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Cover photo. Fishing boats in Peam Krasaop Commune, Koh Kong Province, Cambodia, by Anna Viggh

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Foreword

The Least Developed Countries Fund (LDCF) was established in response to guidance received from the Seventh Conference of the Parties (COP) to the United Nations Framework Convention on Climate Change (UNFCCC) meeting in Marrakech in 2001, as one of its climate change adaptation financing mechanisms. The LDCF is mandated by the parties to the UNFCCC to, among others, provide support to LDCs' climate change adaptation efforts, including the preparation of national adaptation programs of action (NAPAs), the implementation of NAPA priority projects in LDCs, as well as support for the preparation of the national adaptation plan process in eligible developing countries.

In June 2015, the Least Developed Countries Fund/Special Climate Change Fund (LDCF/SCCF) Council at its 18th meeting approved the program evaluation of the LDCF to be conducted by the Independent Evaluation Office of the Global Environment Facility (GEF). A joint evaluation of the LDCF had been conducted with Danida in 2009, when the Fund was still in its first phase and grants to beneficiaries only covered the development of NAPAs. Since then, the LDCF has proceeded into a new phase of funding concrete adaptation activities. The main objective of this evaluation is to provide evaluative evidence on progress toward LDCF objectives, major achievements, and lessons learned since the Fund's establishment. The evaluation looked into three key evaluation questions:

- How relevant is LDCF support in light of UNFCCC COP guidance and decisions; the GEF adaptation programming strategy; and countries' broader developmental policies, plans, and programs?
- How effective and efficient is the LDCF in reaching its objectives, based on emerging results?
- What are the emerging results and factors that affect the sustainability and resilience of these results?

The evaluation was presented to the LDCF/SCCF Council at its June 2016 meeting and the findings of the report were appreciated by the GEF Secretariat. The LDCF/SCCF Council took note of the conclusions of the evaluation and endorsed the recommendations, taking into account the GEF Secretariat management response. A summary of the program evaluation of the LDCF was submitted as part of GEF reporting to the UNFCCC COP 22, with the edited version of the report presented at the COP 22 in Marrakech in November 2016.



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The evaluation was led by Senior Evaluation Officer Anna Viggh as task manager, with oversight from the Chief Evaluation Officer, Geeta Batra, and the Director of the Independent Evaluation Office, Juha Uitto. The evaluation team consisted of an Evaluation Officer, Dennis Bours; a Senior Consultant, Howard Stewart; and three Junior Consultants, Hayley Gillooly, Katya Verk-hovsky, and Matt McFall. The consultants were hired to undertake specific tasks such as conducting a country field visit, reviewing all project documentation, and a portfolio and quality at entry analysis for all projects that make up the Least Developed Countries Fund portfolio. The evaluation team was supported by Evelyn Chihuguyu, Program Assistant, for contracting; and Malac Kabir, Research Assistant, for travel arrangements. Ruben Sardon coordinated the publication process. Nita Congress edited and designed the publication.

The team would like to thank the Global Environment Facility (GEF) Secretariat and GEF Agency staff for their cooperation and assistance in collecting relevant information. The evaluation team is

grateful to those who participated in and assisted with arranging country field visits in four countries:

- Cambodia—Rithirak Long, GEF Political Focal Point, and Thy Sum, Director of Climate Change Department, Ministry of Environment
- Haiti—Jean-Pierre Moise, GEF Operational Focal Point, Gianluca Gondolini, Project Coordinator and Adaptation Specialist, Food and Agriculture Organization of the United Nations
- Lao People’s Democratic Republic—Kampadith Khammounheuang, GEF Operational Focal Point, and Margaret Jones Williams, Environment Unit Manager, United Nations Development Programme
- Senegal—Mariline Diara, GEF Political/Operational Focal Point, Ndèye Fatou Diaw Guène, Department of Environmental and Classified Establishments, Ministry of Environment and Sustainable Development

Executive Summary

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 (GEF), which includes a program evaluation of the LDCF during fiscal year 2016. The evaluation performed by the Office focuses on performance and progress toward LDCF objectives and emerging results. Its overall purpose is to provide the LDCF/SCCF Council with evaluative evidence of the Fund's relevance and emerging results.

The LDCF was established, in response to guidance received from the 2001 Seventh Conference of the Parties (COP) to the United Nations Framework Convention on Climate Change (UNFCCC), as one of the UNFCCC's climate change adaptation financing mechanisms. The LDCF is mandated by the parties to the UNFCCC to, among others, provide support to climate change adaptation efforts by least developed countries; this includes the preparation of national adaptation programs of action (NAPAs), the implementation of NAPA priority projects in least developed countries, and support for the preparation of the national adaptation plan process in eligible developing countries.

The GEF acts as an operating entity of the UNFCCC financial mechanism and was entrusted with the financial operation of the LDCF. The LDCF is separate from the GEF Trust Fund, and—together with the SCCF—has its own council. The

governance structure and operational procedures and policies that apply to the GEF Trust Fund are also applied to the LDCF and the SCCF, unless the LDCF/SCCF Council decides it is necessary to modify the procedures in response to COP guidance or to facilitate the operations of the LDCF and SCCF for successful achievement of the objectives of the Funds.

The 18 GEF Agencies have direct access to the LDCF for preparation and implementation of activities financed by the Fund. As of September 22, 2015, eight GEF Agencies were involved in LDCF operations—the Asian Development Bank, the African Development Bank, the Food and Agriculture Organization of the United Nations, the International Fund for Agricultural Development, the United Nations Development Programme, the United Nations Environment Programme, the United Nations Industrial Development Organization, and the World Bank. The United Nations Development Programme holds the largest share of the LDCF portfolio, accounting for 48.7 percent of total funds approved. The Agency has assisted a large number of countries in preparing their NAPA country reports and subsequent NAPA implementation projects.

A meta-evaluation review of relevant evaluations was used as a foundation for the present evaluation, taking into account that each evaluation had its own specific objectives and thus perspectives, and recognizing that earlier findings capture a snapshot of the LDCF and its operational

landscape at specific moments in time. As follow-up to the 2009 LDCF joint evaluation conducted by Danida (Denmark's development cooperation authority) and the GEF Independent Evaluation Office, this evaluation aims to complement the existing evidence base regarding the Fund's performance.

As part of the evaluation methodology, a theory of change has been developed for the Fund, combining the GEF's strategic objectives for adaptation with the objectives, outcomes, and overarching goal noted in the results framework of the GEF Adaptation Program. The theory of change informed the development of evaluative questions, further guided the development of related methods and protocols, and was used to analyze broader progress to impact through the aggregation of available evidence on broader-scale and longer-term results. The overarching goal and strategic objectives of the GEF Programming Strategy on Adaptation, incorporated into the theory of change, translate into three main evaluation questions and a number of subquestions grouped by core evaluation criteria. The evaluation team assessed the performance and progress of the LDCF using aggregated data for these questions:

- **Relevance.** How relevant is LDCF support in light of UNFCCC COP guidance and decisions; the GEF adaptation programming strategy; and countries' broader developmental policies, plans, and programs?
- **Effectiveness and efficiency.** How effective and efficient is the LDCF in reaching its objectives, based on emerging results?
- **Results and sustainability.** What are the emerging results and factors that affect the sustainability and resilience of these results?

A portfolio analysis protocol, including a quality at entry review, was developed using a survey tool to assess the projects in a systematic manner to ensure that key project-level questions were

addressed coherently. The team applied the portfolio analysis protocol to 280 projects at various stages of implementation and the quality at entry review protocol to 116 national projects that were endorsed/approved by the GEF Chief Executive Officer or under implementation as of end October 2015. Given that the NAPA implementation projects are at different stages of implementation, the status of the respective projects determines the manner in and extent to which each was included in the LDCF program evaluation according to the core evaluation criteria.

In addition to the document and project reviews, the team conducted four country field visits (to Cambodia, Haiti, Lao People's Democratic Republic, and Senegal) and carried out interviews with key stakeholders to cross-check and validate the data collected. Finally, the evaluation team conducted an analysis of, and triangulated, data collected to determine trends and formulate main findings, conclusions, lessons, and recommendations. The evaluation matrix, summarizing the key questions, indicators or basic data, sources of information and methodology, was used to guide the analysis and triangulation.

In its evaluation of the LDCF, the GEF Independent Evaluation Office reached the following eight conclusions.

- **Conclusion 1: LDCF-supported activities, for the most part, have been highly relevant to COP guidance and countries' development priorities.** There is a generally high degree of coherence between the scope of LDCF-funded activities and both the guidance and priorities of the UNFCCC and the GEF, and the development priorities of countries receiving LDCF support.
- **Conclusion 2: LDCF-supported interventions show clear potential in reaching the GEF's three adaptation strategic objectives.** About Eighty-eight percent of NAPA country reports, and 90 percent of implementation projects were, from a large to an extremely large extent,

aligned with the GEF adaptation strategic objectives. The quality at entry review showed that 98 percent of NAPA implementation projects had a high to very high probability of delivering tangible adaptation benefits. Also, the majority of stakeholders interviewed indicated it was very likely that the NAPA implementation projects they were familiar with, or involved in, would reach the GEF's strategic adaptation objectives.

- **Conclusion 3: Contributions of LDCF-supported interventions to focal areas other than climate change are potentially significant.**

It is not within the Fund's mandate to explicitly target focal areas beyond climate change, but given the primary priority areas for LDCF support—agriculture, water resource management, and fragile ecosystems—there is clear potential for beneficial synergies with the biodiversity and land degradation focal areas in particular. The Fund's support also has the potential to contribute, to some extent, to GEF's global environmental benefits, most notably in maintaining globally significant biodiversity and sustainable land management in production systems.

- **Conclusion 4: The efficiency of the LDCF has been negatively affected by the unpredictability of available resources.** Despite employing measures to expedite the project cycle, the LDCF's efficiency has experienced negative effects from the unpredictable nature of available resources. There is no formal resource mobilization process, and the Fund has to rely on voluntary contributions. Unpredictable funding creates uncertainty for GEF Agencies and least developed countries reliant on LDCF support for the implementation of their primary climate change adaptation priorities. It also negatively influences stakeholders' perceptions of the Fund's transparency and, overall, affects LDCF efficiency.

- **Conclusion 5: LDCF support to NAPA implementation projects has resulted in catalytic effects in completed projects, though extensive replication and upscaling generally demands further financing beyond the projects' time frame.**

Completed NAPA implementation projects developed or introduced new technologies and/or approaches which were successfully demonstrated and disseminated, and resulted in activities, demonstrations, and/or techniques being repeated within and outside of these projects. Additional catalytic effects, as identified by project stakeholders, were (1) in the generation of significant social, economic, cultural, and human well-being co-benefits as a result of NAPA project implementation; (2) the projects having impacts on multiple sectors and at different levels of society; and (3) the projects resulting in the development of foundations for larger-scale projects through analytic work, assessments, and capacity building. Only 15 percent of completed projects performed well on upscaling. For the majority of projects that received low performance ratings for scaling up, additional financing will be required to ensure scaling-up. The technical and institutional capacity-building and information-sharing activities had good buy-in from national and local-level officials, but projects highlight further financing beyond the project's time frame as the primary requirement for scaling-up.

- **Conclusion 6: There is a clear intent to mainstream adaptation into countries' environmental and sustainable development policies, plans, and associated processes.** The portfolio analysis found that almost three-quarters of NAPA country reports clearly detailed the ways in which NAPA priorities would be linked with existing national policies, plans, and strategies.

- **Conclusion 7: The gender performance of the LDCF portfolio has improved considerably in response to enhanced requirements from**

the GEF, though there seems to be confusion as to what it means to be “gender mainstreamed.” Almost 50 percent of projects under GEF-4 lacked a gender mainstreaming strategy or plan, which went down to 8.7 percent under GEF-6. Over 90 percent of NAPA implementation projects financed under GEF-6 address gender concerns to some degree. However, this evaluation rated only 17.4 percent of these projects as gender mainstreamed; more projects need to move from the “gender aware” and “gender sensitive” categories to the “gender mainstreamed” rating. The Gender Equality Action Plan clearly explains what it means for a project to be gender mainstreamed. Some other Council documents, specifically the Annual Monitoring Review, show a different interpretation regarding gender mainstreaming.

- **Conclusion 8: There are significant discrepancies in project data from the GEF Secretariat’s Project Management Information System (PMIS).** A quality assessment of PMIS information was not a specific objective of this

evaluation, but project data harvesting from the PMIS revealed 58 broken links to project documentation for 46 projects. Moreover, cross-checking the available project data with GEF Agencies revealed further discrepancies in PMIS data.

