69		2.69	0.8%
Under Implementation		39.33	56.37		95.69	27.5%
Project Completion	15.84	50.22			66.05	19.0%
Grand Total²	15.84	89.55	194.08	48.04	347.50	100.0%
% of Grand Total	4.6%	25.8%	55.9%	13.8%	100.0%	

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count, status and value might have changed since.

² Only council approved, CEO endorsed/approved, under implementation and completed projects taken into account.

SCCF Portfolio by Implementing Agency

Table 16: Number of SCCF Projects by Implementing Agency

Implementing Agency ¹	MSP	FSP	Grand Total	% of Grand Total
ADB	1	5	6	7.9%
AfDB		3	3	3.9%
EBRD		4	4	5.3%
FAO		6	6	7.9%
IADB		2	2	2.6%
IFAD		9	9	11.8%
UNDP	5	17	22	28.9%
UNEP	2	5	7	9.2%
UNIDO		1	1	1.3%
World Bank		16	16	21.1%
Grand Total²	8	68	76	100.0%

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count might have changed since.

² Only council approved, CEO endorsed/approved, under implementation and completed projects taken into account.

Table 17: SCCF Projects' Grant Value by Implementing Agency (M\$)

Implementing Agency ¹	Budgetary Allocation (M\$)			% of Grand Total
	MSP	FSP	Grand Total	
ADB	0.50	17.60	18.10	5.2%
AfDB		13.22	13.22	3.8%
EBRD		17.72	17.72	5.1%
FAO		23.06	23.06	6.6%
IADB		6.64	6.64	1.9%
IFAD		42.18	42.18	12.1%
UNDP	5.29	78.70	83.99	24.2%
UNEP	3.29	31.91	35.20	10.1%
UNIDO		3.72	3.72	1.1%
World Bank		103.67	103.67	29.8%
Grand Total²	9.09	338.42	347.50	100.0%

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count and value might have changed since.

² Only council approved, CEO endorsed/approved, under implementation and completed projects taken into account.

SCCF Portfolio by Region

Table 18: Number of SCCF Projects by Region

Region ¹	MSP	FSP	Grand Total	% of Grand Total
Africa	4	18	22	28.9%
Asia	2	17	19	25.0%
Europe and Central Asia	1	11	12	15.8%
Latin America and the Caribbean		17	17	22.4%
Multi-regional		2	2	2.6%
Global	1	3	4	5.3%
Grand Total²	8	68	76	100.0%

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count might have changed since.

² Only council approved, CEO endorsed/approved, under implementation and completed projects taken into account.

Table 19: SCCF Projects' Grant Value by Region (M\$)

Region ¹	Budgetary Allocation (M\$)			% of Grand Total
	MSP	FSP	Grand Total	
Africa	4.29	86.07	90.36	26.0%
Asia	1.50	88.10	89.60	25.8%
Europe and Central Asia	2.19	50.20	52.39	15.1%
Latin America and the Caribbean		86.99	86.99	25.0%
Multi-regional		7.50	7.50	2.2%
Global	1.10	19.56	20.66	5.9%
Grand Total²	9.09	338.42	347.50	100.0%

¹ Cut-off date for portfolio analysis data was October 27 2016. Project count and value might have changed since.

² Only council approved, CEO endorsed/approved, under implementation and completed projects taken into account.

ANNEX E: RESULTS FRAMEWORK OF THE GEF ADAPTATION PROGRAM

The revised results framework of the GEF Adaptation Program is structured around three strategic objectives with associated outcomes and indicators. As of July 1, 2014, project and program proponents that seek funds from the LDCF and/or the SCCF for climate change adaptation will be requested to align their proposals with one or more of these strategic objectives.