In its evaluation of the LDCE, the GEF Independent Evaluation Office reached the following three recommendations.

- **Recommendation 1.** The GEF Secretariat should explore and develop mechanisms that ensure the predictable, adequate, and sustainable financing of the Fund.
- **Recommendation 2.** The GEF Secretariat should make efforts to improve consistency regarding its understanding and application of the GEF gender mainstreaming policy and the Gender Equality Action Plan to the LDCE.
- **Recommendation 3.** The GEF Secretariat should ensure that PMIS data is up to date and accurate.

Abbreviations

AfDB	African Development Bank	NAP	national adaptation plan
AMAT	Adaptation Monitoring and Assessment Tool	NAPA	national adaptation program of action
CEO	Chief Executive Officer	ODS	ozone-depleting substances
COP	Conference of the Parties	OPS5	Fifth Overall Performance Study
FAO	Food and Agriculture Organization of the United Nations	PPG	project preparation grant
FSP	full-size project	PMIS	Project Management Information System
GEF	Global Environment Facility	POP	persistent organic pollutant
IUCN	International Union for Conservation of Nature and Natural Resources	SCCF	Special Climate Change Fund
LDC	least developed country	UNDP	United Nations Development Programme
LDCF	Least Developed Countries Fund	UNEP	United Nations Environment Programme
M&E	monitoring and evaluation	UNFCCC	United Nations Framework Convention on Climate Change
MSP	medium-size project	UNIDO	United Nations Industrial Development Organization

All dollar amounts are U.S. dollars unless otherwise indicated.

1. Introduction

At its 18th meeting in June 2015, the Least Developed Countries Fund/Special Climate Change Fund (LDCF/SCCF) Council approved the Four-Year Work Program of the Independent Evaluation Office (IEO) of the GEF (GEF IEO 2015), which includes a program evaluation of the LDCF during fiscal year 2016. This evaluation focuses on performance and progress toward LDCF objectives and emerging results. The evaluation's overall purpose is to provide the LDCF/SCCF Council with evaluative evidence of the Fund's relevance and emerging results.

The LDCF was established as one of the climate change adaptation financing mechanisms of the United Nations Framework Convention on Climate Change (UNFCCC), in response to guidance from the Seventh Conference of the Parties (COP) in Marrakech in 2001 (UNFCCC 2002, Decision 7/CP.7). The LDCF is mandated by the UNFCCC parties to, among other responsibilities, provide support to the climate change adaptation efforts of least developed countries (LDCs)—including preparation of national adaptation programs of action (NAPAs), implementation of NAPA priority projects in LDCs, and preparation of the national adaptation plan (NAP) process in eligible developing countries (UNFCCC 2002, Decisions 2/CP.7, 5/CP.7, and 7/CP.7; UNFCCC 2003, Decision 8/CP.8; UNFCCC 2004, Decisions 4/CP.9 and 6/CP.9; UNFCCC 2006, Decision 3/CP.11; UNFCCC 2011, Decision 1/CP.16; UNFCCC 2013b, Decision 12/CP.18). Box 1.1 defines key terms used; box 1.2

provides a summary of UNFCCC COP guidance and decisions regarding the LDCF.

The GEF acts as an operating entity of the UNFCCC financial mechanism and was entrusted with the financial operation of the LDCF. The LDCF is separate from the GEF Trust Fund, and— together with the SCCF—has its own council. The governance structure and operational procedures and policies that apply to the GEF Trust Fund are also applied to the LDCF and the SCCF. However, the LDCF/SCCF Council can modify these procedures in response to COP guidance or to facilitate LDCF/SCCF operations to enable them to successfully achieve their objectives.

There are currently 18 GEF Agencies involved with the LDCF. They comprise the original three GEF Implementing Agencies—the United Nations Development Programme (UNDP), the United Nations Environment Programme (UNEP), and the World Bank—plus the seven former Executing Agencies—the Asian Development Bank, the African Development Bank (AfDB), the European Bank for Reconstruction and Development, the Inter-American Development Bank, the Food and Agriculture Organization of the United Nations (FAO), the International Fund for Agricultural Development, and the United Nations Industrial Development Organization (UNIDO). These 10 GEF Agencies are joined by the 8 newly accredited GEF Project Agencies, which have no corporate responsibilities: Conservation International, the Development Bank of Latin America (CAF),

BOX 1.1 Intergovernmental Panel on Climate Change Definitions of Key Terms

Adaptation. The process of adjustment to actual or expected climate and its effects. In human systems, adaptation seeks to moderate or avoid harm or exploit beneficial opportunities. In some natural systems, human intervention may facilitate adjustment to expected climate and its effects.

Adaptation needs. The circumstances requiring action to ensure safety of populations and security of assets in response to climate impacts.

Adaptive capacity: The ability of systems, institutions, humans, and other organisms to adjust to potential damage, to take advantage of opportunities, or to respond to consequences.

Capacity building: In the context of climate change, the process of developing the technical skills and institutional capability in developing countries and economies in transition to enable them to address effectively the causes and results of climate change.

Climate change: Refers to a change in the state of the climate that can be identified by changes in the mean and/or the variability of its properties, and that persists for an extended period, typically decades or longer. The UNFCCC, in its Article 1, defines climate change as “a change of climate which is attributed directly or indirectly to human activity that alters the composition of the global atmosphere and which is in addition to natural climate variability observed over comparable time periods.”

Resilience: The capacity of social, economic, and environmental systems to cope with a hazardous event, trend, or disturbance, responding or reorganizing in ways that maintain their essential function, identity, and structure, while also maintaining the capacity for adaptation, learning, and transformation.

Sensitivity: The degree to which a system or species is affected, either adversely or beneficially, by climate variability or change. The effect may be direct (e.g., a change in crop yield in response to a change in the mean, range, or variability of temperature) or indirect (e.g., damages caused by an increase in the frequency of coastal flooding due to sea level rise).

Vulnerability: The propensity or predisposition to be adversely affected. Vulnerability encompasses a variety of concepts and elements including sensitivity or susceptibility to harm and lack of capacity to cope and adapt. Vulnerabilities are considered key if they have the potential to combine with hazardous events or trends to result in key risks. Vulnerabilities that have little influence on climate-related risk, for instance, due to lack of exposure to hazards, would not be considered key.

SOURCE: IPCC 2014.

the Development Bank of Southern Africa (DBSA), the Foreign Economic Cooperation Office, the Ministry of Environmental Protection of China (FECO), Fundo Brasileiro para a Biodiversidade (FUNBIO), the International Union for Conservation of Nature and Natural Resources (IUCN), the West African Development Bank (BOAD), and the U.S. World Wildlife Fund (WWF-US). This report uses the term “GEF Agencies” to refer to both GEF Agencies and GEF Project Agencies.

These 18 GEF Agencies have direct access to LDCF for the preparation and implementation of activities financed by the Fund. As of September 22, 2015, eight GEF Agencies were involved in LDCF operations: the Asian Development Bank, AfDB, FAO, the International Fund for Agricultural Development, UNDP, UNEP, UNIDO, and the World Bank. The largest share of the portfolio is held by UNDP (figure 1.1), with 48.7 percent of total funds approved and 55.2 percent of the total number of projects ($n = 223$) (GEF 2015c). UNDP

BOX 1.2 Recap of UNFCCC COP Guidance and Decisions Regarding the LDCF

Since its establishment in 2001 as an adaptation funding mechanism, the LDCF's mandate, objectives, and priorities in supporting LDCs have developed over time. A concise overview of the COP guidance and decisions for the LDCF relevant to this evaluation follows.

- **Decision 2/CP.7, Annex B, par. 9, and Annex D, par. 22:** Capacity building in developing countries as part of the LDC (non-Annex 1) work program, in support of country-driven capacity-building activities with a focus especially on those countries particularly vulnerable to the adverse effects of climate change (UNFCCC 2002).
- **Decision 5/CP.7 and Decision 7/CP.7, par. 6:** Support work program for LDCs, including preparation of NAPAs (UNFCCC 2002).
- **Decision 4/CP.9, par. 1a:** Support preparation of (non-Annex 1) national communications to the convention (UNFCCC 2004).¹
- **Decision 6/CP.9, pars. 2 and 3:** Support implementation of NAPAs (support of NAPA implementation projects) as soon as possible after NAPA completion (UNFCCC 2004).
- **Decision 6/CP.9, par. 3, and Decision 3/CP.11, par. 1a:** NAPAs should be country driven, in line with national priorities, ensuring cost-effectiveness and complementarity with other funding sources. Focus on urgency and immediacy of adapting to adverse effects of climate change with a prioritized activities (UNFCCC 2004, 2006).
- **Decision 3/CP.11, par. 1b–c:** Support implementation of activities identified in NAPAs in order to promote integration of adaptation measures in national development and poverty reduction strategies, plans, or policies, with a view to increasing resilience to adverse effects of climate change; support a learning-by-doing approach (UNFCCC 2006).
- **Decision 1/CP.16, par. 15:** Establish process to formulate and implement NAPs as a means of identifying medium- and long-term adaptation needs and developing and implementing strategies and programs to address those needs (UNFCCC 2011).
- **Decision 12/CP.18, par. 1:** Provide funding for activities that enable NAP preparation (UNFCCC 2013b).

¹ UNFCCC overview Non-Annex I national communications.

has assisted a large number of countries in preparing their NAPA country reports and subsequent NAPA implementation projects.

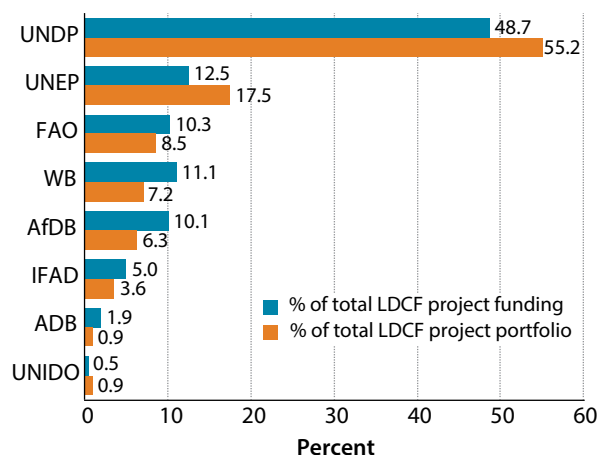
NAPAs provide a process for LDCs to identify priority activities that respond to their urgent and immediate needs to adapt to climate change—those for which further delay would increase vulnerability and/or costs at a later stage. The main content of NAPAs is a country-driven list of ranked priority adaptation activities and projects, designed to facilitate the development of proposals for NAPA implementation. The focus is on short-term outputs and potential long-term outcomes. As of September 22, 2015, 51 LDCs had accessed

\$12.2 million in support of NAPA preparation.

[Annex A](#) contains an overview of completed NAPA country reports. Of the 50 countries that had completed their NAPAs, 49 had accessed a total of \$905.6 million for 161 projects to address their urgent and immediate adaptation needs (GEF 2015c).

NAPs provide a process for LDCs to formulate and implement activities that focus on medium- and long-term adaptation needs, building on the experience of the LDCs in addressing urgent and immediate adaptation needs through their NAPAs. As of September 22, 2015, two global projects—Assisting LDCs with Country-Driven Processes to

FIGURE 1.1 Distribution of LDCF Financing and Projects by GEF Agency



NOTE: ADB = Asian Development Bank; IFAD = International Fund for Agricultural Development; WB = World Bank. Only projects that have been approved by the LDCF/SCCF Council, endorsed/approved by the GEF Chief Executive Officer, are under implementation, or have been completed are included here.

Advance NAPS (GEF ID 5320) and Expanding the Ongoing Support to LDCs with Country-Driven Processes to Advance NAPs (GEF ID 5868)—with

LDCF resources amounting to \$9.14 million had been approved to support the preparation of the NAP process in LDCs (GEF 2015c).

One global project—Building Capacity for LDCs to Participate Effectively in Intergovernmental Climate Change Processes (GEF ID 5615)—with \$4.54 million in LDCF resources, further focuses on implementation of elements of the LDC work program other than NAPAs: namely, the effective participation in climate change negotiations, and access to and use of climate information (GEF 2015c).

Unlike the GEF Trust Fund, which is replenished every four years, the LDCF receives voluntary contributions with no regular replenishment schedule. This circumstance leads to a high level of financial uncertainty. There is no established resource mobilization process, but the GEF adaptation strategy on climate change adaptation for the LDCF/SCCF sets out two illustrative financing scenarios for the LDCF to encourage contributions. Currently, there is a ceiling of \$30 million per LDC, based on the principle of equitable access.

2. Approach and Methodology

The GEF Independent Evaluation Office prepared an approach paper outlining the objectives and methods to be used in its program evaluation of the LDCF. This paper was circulated to key stakeholders and published online for comment and input. The approach paper, and an audit trail of comments received and actions taken, are available on the Office [website](#).

As a follow-up to the 2009 joint evaluation of the LDCF by the Evaluation Department of Danida (Denmark's development cooperation authority) and the GEF Independent Evaluation Office, the main objective of this evaluation is to provide evaluative evidence on progress toward LDCF objectives, major achievements, and lessons learned since the Fund's establishment in response to COP 7 guidance and subsequent guidance provided to the Fund as strategic objectives and pillars (box 2.1).

2.1 Theory of Change and Methods

A theory of change was developed for the LDCF (figure 2.1), combining the GEF's strategic objectives for adaptation and the objectives, outcomes, and overarching goal as identified in the results framework for the GEF Adaptation Program (annex B). The GEF areas of contribution cited in the theory of change are from GEF IEO (2012a). The theory of change informed the development of evaluative questions, further guided the development of related methods and protocols, and

BOX 2.1 GEF Adaptation Program Strategic Objectives and Pillars

The GEF Programming Strategy on Adaptation to Climate Change for the LDCF and SCCF has three strategic objectives:

- 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
- Integrate climate change adaptation into relevant policies, plans, and associated processes

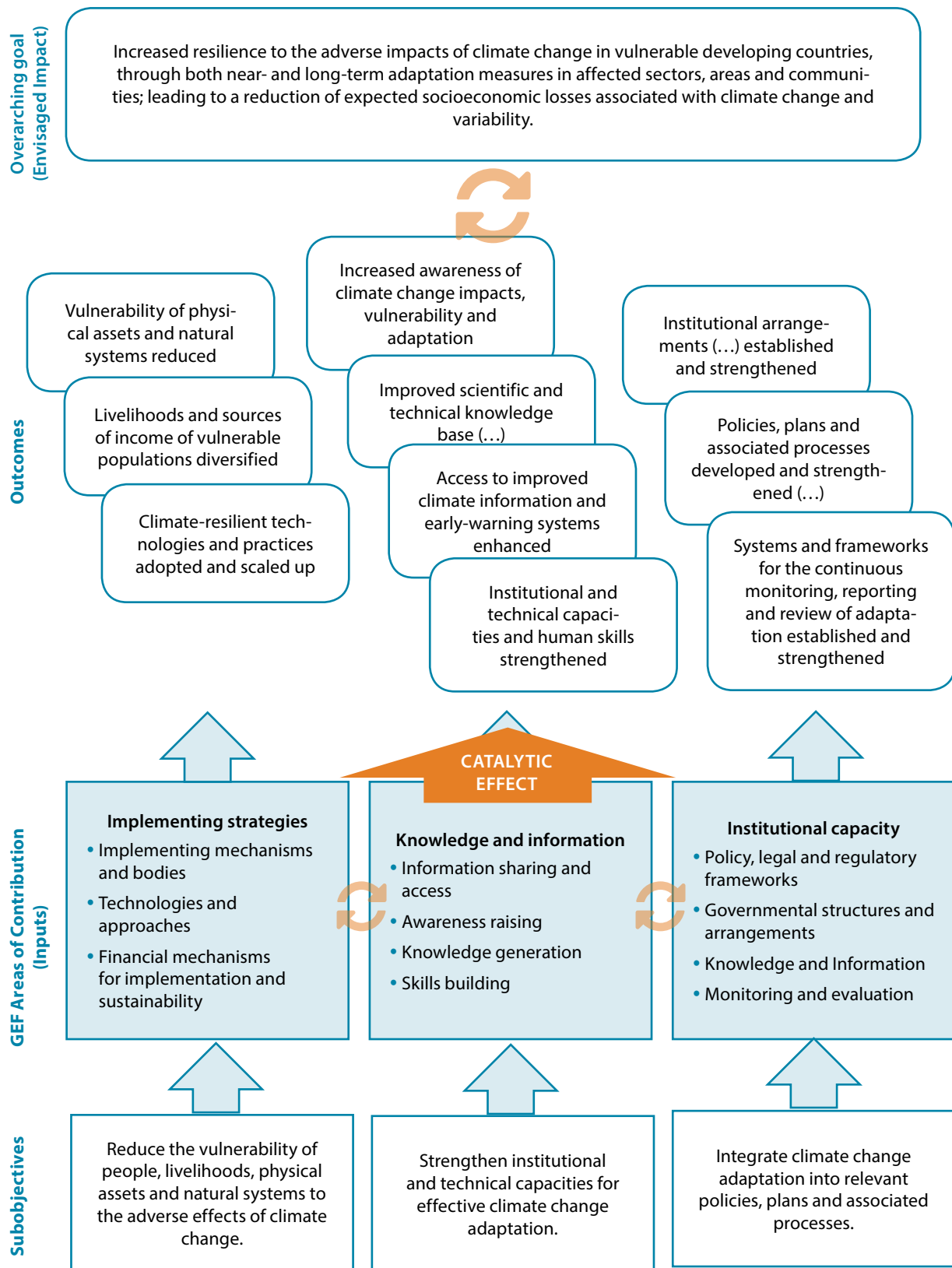
The direction charted by this strategy is captured in two strategic pillars that are intended to guide programming under the LDCF and the SCCF toward their goal and objectives, namely:

- 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
- Expanding synergies with other GEF focal areas.

was used to analyze broader progress to impact through the aggregation of available evidence on broader-scale and longer-term results.

The overarching goal and strategic objectives of the GEF Adaptation Program translate into three main evaluation questions and a number of

FIGURE 2.1 Theory of Change of the LDCF



subquestions grouped by core evaluation criteria (annex C). The evaluation team assessed the performance and progress of the LDCF using aggregated data for these questions:

- **Relevance.** How relevant is LDCF support in light of UNFCCC COP guidance and decisions; the GEF adaptation programming strategy; and countries' broader developmental policies, plans, and programs?
- **Effectiveness and efficiency.** How effective and efficient is the LDCF in reaching its objectives, based on emerging results?
- **Results and sustainability.** What are the emerging results and factors that affect the sustainability and resilience of these results?

At the evaluation's onset, the team conducted a **meta-evaluation review of recent evaluations** conducted by the Independent Evaluation Office, the evaluation offices of GEF Agencies and others that have reviewed the LDCF, the NAPA process, and/or individual NAPA implementation projects. The team also reviewed GEF-specific documents on the LDCF and related interventions; as well as additional literature beyond GEF and LDCF/SCCF Council and project documents, and GEF Secretariat policies, processes, and related documents. The meta-evaluation review is further discussed in [section 2.2](#).

A **portfolio analysis protocol**, including a quality at entry review, was developed using a survey tool to assess the projects in a systematic manner to ensure that key project-level questions were addressed coherently ([annex D](#)). The team applied the portfolio analysis protocol to 280 projects—enabling activities, medium-size projects (MSPs), and full-size projects (FSPs)—at various stages of implementation. It applied the quality at entry review protocol to 116 national projects that were either endorsed/approved by the GEF Chief Executive Officer (CEO) or under implementation as of October 2015. Because NAPA implementation

projects are at different stages of implementation (table 2.1), the status of the respective project determined the manner in and extent to which it was included in the LDCF program evaluation according to the core evaluation criteria (table 2.2).

The evaluation team developed a **database of all LDCF projects** including information on project status, financing and cofinancing, GEF Agency, executing agency or institution, country, main objectives, and key partners. The majority of the information was extracted from the GEF Project Management Information System (PMIS) and verified by the GEF Agencies. The LDCF project database as well as information from the portfolio analysis protocol allowed for aggregation at the portfolio level, enabling evaluation of the LDCF as a whole.

All **available project documentation**—including project preparation grant (PPG) requests, project identification forms (PIFs), requests for CEO endorsement/approval, project documents, LDCF/SCCF Adaptation Monitoring and Assessment Tool (AMAT) and tracking tools for other focal areas, project implementation reports, mid-term reviews, terminal evaluations, and terminal evaluation reviews—was reviewed during the evaluation. The evaluation's findings on sustainability are primarily based on data for 11 projects that have been completed and for which a terminal evaluation and terminal evaluation review have been submitted.

In addition to the document and project reviews, the team conducted **four country field visits**—to Cambodia, Haiti, Lao People's Democratic Republic, and Senegal—and carried out interviews with key stakeholders to cross-check and validate the data collected. These countries were selected in an attempt to cover all LDC regions and to visit countries with larger LDCF portfolios. The field visits are a critical component of the evaluation, as they provide in-depth, field-verified inputs to the findings and recommendations.

TABLE 2.1 Number of LDCF Projects by Project Status

Project status	NAPA country reports (EAs)	NAPA implementation projects			Total
		MSP	FSP	Total MSPs and FSPs	
Completed	50	6	7	13	63
Under implementation		4	97	101	101
CEO endorsed/approved	1		18	18	19
Council approved		1	39	40	40
Project preparation grant approved			3	3	3
Program manager recommended		1	25	26	26
Pending			16	16	16
Canceled or dropped		1	11	12	12
Total	51	13	216	229	280
Total, excluding canceled or dropped	51	12	205	217	268
Total, from Council approved to completed	51	11	161	172	223

NOTE: EA = enabling activity. Because the cutoff date for portfolio analysis data was October 31, 2015, project status might have changed since.

TABLE 2.2 Inclusion of NAPA Implementation Projects in Evaluation by Project Status

Status	Core criterion			Results and sustainability
	Relevance	Effectiveness	Efficiency	
Completed	Full	Full	Full	Full
Under implementation	Full	Likelihood	Likelihood	n.a.
Approved, but not under implementation	Expected	n.a.	n.a.	n.a.

NOTE: n.a. = not applicable.

Interviews were carried out with senior management and staff of the GEF Secretariat, the GEF Agencies, the UNFCCC Secretariat, the GEF Scientific and Technical Advisory Panel, current and former LDCF/SCCF Council members, donors to the LDCF, government officials, project implementers, civil society organizations, beneficiaries, and other country-level stakeholders. A full list of the people consulted is presented in [annex E](#).

Finally, the evaluation team conducted an **analysis of, and triangulated, data** collected to determine trends and formulate main findings, conclusions, lessons, and recommendations. The

evaluation matrix ([annex C](#)), summarizing the key questions, indicators or basic data, sources of information and methodology, was used to guide the analysis and triangulation.

2.2 Meta-Evaluation Review

This section presents a summary of key recent relevant evaluations reviewed by the evaluation team.

A **2008 terminal evaluation of UNEP GEF projects** examined impacts from the NAPA enabling activities and assessed project performance and implementation (UNEP 2008). This evaluation found that all NAPA country reports

surveyed were relevant to national sustainable development priorities, although no countries identified specific means by which their NAPA priorities could be integrated into country planning frameworks. All NAPA country reports were consistent with their intended aim of communicating urgent and immediate adaptation needs. However, the evaluation felt that focusing on immediate needs represented a significant missed opportunity to achieve catalytic mainstreaming impacts by addressing long-term adaptation barriers. Evidence of internal capacity building was stronger where the NAPA was considered part of a continuum of enabling activities, including national communications. In terms of efficiency, the evaluation found that lengthy project approval processes at times resulted in delays and lost momentum for projects. It recommended a more flexible and accelerated approval process.

The UNDP Evaluation Office carried out an **independent evaluation of UNDP's work with the LDCF/SCCF** (UNDP 2009). The evaluation found that there was justifiable dissatisfaction among countries concerning the lengthy time periods and complex procedures required to move from the NAPAs to concrete projects. Some actors found the approval process adequate, but did not feel sufficiently informed about how decisions were made, by whom, and on what criteria. There were also differing expectations among the different actors. Some countries thought that as soon as the NAPA was completed, resources for follow-up activities would be made available. UNDP often felt the NAPAs looked more like wish lists, and that realistic project identification still needed to be completed. The evaluation noted that internal capacity gaps and lack of necessary support at various levels in country impeded catalytic progress. The evaluation report's conclusions were not very targeted, and it was not always clear whether individual recommendations were aimed at the LDCF or SCCE.