Table 20: Results Framework of the GEF Adaptation Program

Goal	Increase resilience to the adverse impacts of climate change in vulnerable developing countries, through both near- and long-term adaptation measures in affected sectors, areas and communities; leading to a reduction of expected socio-economic losses associated with climate change and variability.
Objective 1	Reduce the vulnerability of people, livelihoods, physical assets and natural systems to the adverse effects of climate change
<u>Indicator 1</u>	Number of direct beneficiaries
<i>Outcome 1.1</i>	<i>Vulnerability of physical assets and natural systems reduced</i>
<u>Indicator 2</u>	Type and extent of assets strengthened and/or better managed to withstand the effects of climate change
<i>Outcome 1.2</i>	<i>Livelihoods and sources of income of vulnerable populations diversified and strengthened</i>
<u>Indicator 3</u>	Population benefiting from the adoption of diversified, climate-resilient livelihood options
<i>Outcome 1.3</i>	<i>Climate-resilient technologies and practices adopted and scaled up</i>
<u>Indicator 4</u>	Extent of adoption of climate-resilient technologies/ practices
Objective 2	Strengthen institutional and technical capacities for effective climate change adaptation
<i>Outcome 2.1</i>	<i>Increased awareness of climate change impacts, vulnerability and adaptation</i>
<u>Indicator 5</u>	Public awareness activities carried out and population reached
<i>Outcome 2.2</i>	<i>Access to improved climate information and early-warning systems enhanced at regional, national, sub-national and local levels</i>
<u>Indicator 6</u>	Risk and vulnerability assessments, and other relevant scientific and technical assessments carried out and updated
<u>Indicator 7</u>	Number of people/ geographical area with access to improved climate information services
<u>Indicator 8</u>	Number of people/ geographical area with access to improved, climate-related early-warning information

Table 18 continued

<i>Outcome 2.3</i>	<i>Institutional and technical capacities and human skills strengthened to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures</i>
<u>Indicator 9</u>	Number of people trained to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures
<u>Indicator 10</u>	Capacities of regional, national and sub-national institutions to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures
Objective 3	Integrate climate change adaptation into relevant policies, plans and associated processes
<i>Outcome 3.1</i>	<i>Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes established and strengthened</i>
<u>Indicator 11</u>	Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes
<i>Outcome 3.2</i>	<i>Policies, plans and associated processes developed and strengthened to identify, prioritize and integrate adaptation strategies and measures</i>
<u>Indicator 12</u>	Regional, national and sector-wide policies, plans and processes developed and strengthened to identify, prioritize and integrate adaptation strategies and measures
<u>Indicator 13</u>	Sub-national plans and processes developed and strengthened to identify, prioritize and integrate adaptation strategies and measures
<i>Outcome 3.3</i>	<i>Systems and frameworks for the continuous monitoring, reporting and review of adaptation established and strengthened</i>
<u>Indicator 14</u>	Countries with systems and frameworks for the continuous monitoring, reporting and review of adaptation

ANNEX F: CORE GENDER INDICATORS

Table 21: Core Gender Indicators

Outcomes	Gender Indicators	Source of Verification
Project design fully integrates gender concerns.	<ol style="list-style-type: none"> 1. Percentage of projects that have conducted gender analysis during project preparation. 2. Percentage of projects that have incorporated gender responsive project results framework (e.g. gender responsive output, outcome, indicator, budget, etc.). 	Project Document at CEO endorsement
Project implementation ensures gender equitable participation in and benefit from project activities.	<ol style="list-style-type: none"> 3. Share of women and men as direct beneficiaries of project. 4. Share of convention related national reports incorporated gender dimensions (e.g. NBSAP, NAPA/NAP, TDA/SAP, etc.). 	Project Implementation Reports, Mid-Term Evaluation Reports, and Terminal Evaluation Reports.
Project monitoring and evaluation give adequate attention to gender mainstreaming.	<ol style="list-style-type: none"> 5. Percentage of monitoring and evaluation reports (e.g. Project Implementation Reports, Mid-term Evaluation Reports, and Terminal Evaluation Reports) that incorporates gender equality/women's empowerment issues and assess results/progress. 	Project Implementation Reports (PIR), Mid-Term Evaluation Reports, and Terminal Evaluation Reports (TER).