A **joint evaluation of the LDCF** was conducted in 2009 by the independent evaluation

entities of Danida and the GEF to analyze and document the results and lessons learned from the LDCF's financing and promotion of climate change adaptation (Danida 2009; Danida and GEF IEO 2009). As the Fund was still in its first phase at this time, the evaluation only covered NAPA development. Since then, the LDCF has proceeded to funding the implementation of adaptation activities, as well as supporting the NAP process. The evaluation included 31 recommendations: 8 were aimed at the UNFCCC and focused on COP guidance, 5 targeted LDC governments, 2 focused on GEF Agencies, 4 were aimed at the LDCF/SCCF Council, and the remaining 12 were directed at the LDCF team within the GEF Secretariat.

The evaluation found that the LDCF had catalytic effects in the sense that the NAPA process opened up thinking about climate change and its impacts within LDC governments—in most cases, for the first time. However, much work remained in order to mainstream climate change awareness. It also found that LDCF portfolios tended to be quite relevant to national development priorities. A lack of attention to gender-differentiated vulnerability in LDCF-supported activities led to gender being unevenly addressed across the NAPAs. Also, the evaluation reported widespread inefficiency in access to LDCF funds and project approval times.

Recommendations of the evaluation to the parties to the UNFCCC included the following, among others:

- The UNFCCC should reassess the role of the LDCF. What is its niche, and what constitutes an appropriate lifespan for it?
- Any replenishment of the LDCF for the longer term should be sufficient to support whole NAPA implementation programs, rather than individual project implementation.
- Consideration should be given to future development, restructuring, and updating of NAPA country reports. To better serve as a flexible

and updated planning tool for governments, adaptation priorities need to be established for the short, medium, and longer term, and the sequencing of priority implementation needs to be designed to ensure the effectiveness of and synergies between actions.

Recommendations to the LDCF team in the GEF Secretariat included the following, among others:

- For the LDCF to complement other emerging climate change financing mechanisms, greater responsiveness and flexibility of procedures will have to be introduced to ensure lack of duplication and complementarity.
- All NAPA priority projects should use evidence-based inquiry into the ways climate change effects are differentiated between genders, introduce measures that identify women's vulnerability to climate change, and listen to the voices of climate-vulnerable women.
- A common tracking procedure should be introduced across the LDCF and the GEF Agencies so the status of a given project can be easily determined regardless of where it is in the cycle or its implementing Agency.

At the Ninth LDCF/SCCF Council meeting, the GEF Secretariat provided an overview of follow-up actions on the recommendations addressed to it by the joint evaluation (GEF 2010a).

In 2010, Danida funded a follow-up review of actions taken by the GEF Secretariat and the LDCF/SCCF Council in response to the evaluation report's recommendations (Danida 2010). The report concluded that the LDCF had been emerging from a somewhat difficult phase of establishment and early operations into a period of significant improvement. Efforts had been made or were under way at the time of the review to respond positively to most of the recommendations addressed to the LDCF Council and the GEF

Secretariat. The GEF Secretariat had taken steps to address gender inequality via adaptation projects, committing to making gender issues an integral part of the socioeconomic aspect of projects, and adopting an updated project results frameworks that included gender-disaggregated indicators (GEF 2010b). Nevertheless, the report found that some issues needed further attention, including delineating cooperation between the LDCF and other adaptation funds, and uncertainty about the future financial regime for adaptation.

The 2011 **evaluation of the GEF Strategic Priority for Adaptation** (SPA) pilot program aimed to provide lessons and experiences from implementation of the first climate change adaptation strategy supported by the GEF (GEF IEO 2011). One of the evaluation's recommendations stated that the GEF should continue to provide incentives to mainstream resilience and adaptation to climate change into the GEF focal areas as a means of reducing risks to the GEF portfolio. A number of factors were flagged that could prevent adaptation mainstreaming, including limited capacity for adaptation throughout the GEF system and gaps in scientific knowledge of specific climate impacts. The evaluation noted that the pilot's early stage allowed for only limited conclusions on effectiveness and efficiency. Alignment with GEF focal areas was strong overall, due to a requirement that all projects address one or more of the focal areas.

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 (GEF IEO 2013b). The evaluation concluded that, in most cases, the GEF-5 focal areas did not draw on a systematic identification of the envisaged causal relationships between various elements of the relevant strategy, which is an impediment to achieving catalytic results. Were the GEF to more systematically consider paths toward broader adoption, this situation could improve. Technical Paper 7 of the focal area evaluation focused on adaptation under the LDCF

and SCCF (GEF IEO 2012a). The paper affirmed that the 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 provided an overview of COP guidance to the GEF. It found that the GEF was generally responsive to UNFCCC guidance (GEF IEO 2012b).

The **Fifth Overall Performance Study of the GEF** (OPS5) synthesized conclusions and evaluative evidence on adaptation to climate change (GEF IEO 2014b). Adaptation to climate change is included in OPS5 through various channels. It has been considered a focal area and included in the Independent Evaluation Office's evaluation streams such as country-level portfolio evaluations and performance evaluations. Adaptation is included through work on focal area strategies, results-based management and tracking tools, multifocal area and multitrust fund projects, and gender mainstreaming.

OPS5 Technical Document 3 analyzed the implementation of GEF focal area strategies (GEF IEO 2013c). It concluded that the proportion of multifocal area projects in the LDCF and SCCF was relatively low, since combining of LDCF and SCCF resources with other focal area resources in multitrust fund projects had only been introduced as part of the GEF-5 replenishment period (2010–14). At the time of the analysis, 14 percent of LDCF funds had gone to a total of five multitrust fund projects. OPS5 Technical Document 9 addressed multifocal area projects (GEF IEO 2013d). It found that the share of multifocal area projects had been increasing over time, and that LDCF projects were more likely to address multifocal concerns compared to GEF Trust Fund projects.

OPS5 Technical Document 19 provided preliminary findings on a quality at entry review of a sample of NAPA implementation projects to assess the extent to which they responded to key issues identified by the NAPAs and their project design quality (GEF IEO 2013a). The GEF Independent

Evaluation Office conducted further quality at entry reviews of approved NAPA implementation projects (GEF IEO 2014a). This review concluded the following:

- A large majority of NAPA implementation projects were aligned with their respective NAPA.
- Agriculture was the key adaptation need, found in 96 percent of the NAPAs analyzed, followed by water resource management (87 percent) and natural resource management (78 percent).
- All projects were consistent with LDCF strategies, eligibility criteria, and priorities.
- A high percentage of NAPA projects were mainstreaming gender into adaptation initiatives.
- A large majority of projects included wide stakeholder involvement and had risk assessment and mitigation strategies in place.

The present evaluation of the LDCF uses previous evaluative evidence as a foundation on which to build, taking into account that each evaluation had its own specific objectives and thus perspectives, and recognizing that the above-mentioned findings capture a snapshot of the LDCF and its operational landscape at specific moments in time. As a follow-up to the 2009 LDCF joint evaluation, this evaluation aims to complement the existing evidence base regarding the Fund's performance.

2.3 Limitations

Most LDCF MSPs and FSPs are still under implementation or in pre-implementation stages. It was not possible to conduct an all-encompassing analysis of the results and sustainability of outcomes of all projects at this stage, given that only 13 projects have been completed. For projects at early stages of implementation, the evaluation needed to concentrate on a quality at entry review of the objectives and strategies as put forward by the project documentation; this was complemented with

(preliminary) information on project results when available and appropriate. The analysis focused in part on highlighting illustrative examples from projects for which sufficient information and lessons have been articulated.

Another limitation is that only a small number of countries and projects were visited during the evaluation. Field visits were made to Cambodia, Haiti, Lao PDR and Senegal, where 26 national

projects, 3 regional projects, and 1 global project are at various stages of implementation. These 30 projects do not fully reflect the specificities and complexities represented by the full portfolio of 280 LDCF-supported projects. Nevertheless, discussions with field-level stakeholders have provided valuable and independent information, used in the triangulation of findings presented in this report.

3. Analysis of the LDCF Portfolio

This chapter presents an overview of the LDCF portfolio. Initially, the LDCF financed the development of NAPA country reports; in a later phase, it began funding concrete adaptation activities through NAPA implementation projects. In February 2008, the GEF Secretariat received the first implementation project submission for CEO endorsement under the LDCF. In 2013, an MSP was approved by the GEF CEO, aiming to support the preparation of the NAP process in LDCs (GEF 2013). At the LDCF evaluation's cutoff date of October 31, 2015, one global project supporting the NAP process was under implementation; and a second, aimed at supporting LDCs in developing country-driven NAP processes, had been approved by the Council. Given the small size of NAP-focused projects, these have been included as an integral part of the LDCF portfolio of implementation projects, and not treated as a separate category.

3.1 Portfolio Composition and Evolution

An overview of the LDCF portfolio by number of projects and funding is presented in table 3.1. As of end October 2015, the portfolio consists of 223 projects that are either Council approved, CEO endorsed/approved, under implementation, or completed. These projects received a total of \$1.04 billion from the LDCF and \$4.41 billion in cofinancing. The enabling activities financed the preparation of NAPA country reports in 51 countries. The portfolio consists largely of FSPs, which account for 72 percent of the projects and 96 percent of the LDCF financing.

3.2 LDCF Portfolio by GEF Replenishment Phase

When it first began during GEF-3 (2003–06), the LDCF mainly funded enabling

TABLE 3.1 Number of and Budgetary Allocation for LDCF Projects by Project Modality

Project modality	No. of projects	Budgetary allocation (million \$)			Cofinancing (as % of total)
		Grant value	Cofinancing	Total	
Enabling activity	51	11.27	1.26	12.53	10.0
MSP	11	21.87	59.10	80.97	73.0
FSP	161	1,003.80	4,348.96	5,352.76	81.2
Total MSP/FSP	172	1,025.68	4,408.06	5,433.74	81.1
Grand total	223	1,036.95	4,409.32	5,446.27	81.0

NOTE: Only Council approved, CEO endorsed/approved, under implementation, and completed projects are taken into account.

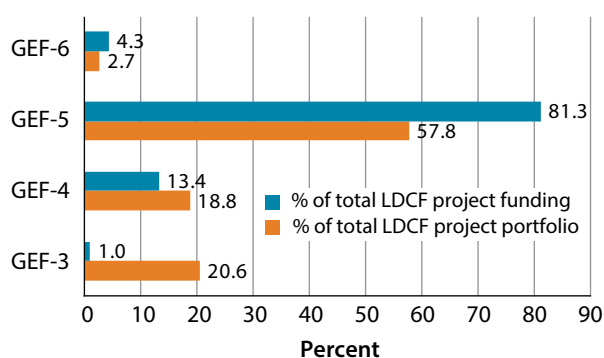
activities—financing a large number of small enabling activities to formulate the NAPA country reports (table 3.2). The financing of NAPA implementation projects increased during GEF-4 (2006–10), mainly comprising 33 FSPs and 5 MSPs, with the NAPA preparation process supported in four countries. The GEF-5 phase had the most LDCF activities funded, including 3 enabling activities, 4 MSPs and 122 FSPs, amounting to a total of \$842.83 million, or 88 percent of total LDCF funding. Financing of LDCF projects has slowed during GEF-6 (2014–18), and as of October 2015 has only amounted to \$44.94 million (figure 3.1). Due to the cutoff date for this evaluation, pledges made at COP 21 in Paris are not reflected here.

3.3 LDCF Projects and Funding by Agency

UNDP is the GEF Agency for the largest number of LDCF projects—123 (55.2 percent), 82 of which are FSPs. UNEP is the GEF Agency for 39 projects, FAO for 19, the World Bank for 16, AfDB for 14, and the International Fund for Agricultural Development for 8; the Asian Development Bank and UNIDO are the GEF Agencies for two projects each. IUCN has one project in the pipeline as of October 2015; it therefore is not included in the portfolio overview.

A large percentage of the LDCF portfolio is implemented through UN Agencies. UNDP, UNEP,

FIGURE 3.1 Distribution of LDCF Project Funding by GEF Replenishment Phase



NOTE: Only Council approved, CEO endorsed/approved, under implementation, and completed projects are taken into account. $n = 223$.

and FAO together account for 81.5 percent of the total number of LDCF projects and 71.5 percent of LDCF funding. UNDP and UNEP have smaller projects: an average of \$4.10 million and \$3.32 million respectively, compared to \$7.16 million for the average World Bank project and \$7.45 million for the average AfDB project. All 11 MSPs in the portfolio are implemented through UNDP and UNEP, and all but 2 enabling activities were implemented through these agencies. The World Bank supported two countries, Madagascar and São Tomé and Príncipe, in preparing their NAPA country reports.

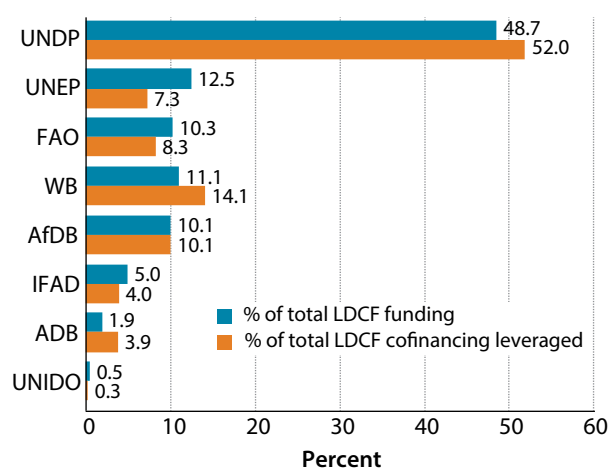
UN Agencies generate larger amounts of cofinancing (figure 3.2). UNDP's LDCF projects leverage the largest amount, at 52 percent of all

TABLE 3.2 LDCF Project Grant Value by GEF Replenishment Phase (million \$)

GEF phase	NAPA country reports (EAs)	NAPA implementation projects			Total
		MSP	FSP	Total MSPs and FSPs	
GEF-3	9.735	0.928	0.000	0.928	10.663
GEF-4	0.880	11.218	126.423	137.641	138.521
GEF-5	0.659	9.728	832.444	842.172	842.831
GEF-6	0.000	0.000	44.935	44.935	44.935
Total	11.274	21.874	1,003.803	1,025.677	1,036.951

NOTE: EA = enabling activity. Only Council approved, CEO endorsed/approved, under implementation, and completed projects are taken into account. $n = 223$.

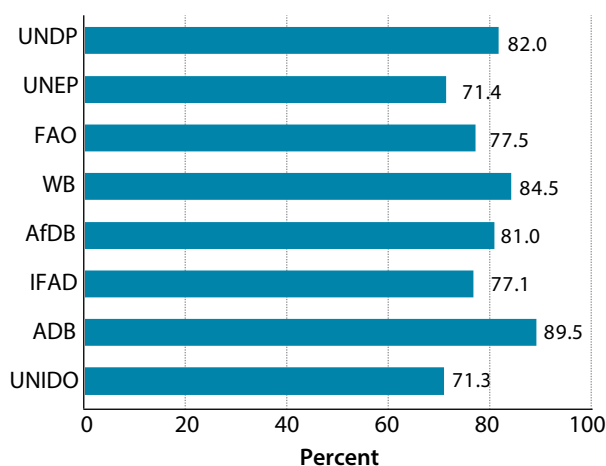
FIGURE 3.2 Distribution of LDCF Financing and Cofinancing by GEF Agency



NOTE: ADB = Asian Development Bank; IFAD = International Fund for Agricultural Development; WB = World Bank. Only Council approved, CEO endorsed/approved, under implementation, and completed projects are taken into account. *n* = 223.

cofinancing. Figure 3.3 shows cofinance share as a percentage of project budget; e.g., if a project's LDCF grant value is \$2.5 million and cofinance is \$7.5 million, then the cofinance share as a percentage of project budget is 75 percent. The Asian

FIGURE 3.3 Cofinance Share as Percentage of Project Budget by GEF Agency

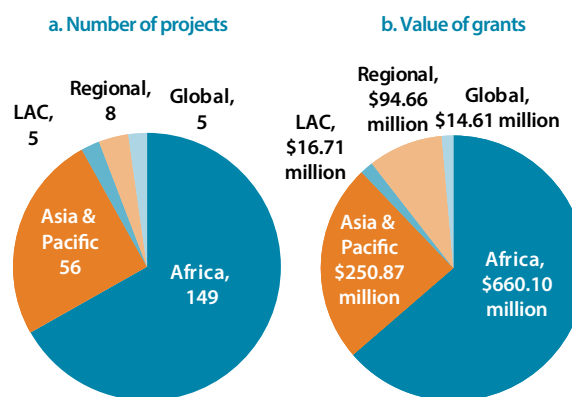


NOTE: ADB = Asian Development Bank; IFAD = International Fund for Agricultural Development; WB = World Bank. *n* = 223.

Development Bank leverages the most cofinancing as a percentage of project budget for NAPA implementation projects, while the World Bank leverages the next average largest cofinancing amount by project.

Figure 3.4 disaggregates the LDCF portfolio by region in terms of number of projects and funding. The data include 13 global or regional projects, with a combined LDCF allocation of \$106.15 million. As the figure shows, the majority of projects in the LDCF portfolio are in the Africa region, whether measured in terms of number of projects (149 or 66.8 percent of the total number of projects) or funding share (\$660.10 million or 63.7 percent of total funding). About 25 percent of the projects are in Asia and the Pacific, both in terms of number of projects and funding. In the Latin America and the Caribbean region, the portfolio comprises five projects in Haiti. With 36 African and 14 Asian LDCs, the numbers presented are proportional to the geographical distribution of the 51 LDCs. Small island developing states (SIDS) are well represented, with 41 projects and a total grant value of \$163.34 million.

FIGURE 3.4 Number and Grant Value of LDCF Projects by Region



NOTE: LAC = Latin America and the Caribbean. Only Council approved, CEO endorsed/approved, under implementation, and completed projects are taken into account. Because the cutoff date for portfolio analysis data was October 31, 2015, values might have changed since. *n* = 223.

3.4 LDCF Project and Portfolio Status

The LDCF project portfolio is maturing, with virtually all LDCs having completed their NAPA country report and over 50 percent of NAPA implementation projects ongoing or completed. Table 3.3 provides a breakdown of the status of the projects in the LDCF portfolio. The majority of LDCF projects are under implementation—101, accounting for \$589.30 million or 57 percent of the approved portfolio. A total of 63 projects have been completed, including 50 NAPA country reports and 13 NAPA implementation projects, of which were MSPs and 7 FSPs; together, these accounted for less than 5 percent of total portfolio funding. Only 12 projects of the entire portfolio of 280 projects have been canceled or dropped.

The evaluation found that, as of end October 2015, 26 NAPA implementation projects accounting for \$185.83 million, were program manager recommended, which signifies that they were technically cleared and waiting for resources to be available to finance the project. Technical clearance was first introduced in the October 2014

progress report for the LDCF/SCCF (GEF 2014d) in order to accept proposals into the pipeline for which there was—at the point of acceptance—no funding available but that were otherwise technically sound. The October 2015 LDCF/SCCF progress report (GEF 2015c) indicates that resources amounting to \$254.48 million were sought for 35 projects that had been technically cleared by the GEF Secretariat.

The evaluation found that 16 projects are classified as pending, though final cross-checking against a GEF Secretariat list of program manager–recommended projects showed three projects—Natural Landscapes Rehabilitation and Climate Change Adaptation in the Region of Mumirwa in Bujumbura and Mayor of Bujumbura through a Farmer Field School Approach (GEF ID 8010), Continental Wetlands Adaptation and Resilience to Climate Change (GEF ID 8033), and Reducing Climate Vulnerability of Coastal Communities of Myanmar through an Ecosystem-based Approach (GEF ID 9131)—that actually had been program manager recommended as of October 2015. Further analysis of the project documentation available for the remaining 13 pending projects found

TABLE 3.3 LDCF Project Grant Value by Project Status (million \$)

Project status	NAPA country reports (EAs)	NAPA implementation projects			Total
		MSP	FSP	Total MSPs and FSPs	
Completed	11.055	10.292	26.132	36.424	47.479
Under implementation	0.000	8.057	581.245	589.302	589.302
CEO endorsed/approved	0.219	0.000	82.013	82.013	82.232
Council approved	0.000	3.525	314.413	317.938	317.938
PPG approved	0.000	0.000	14.467	14.467	14.467
Program manager recommended	0.000	2.190	183.635	185.825	185.825
Pending	0.000	0.000	82.167	82.167	82.167
Canceled or dropped	0.000	1.463	92.748	94.211	94.211
Total	11.274	25.527	1,376.819	1,402.346	1,413.620
Total, from Council approved to completed	11.274	21.874	1,003.803	1,025.677	1,036.951

NOTE: EA = enabling activity. Because the cutoff date for portfolio analysis data was October 31, 2015, status/values might have changed since.

that the status of some of the projects marked pending deserved revision. Discrepancies in project data are a recurring finding when it comes to project information from the GEF PMIS. The 2009 LDCF joint evaluation also found that some country information in the database had not been updated for more than a year. A quality assessment of PMIS information was not a specific objective of this evaluation, but project data harvesting from the PMIS revealed 58 broken links to project documentation for 46 projects. Cross-checking of project data with GEF Agencies revealed further discrepancies with the PMIS data. These discrepancies literally add up: where the PMIS records a total Fund value of \$1.036 billion for Council-approved projects, the LDCF Financial Report prepared by the Trustee (Trustee 2015) reports \$963.66 million in total pledges outstanding and contributions finalized, based on LDCF/SCCF status and financial reports (figure 5.2).

In conclusion, the LDCF project portfolio is maturing. Almost all LDCs have completed their NAPA country report, with the exception of South Sudan, and Bangladesh has revised its 2005 NAPA country report. Almost three-quarters (71.2 percent) of the LDCF project portfolio is currently under implementation or completed. Over half (52.5 percent) of the NAPA implementation projects are currently under implementation or have been completed.¹ The LDCF project portfolio also shows a growing number of projects that have been technically cleared, but for which funding is not available at the moment at which these projects enter the pipeline.

¹ Figures exclude canceled and dropped projects.

4. Relevance of LDCF Support

This chapter focuses on two key questions regarding the relevance of LDCF support:

- How relevant is LDCF support in light of UNFCCC COP guidance and decisions, and the GEF’s adaptation strategy?
- How relevant is LDCF support in light of LDCs’ own broader developmental policies, plans, and programs?

The LDCF has supported activities that, for the most part, are highly relevant in both regards. There is a generally high degree of coherence between LDCF-funded activities and both the guidance and priorities of the UNFCCC and the GEF, and the development priorities of countries receiving LDCF support. Note, however, that the data in support of the latter dimension are less comprehensive.

4.1 LDCF Relevance in Relation to UNFCCC COP Guidance and Decisions and to the GEF Adaptation Strategy

The evaluation systematically reviewed the degree of alignment between NAPA country reports prepared with LDCF support (50 reports, see [annex A](#))¹ and subsequent NAPA implementation projects financed by the LDCF (217

¹ The NAPA project document was assessed instead of the NAPA country report for South Sudan.

projects) on the one hand and, on the other hand, (1) relevant UNFCCC guidance and decisions, (2) the GEF’s strategic pillars for adaptation, and (3) the GEF’s strategic objectives for adaptation. The evaluation team also considered the potential of NAPA country reports and LDCF-funded NAPA implementation projects to make contributions toward GEF focal areas other than climate change.

Regarding NAPA country reports’ alignment with UNFCCC guidance and decisions, the evaluation found that 94.0 percent of the NAPA country reports are aligned from a large to an extremely large extent with four of the eight elements of UNFCCC guidance considered ([box 1.2](#)), and 89.8 percent are similarly aligned with six of the eight elements. The least alignment was found between NAPA country reports and UNFCCC guidance calling for interventions to be “cost-effective and complementary to other funding sources” (with which only 73.9 percent of NAPAs are aligned from a large to an extremely large extent), and for interventions to have “a view to increasing resilience to the adverse effects of climate change” (with which 78.0 percent of NAPA country reports are aligned from a large to an extremely large extent).

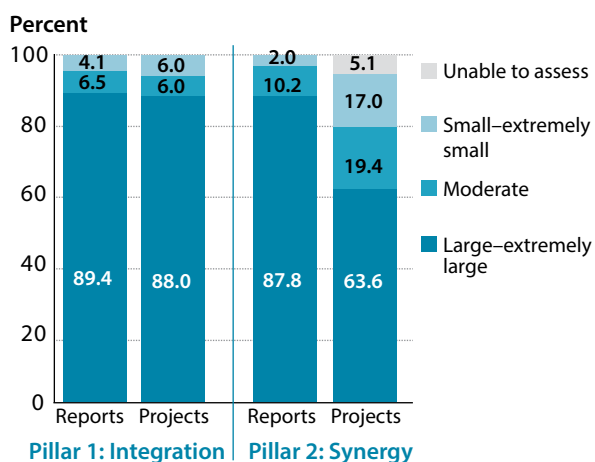
As to the alignment between LDCF-funded NAPA implementation projects and UNFCCC guidance and decisions, the evaluation found a similarly high degree of coherence: 95.0 percent of projects are aligned from a large to an extremely large extent with four of the seven elements of

the guidance considered in this assessment, and 86.2 percent are aligned from a large to an extremely large extent with six of the seven elements of guidance. Once again, the lowest degree of alignment (79.6 percent aligned from a large to an extremely large extent) related to UNFCCC guidance calling for projects to be “cost-effective and complementary to other funding sources.”

The evaluation found that the degree of alignment between NAPA country reports, NAPA implementation projects, and the GEF strategic pillars for adaptation, while high, is neither as high nor as consistent as is the case with UNFCCC guidance. At least about 88 percent of NAPA country reports were found to be aligned from a large to an extremely large extent with both GEF strategic pillars (figure 4.1). However, while 88.0 percent of NAPA implementation projects are similarly highly aligned with one GEF strategic pillar, only about two-thirds of the projects are aligned from a large to an extremely large extent with the pillar involving expanding synergies with other GEF focal areas. This is further discussed in chapter 6.

An additional measure of the relevance of LDCF-funded activities considered by the evaluation was the extent of these activities’ support for other GEF focal areas outside the climate change focus of the LDCF. Here, 94.1 percent of NAPA country reports potentially offer support in the area of biodiversity protection, and 78.4 percent appear likely to provide support in the land degradation focal area (table 4.1). These figures reflect the strong focus among LDCs in supporting the adaptation of their agricultural and related support sectors. The field visits to—and NAPA country reports of—Cambodia, Haiti, Lao PDR, and Senegal support this. The four key vulnerable sectors identified in Cambodia are agriculture, water resources, coastal zones, and public health. Senegal also identified water resources, agriculture, and coastal zones as key vulnerable sectors. For Haiti, the key sectors identified are soil degradation, agriculture, coastal zones and water resources; in

FIGURE 4.1 Alignment of NAPA Country Reports and NAPA Implementation Projects with GEF Adaptation Strategic Pillars



NOTE: Reports: $n = 51$; projects: $n = 217$.

Lao PDR, the key vulnerable sectors identified are agriculture, forestry, water resources, and public health. The apparent potential for support to other focal areas is far more modest—15.7 percent for international waters and 7.8 percent for persistent organic pollutants (POPs)—or insignificant, for the mercury and ozone-depleting substances (ODS) focal areas.

Over half of NAPA implementation projects have the potential to contribute to controlling land degradation (57.6 percent) or biodiversity

TABLE 4.1 Other Focal Areas to Which NAPA Country Reports Potentially Contribute

Focal area	Number	Percent
Biodiversity	48	94.1
Land degradation	40	78.4
International waters	8	15.7
Persistent organic pollutants	4	7.8
Mercury	0	0.0
Ozone-depleting substances	0	0.0
Climate change only	1	2.0

NOTE: Reports can contribute to more than one focal area. Percentages are based on $n = 51$.

protection (46.5 percent) (table 4.2). Once again, potential contributions in other areas are far more modest: 6 percent for international waters and less than 1 percent for the other GEF focal areas.

The results of the LDCF portfolio analysis summarized above corroborate earlier findings of the UNFCCC’s Fifth Review of the Financial Mechanism, which found GEF programs and policies—including those related to the LDCF—to be consistent with the objectives of the convention (UNFCCC 2014, Decision 9/CP.20).

4.2 Relevance to Countries’ Environmental and Sustainable Development Agendas

The evaluation addressed the question of alignment of LDCF-supported activities with national policies in several ways. Each NAPA document was reviewed to determine the extent to which its plan for mainstreaming NAPA priorities into national policy was clearly and plausibly described. Then each NAPA implementation project was reviewed to determine the degree to which the project’s focus was in line with the primary priorities of its respective NAPA. These two analyses, while helpful, were relatively weak substitutes for a review of relevant national environmental and sustainable development policies themselves. However, field

visits provided some evidence through a wide-ranging set of interviews with national government focal points and other stakeholders in four countries where the LDCF is active (Cambodia, Haiti, Lao PDR, and Senegal); similarly helpful in this regard were interviews with representatives of GEF Agencies involved with the LDCF, GEF Secretariat staff, and LDCF/SCCF Council members. The results of these document reviews and interviews are summarized here.

The first of two portfolio assessments looked at the alignment of LDCF-supported NAPA country reports with the policy agendas of their respective countries. The evaluation determined that almost three-quarters (72.5 percent) of NAPAs are very highly aligned—i.e., they clearly detail the ways in which NAPA priorities will be linked with existing national policies, plans, and strategies (table 4.3). Almost all of the remainder (23.5 percent) are judged to be highly aligned, in that they describe the mainstreaming of NAPA priorities into national policy agendas in general terms, but do not provide complete descriptions of how these priorities are to be linked with existing or emerging national policies and other initiatives.

The second portfolio assessment considered the extent to which NAPA implementation projects reflect the primary priorities originally identified in the NAPA country reports. As identified in NAPA country reports, the analysis determined the top five primary priority areas to be agriculture (96.1 percent), climate information systems (94.1 percent), disaster risk management (90.2 percent), natural resource management and fragile ecosystems (62.8 percent), and coastal zone management (62.8 percent) (table 4.4).

A similar assessment for the NAPA implementation projects determined that the top five priority areas addressed by these are agriculture (72.8 percent), water resource management (61.8 percent), climate information systems (60.4 percent), natural resource management and fragile ecosystems

TABLE 4.2 Other Focal Areas to Which NAPA Implementation Projects Potentially Contribute

Focal area	Number	Percent
Land degradation	125	57.6
Biodiversity	101	46.5
International waters	13	6.0
Mercury	2	0.9
ODS	2	0.9
POPs	2	0.9
Climate change only	67	30.9

NOTE: Projects can contribute to more than one focal area. Percentages are based on $n = 217$.

TABLE 4.3 NAPA Country Report Alignment with Countries' Environmental and Sustainable Development Agendas

Degree of alignment	Number	Percent
Very high: The mainstreaming of NAPA priorities into the country's environmental and sustainable development agendas is clearly explained, including an overview of linkages with existing and developing policies, plans, and strategies	37	72.5
High: The mainstreaming of NAPA priorities into the country's environmental and sustainable development agendas is mentioned in general terms, but linkages to specific existing and developing policies, plans, and strategies are incomplete or lacking	12	23.5
Low: The mainstreaming of NAPA priorities into the country's environmental and sustainable development agendas is not adequately addressed	1	2.0
Not: The NAPA does not address any linkages between NAPA priorities and the country's environmental and sustainable development agendas	0	0.0
Unable to assess	1	2.0
Total	51	100.0

TABLE 4.4 Priority Areas Identified in NAPA Country Reports

Priority area	Number	Percent
Agriculture (including animal husbandry and fishery)	49	96.1
Climate information systems	48	94.1
Disaster risk management	46	90.2
Natural resource management; fragile ecosystems (including mountain ecosystems, mangroves, forestry, wildlife, land degradation and management)	32	62.8
Coastal zone management (other than mangrove ecosystems/reconstruction)	32	62.8
Water resource management	30	58.8
Human health	29	56.9
Infrastructural development	26	51.0
Renewable energy/energy efficiency/energy security	23	45.1
Climate education	19	37.2
Tourism	16	31.4
Climate-smart urban areas	13	25.5
Sustainable rural livelihoods (other than agriculture and natural resource management)	9	17.6
Other ^a	8	15.7
Total	51	100.0

NOTE: Multiple areas possible.

a. "Institutional capacity development" mentioned six times.

(55.3 percent), and disaster risk management (50.7 percent) (table 4.5). Coastal zone management was identified as a top five priority area in the assessment of NAPA country reports, but ranked ninth in the analysis of NAPA implementation projects; nonetheless, close to 25 percent of NAPA implementation projects address coastal zone

management as a priority area. Water resource management, identified as the second top priority area in the NAPA implementation projects, was not identified in the top five in the NAPA country reports; however, it was mentioned in about 60 percent of both the NAPA country reports and the implementation projects.

TABLE 4.5 Priority Areas Addressed by NAPA Implementation Projects

Priority area	Number	Percent
Agriculture (including animal husbandry and fishery)	158	72.8
Water resource management	134	61.8
Climate information systems	131	60.4
Natural resource management; fragile ecosystems (including mountain ecosystems, mangroves, forestry, wildlife, land degradation and management)	120	55.3
Disaster risk management	110	50.7
Infrastructural development	103	47.5
Climate education	101	46.5
Coastal zone management (other than mangrove ecosystems/reconstruction)	54	24.9
Sustainable rural livelihoods (other than agriculture and natural resource management)	55	25.3
Institutional capacity development	41	18.9
Tourism	20	9.2
Human health	18	8.3
Renewable energy/energy efficiency/energy security	12	5.5
Climate-smart urban areas	12	5.5
Other ^a	9	4.1
Total	217	100.0

NOTE: Multiple areas possible.

a. Included technology transfer, adaptation mainstreaming, financial risk management, and weather insurance.

This analysis further determined that the large majority (87.6 percent) of NAPA implementation projects do address primary priority areas identified in that country's NAPA report. Virtually all the rest of the implementation projects reviewed (10.6 percent), while not addressing areas of primary priority identified within their NAPA, do address other priority areas identified (table 4.6).

The evaluation conducted a series of stakeholder interviews and project site visits in four countries where the LDCF supports NAPA activities. There was a remarkably high degree of consensus among interviewees regarding the relevance of LDCF support in these countries. Government stakeholders and others confirmed that LDCF support is highly relevant to national environmental and sustainable development agendas. This is particularly true in rural areas, where this support complements national poverty alleviation agendas—e.g., by increasing the resilience

of smallholder agriculture and improving smallholder water management capacities. Concern was expressed in one country regarding the (limited) extent to which the adaptation agenda promoted by the LDCF may be finding its way into mainstream economic development strategies, as opposed to a more restricted domain of environmental and resource management.

In all countries visited, LDCF support was confirmed to be even more relevant than it was 10 years ago when most NAPAs were prepared. In the subsequent decade, the need for adaptation efforts has been repeatedly highlighted. Longer droughts and more extreme temperatures and rainfall are examples of climatic events LDCs have had to cope with—and such events further emphasize the need for and relevance of LDCF support. While NAPAs and the projects stemming from them are deemed highly relevant, a number of national stakeholders mentioned the need to

TABLE 4.6 NAPA Implementation Project Alignment with NAPA Country Report Priorities

Degree of alignment	Number	Percent
Very high: Implementation project outcome areas address primary priority areas as listed/outlined in the NAPA country report	190	87.6
High: Implementation project outcome areas do not address primary priority areas as listed/outlined in the NAPA country report, but address other priorities that are outlined in the NAPA country report	23	10.6
Low: Implementation project might touch upon some priority areas, but does not address specific priorities as outlined in the NAPA country report in a structured manner	2	0.9
Not: Implementation project does not address any of the priorities (primary or other) outlined in the NAPA country report	0	0.0
Unable to assess	2	0.9
Total	217	100.0

update these plans of action to reflect changing circumstances, as accelerated climate change unfolds and as new technologies and approaches for addressing climate change emerge. This request links to the (potential) role of the developing NAP process.

The various GEF Agencies implementing activities with LDCF support have their own internal systems for ensuring that their programs and projects are clearly and consistently guided by each country’s national and sectoral development priorities. This extends to the projects they carry out with LDCF support, which must also be aligned with these expressed national priorities. The GEF Agencies have thus been able to apply

LDCF resources consistently to render priority national initiatives more climate resilient, in ways that reflect the adaptation priorities identified in the NAPA country reports. This support has primarily addressed national agricultural sectors, where the production systems of the poorest populations are typically most vulnerable to accelerated climate change. From the perspective of the GEF Council members interviewed, the LDCF has established itself as an important (though underfunded) instrument for responding to the needs of the poorest members of the global community, for whom adaptation to climate change is a far more compelling short-term imperative than mitigation activities.

5. Effectiveness and Efficiency of the LDCF

This chapter addresses issues of LDCF effectiveness and efficiency, specifically through the following questions:

- How effective is the LDCF in reaching the GEF's three strategic adaptation objectives?
- What are the main factors that have been affecting the Fund's efficiency?
- How has resource predictability, or the lack thereof, affected the Fund's programming?
- How efficient is the Fund's project cycle?

5.1 Effectiveness in Achieving Objectives

The assessment of LDCF effectiveness focused on the supported interventions achieving the three objectives of the GEF Programming Strategy on Adaptation:

- 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
- Integrate climate change adaptation into relevant policies, plans, and associated processes

ALIGNMENT WITH ADAPTATION STRATEGIC OBJECTIVES

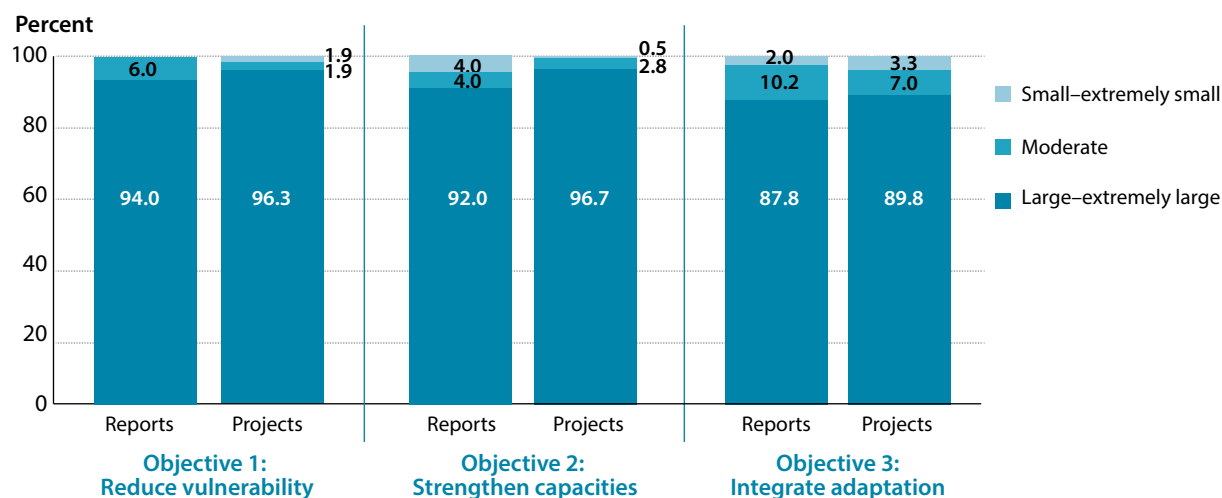
The evaluation assessed the alignment of NAPA country reports and NAPA implementation projects with the objectives to reduce vulnerability, build adaptive capacity, and integrate adaptation into relevant plans, policies, and related processes. NAPA implementation projects showed a very high degree of alignment with all three objectives, with the highest alignment (96.7 percent aligned from a large to an extremely large extent) on strengthening institutional and technical capacities for effective climate change adaptation (figure 5.1).

A similar assessment of the NAPA country reports showed a similar trend (figure 5.1); at least 87.8 percent of NAPA country reports were aligned from a large to an extremely large extent with all three of the GEF's strategic objectives. The similarity of results, comparing NAPA country report with NAPA implementation project data, translates to a very high correlation coefficient between the variables ($r = 0.96$).

Completed projects have contributed to achieving the objectives of the strategy.

- A Democratic Republic of Congo project (Building the Capacity of the Agriculture Sector in DR Congo to Plan for and Respond to the Additional Threats Posed by Climate Change on Food Production and Security, GEF ID 3718) helped reduce vulnerability in rural populations in four selected sites by promoting the renewal

FIGURE 5.1 Alignment of NAPA Implementation Projects with GEF Adaptation Strategic Objectives



NOTE: Reports: $n = 51$; projects: $n = 217$.

of agro-genetic material through the contribution of genetic material more suited to expected weather conditions.

- Similarly aimed at vulnerability reduction was a Bhutan project (Reducing Climate Change-induced Risks and Vulnerabilities from Glacial Lake Outbursts in the Punakha-Wangdi and Chamkhar Valleys, GEF ID 3219). This project reduced the risk of glacial lake outburst flood from the Thorthormi Lake by lowering the water level by 5 meters, and installing an automated early warning system covering more than 90 percent of the households in the 21 vulnerable communities downstream of the Punatsangchu River in the Punakha-Wangdue Valley.
- In a Rwanda project (Reducing Vulnerability to Climate Change by Establishing Early Warning and Disaster Preparedness Systems and Support for Integrated Watershed Management in Flood Prone Areas, GEF ID 3838), human and institutional capacity was strengthened to effectively utilize a hydro-meteorological network and conduct climate risk assessment and forecasting.

As a result of the project, all 30 of Rwanda's districts have integrated climate change adaptation activities into their district development plans. Also, climate change mainstreaming guidelines were produced for four sectors: agriculture, energy and infrastructure, environment and natural resources, and health.

- A Gambia project (Strengthening of The Gambia's Climate Change Early Warning Systems, GEF ID 3728) provides another example of strengthening institutional and technical capacities for effective climate change adaptation. The Gambia's hydro-meteorological network was rehabilitated, upgraded, and equipped; and human resource capacity was enhanced through training and recruitment of hydro-meteorological staff to use the strengthened network.
- In Niger, the number of institutional agreements designed to improve climate information networks was 325 percent greater than planned (Implementing NAPA Priority Interventions to Build Resilience and Adaptive Capacity of the Agriculture Sector to Climate Change, GEF ID 3319).

- A Samoa project (Integrating Climate Change Risks into the Agriculture and Health Sectors in Samoa, GEF ID 3358) proved instrumental in strengthening cross-sectoral collaboration and setting the foundation for climate early warning systems application in subsequent NAPA implementation projects. The project is also a good example of integration of climate change adaptation into relevant agriculture and health policies—which was the primary purpose of the project—leading to informed decision making as to best adaptation options.

STAKEHOLDERS' PERCEPTIONS ON ACHIEVING STRATEGIC OBJECTIVES

One of the interview questions asked stakeholders about the likelihood that LDCF-supported interventions would achieve the GEF adaptation strategic objectives. The majority of stakeholders interviewed indicated that it is very likely that the NAPA implementation projects they are familiar with, or involved in, will reach their objectives in line with the GEF strategic objectives. The reason given for this response is that they felt the projects had been designed well and are aligned with local priorities and context.

Country-level stakeholders confirmed the likelihood of reducing vulnerability mostly at the project level. For example, in Senegal, reducing vulnerability is especially likely at the community level where activities target the most urgent vulnerabilities of rural communities—including the progressive salinization of agricultural soils and irrigation water, the erosion of agricultural soils, and the degradation of water resources.

LDCF activities have strengthened institutional capacities and integrated adaptation into policies and plans at several levels. In Lao PDR, institutional and technical capacities in systematic adaptation planning have been developed at the ministerial, district, and village levels. In Cambodia, LDCF activities have played a crucial role in

supporting climate change priorities in national and subnational strategies and policies.

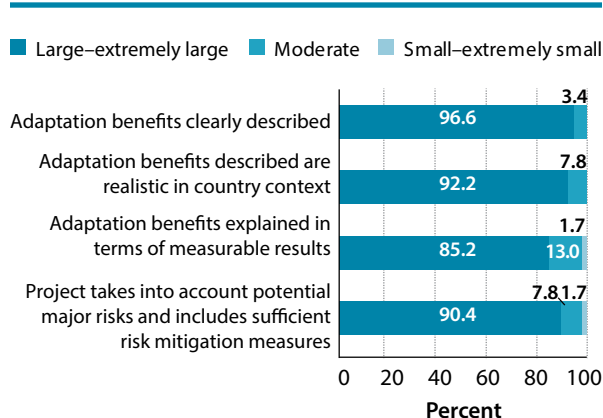
Some country-level stakeholders—especially in Haiti—expressed concerns about the lengthy approval process for projects that can negatively affect project relevance, decreasing the LDCF's effectiveness in reaching the GEF's three strategic objectives.

QUALITY AT ENTRY REVIEW FOR DELIVERING TANGIBLE ADAPTATION BENEFITS

A quality at entry review was carried out for all in-country NAPA implementation projects ($n = 116$) that were CEO endorsed/approved or under implementation. This assessment included child projects but excluded the parents. The review assessed the design of projects and shed light on the probability of projects delivering tangible adaptation benefits.

The evaluation showed that nearly all projects (96.6 percent) clearly describe the intended adaptation benefits and convey the country's adaptation aspirations (figure 5.2). In a very high percentage of projects (92.2 percent), the description of adaptation benefits realistically takes into consideration the country context (including its institutional and

FIGURE 5.2 NAPA Implementation Project Quality at Entry Review



NOTE: Quality at entry review took place for all in-country projects that were CEO endorsed/approved or under implementation. This included child projects, but excluded regional and global parents.

governance capabilities), and 90.4 percent of the projects take into account potential major risks and include sufficient risk mitigation measures. Projects were not as well designed with regard to the measurability of results, although 85.2 percent of the projects received a high score in terms of explaining adaptation benefits in measurable terms. The remaining 14.7 percent of NAPA implementation projects could improve their linkages with the AMAT and their monitoring and evaluation (M&E) frameworks.

Overall, the quality at entry review showed that over 98.3 percent of reviewed NAPA implementation projects had a high to very high probability of delivering tangible adaptation benefits (table 5.1). More than half (52.6 percent) of the projects addressed adaptation issues in project design, and the adaptation benefits are realistic and measurable. For projects with a very high probability of delivering tangible adaptation benefits, the project baseline is discussed, project components take into account existing and potential risks, and include risk mitigation measures. Less than half (45.7 percent) of the NAPA implementation

projects have a high probability of delivering tangible adaptation benefits: most of the adaptation issues to be addressed are clearly explained; and most adaptation benefits are realistic, though not always measurable. The project baseline needs to be improved, as do risk appreciation and mitigation measures.

5.2 Efficiency of the Fund

The project portfolio analysis identified project delays by comparing expected with actual dates of project timelines. The analysis found that 45 projects have experienced delays in the approval process and during implementation, accounting for 20.7 percent of the portfolio, excluding canceled projects (table 5.2). Seventy-five percent of the delays were experienced during GEF-4 (table 5.3). When the LDCF started, many countries found it difficult to access the Fund due to a lack of transparency of, and knowledge regarding, the procedures and requirements. Over time, and with the help of the GEF Agencies to improve country capacity to formulate projects, countries learned

TABLE 5.1 Probability of NAPA Implementation Projects Delivering Tangible Adaptation Benefits

Rating	Number	Percent
Very high: The adaptation issues to be addressed are clearly explained, and adaptation benefits are realistic and measurable. The project baseline is discussed and all project components take into account existing environmental, governmental, sectoral, and other potential risks, and include risk mitigation measures.	61	52.6
High: Most of the adaptation issues to be addressed are clearly explained, most adaptation benefits are realistic though not always measurable. The project baseline needs improving, as do risk appreciation and formulation of risk mitigation measures.	53	45.7
Low: Most of the adaptation issues to be addressed are clearly explained, although the project does not present the most realistic options for the issues identified. Measurability leaves much to be desired, as does the baseline. Some project risks have been identified, but risk mitigation measures are mostly absent.	1	0.9
Very low: Adaptation issues as well as the project's adaptation benefits are poorly described. A baseline is absent, and a project risk analysis is lacking.	0	0.0
Unable to assess	1	0.9
Total	116	100.0

^a Quality at entry review took place for all in-country projects that were CEO endorsed/approved or under implementation. This included child projects, but excluded regional and global parents.

TABLE 5.2 Identification of Delays in NAPA Implementation Projects

Project delayed?	Number	Percent
Yes	45	20.7
No	172	79.3
Total	217	100.0

TABLE 5.3 Delays in NAPA Implementation Projects by GEF Replenishment Phase

GEF phase	Delayed	Not delayed	% delayed
GEF-3	0	2	0.0
GEF-4	28	9	75.7
GEF-5	16	116	12.1
GEF-6	1	45	2.2
Total	45	172	100.0

NOTE: *n* = 217.

how to work with the Fund. Measures were also taken to expedite the project cycle to approve projects on a rolling basis. This could be the reason for a lower percentage (12.1 percent) of delayed projects during GEF-5.

Projects can be delayed for many reasons, and it is difficult to determine whether underlying causes for delays are internal or external in nature. There often is a mix of reasons, a series of events resulting in delays, and not one single reason. While the data in table 5.3 might seem to point to a declining percentage in delayed projects over time, it must be noted that several projects in GEF-5 and GEF-6 are at an early stage and delays may yet materialize.

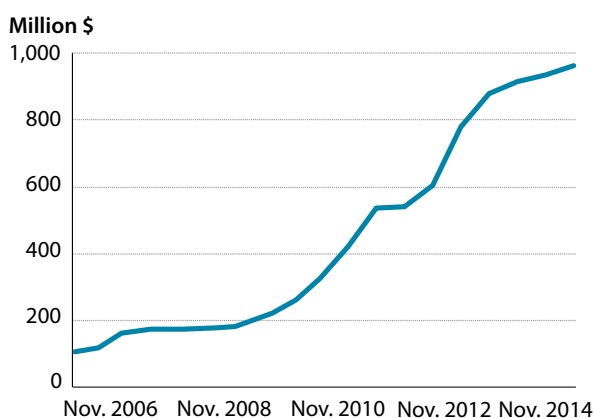
The evaluation assessed factors that have affected LDCF efficiency. Stakeholders interviewed and field visits point to mostly negative factors. A positive factor is that the LDCF is administered by the GEF and, since it started, the Fund has benefited from well-established structures and procedures. Among the negative factors cited as affecting efficiency are unstable governments,

climate extremes and natural disasters, cofunding requirements, and prolonged project approval processes. In Haiti, current political instability creates uncertainty for government officials to endorse new projects, and some projects that have long been in the pipeline need to be redesigned to be relevant in the current context.

The most frequently noted factor is unpredictability of funding. The LDCF is replenished through voluntary contributions, and pledges have been made in an ad hoc manner. Over time, there has been an increase in contributions (figure 5.3). The GEF Secretariat reported to LDCF/SCCF Council in its November 2012 progress report that, while cumulative pledges had increased over the past 10 years, pledges vary significantly each year (GEF 2012c). In addition, LDC demand to address needs identified in NAPAs has exceeded the cumulative pledges, which fall short of the estimated \$2 billion needed to achieve countries' key adaptation priorities.

In May 2014, the GEF Secretariat reported to the Council that there were no resources available in the LDCF for new approvals, and \$66.32 million was required for current proposals (GEF 2014c). The pipeline of technically cleared projects and programs continued to grow, until pledges were

FIGURE 5.3 LDCF Cumulative Pledges Outstanding and Contributions Finalized



SOURCE: LDCF/SCCF status and financial reports.

made by 11 donors at COP 21 in Paris in November 2015 (GEF 2015b) The \$248 million pledged will help, but is not sufficient to fund the more than \$250 million pipeline of technically cleared implementation projects and recently submitted proposals.

The LDCF follows streamlined and simplified procedures to facilitate expedited access to the Fund by LDCs. Projects are approved on a rolling basis, and projects of less than \$2 million can be approved by the CEO in one step. To ensure sound financial management, the LDCF follows the GEF's fiduciary standards, result-based frameworks, and M&E practices. The LDCF also follows GEF operational policies, except where the LDCF/SCCF Council decides otherwise in response to COP guidance.

Interviews with representatives of GEF Agencies show that the Agencies appreciate the COP reports prepared by the GEF Secretariat, briefings provided on COP meetings, and guidance documents such as *Accessing Resources under the Least Developed Countries Fund* (GEF 2011a). The GEF Adaptation Task Force involves all GEF Agencies when issues such as programming of available funds and the LDCF project pipeline are discussed by the GEF Secretariat. The procedures for accessing LDCF resources have been simplified over time, and all documents regarding the governance of the LDCF are publicly available on the [GEF website](#).

A factor related to the unpredictability of funding affecting LDCF efficiency is the transparency of governance by the GEF. The unpredictability of funding in the past two to three years has been a major challenge for the LDCs that are dependent on LDCF support for implementation

of their key climate change adaptation priorities. Interviews with various stakeholders show that their perception of the Fund's transparency has changed since the funding crisis—a point particularly noted by in-country representatives of GEF Agencies and government focal points. Projects that were technically cleared more than a year ago have been waiting for funding, and the status of project funding is not always clear to the country focal point and in-country GEF Agency representatives. In interviews, these personnel stated that they would appreciate more clarity regarding the outstanding LDCF balance for their country/the country in which they work. Although the LDCF operates on a first-come first-served basis, there are transparency concerns regarding decisions on which projects would be financed and in what order. This perception of a lack of transparency in the governance of the Fund's resources is thus largely due to gaps in communication between the GEF Secretariat, the GEF Agencies, and country focal points. The evaluation team did not find evidence of nontransparent decisions being made by the GEF in relation LDCF funds management.

The unpredictability of LDCF resources has been slowing project preparation, approvals, and implementation in support of LDCs' climate change adaptation needs. The GEF Secretariat encourages the GEF Agencies to submit project identification forms (PIFs), but it is difficult for Agencies to plan resources if funding is unpredictable. For some GEF Agencies—especially the multilateral development banks—it can be a challenge to mobilize teams if funding availability is questionable. Also, some countries and Agencies have stopped pursuing multitrust fund projects because of the unpredictability of LDCF resources.

6. Emerging Results and Their Sustainability

This chapter looks at the emerging results of LDCF support and factors that affect the sustainability of these emerging results. The following questions are addressed:

- To what extent has LDCF support had a catalytic effect?
- How does LDCF support relate to other GEF focal areas beyond climate change adaptation?
- What are the gender equality and empowerment of women objectives (likely to be) achieved and gender mainstreaming principles adhered to by the LDCF?
- To what extent are the emerging results of LDCF support sustainable?

6.1 Catalytic Effects of the LDCF

The LDCF program evaluation looked at two different types of catalytic effects. The evaluation team first looked at the extent to which LDCF support to NAPA implementation projects has been catalytic in one or more of the following ways:

- **Production of a public good.** The project developed or introduced new technologies and/or approaches. No significant actions were taken to build on this achievement, so the catalytic effect is left to market forces.
- **Demonstration.** After the production of a public good, demonstration sites, successful

information dissemination, and/or training was implemented to further catalyze the new technologies/approaches.

- **Replication.** Activities, demonstrations, and/or techniques are repeated within or outside the project.
- **Scaling-up.** Approaches developed through the project are taken up on a regional/national scale, becoming widely accepted.

This catalytic effect analysis focused on the 13 completed NAPA implementation projects summarized in [table 6.1](#).

Analysis of these projects with respect to the catalytic effects described above revealed that most projects developed public goods and effectively demonstrated new technologies or approaches ([figure 6.1](#)). Close to half of the projects also replicated activities, demonstrations, and/or techniques. But only two of the projects, those in Samoa and Cambodia, performed well on scaling-up; and one project in The Gambia was moderately successful in this regard. Observations during field visits to Haiti and Lao PDR suggested that extensive replication and upscaling beyond project target districts or provinces generally may not occur during project implementation. For the majority of projects that received low ratings for scaling up, additional financing will be required to ensure scaling-up. In most cases, the technical and institutional capacity-building and information-sharing activities had

TABLE 6.1 Overview of Completed LDCF Implementation Projects

GEF ID	AER	Agency	Project	Country	LDCF funding (million \$) ^a	Rating			
						Outcome ^b	Sustain-ability ^c	M&E design at entry ^b	M&E plan implemen-tation ^b
2040	n.a.	UNDP	Technical Assistance to Least Developed Countries (LDCs) to Implement the UNFCCC8/CP8 Decision	Global	0.69	No terminal evaluation and terminal evaluation review rating available			
2191	n.a.	UNDP	Technical Assistance to Francophone LDCs to Implement the UNFCCC8/CP8 Decision	Global	0.34	No terminal evaluation and terminal evaluation review rating available			
3219	2013	UNDP	Reducing Climate Change-Induced Risks and Vulnerabilities from Glacial Lake Outbursts in the Punakha-Wangdi And Chamkhar Valleys	Bhutan	3.99	S	L	HS	HS
3319	2014	UNDP	Implementing NAPA Priority Interventions to Build Resilience and Adaptive Capacity of the Agriculture Sector to Climate Change	Niger	3.80	S	ML	MU	S
3358	2014	UNDP	Integrating Climate Change Risks into the Agriculture and Health Sectors in Samoa (ICCRAHS) Project	Samoa	2.25	MS	ML	S	MS
3404	2014	UNDP	Promoting Climate Resilient Water Management and Agriculture Practice in Rural Cambodia	Cambodia	2.14	S	ML	U	MS
3430	2015	UNDP	Implementing NAPA Priority Interventions to Build Resilience in the Agriculture and Water Sectors to the Adverse Impacts of Climate Change	Sudan	3.74	MU	MU	MU	U
3581	2014	UNDP	Building Adaptive Capacity and Resilience to Climate Change in the Water Sector in Cabo Verde	Cabo Verde	3.41	MS	ML	S	S
3684	2014	UNDP	Strengthening Adaptation Capacities and Reducing the Vulnerability to Climate Change in Burkina Faso	Burkina Faso	3.30	S	MU	MS	MS
3689	2015	UNDP	Adaptation to the Effects of Climate Variability and Change in Agro-Ecological Regions I and II in Zambia (CCAP)	Zambia	3.77	S	MU	S	S

(continued)

TABLE 6.1 Overview of Completed LDCF Implementation Projects (continued)

GEF ID	AER	Agency	Project	Country	LDCF funding (million \$) ^a	Rating			
						Outcome ^b	Sustainability ^c	M&E design at entry ^b	M&E plan implementation ^b
3718	2015	UNDP	Building the Capacity of the Agriculture Sector in DR Congo to Plan for and Respond to the Additional Threats Posed by Climate Change on Food Production and Security	Congo, Dem. Rep.	3.41	S	ML	MU	UA
3728	2015	UNEP	Strengthening of the Gambia's Climate Change Early Warning Systems	Gambia	1.16	S	ML	MU	MU
3838	2015	UNDP-UNEP	Reducing Vulnerability to Climate Change by Establishing Early Warning and Disaster Preparedness Systems and Support for Integrated Watershed Management in Flood Prone Areas	Rwanda	3.99	S	L	S	S

NOTE: n.a. = not applicable; AER = annual evaluation report.

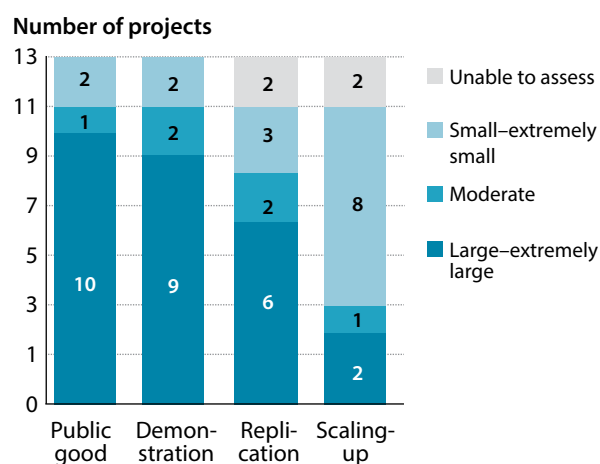
a. Total LDCF-related project funding, including PPG, Agency fees, and LDCF funding.

b. GEF/GEF Agency six-point rating scale: HS = highly satisfactory, S = satisfactory, MS = moderately satisfactory, MU = moderately unsatisfactory, U = unsatisfactory, and HU = highly unsatisfactory.

c. GEF/GEF Agency four-point rating scale: L = likely, ML = moderately likely, MU = moderately unlikely, and U = unlikely. Alternatively, the rating might be UA = unable to assess.

good buy-in from national and local-level officials. Each of these projects highlights further financing as the primary requirement for scaling-up.

FIGURE 6.1 Catalytic Effects of Completed NAPA Implementation Projects



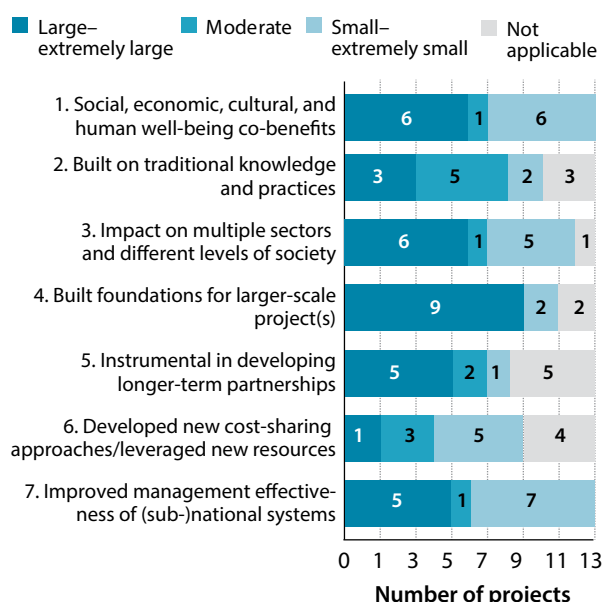
A second analysis of catalytic effects carried out on completed projects ($n = 13$) looked at the following seven indicators of momentum and synergy generated by LDCF support in relation to development programs and institutions, as identified by project stakeholders:

1. Projects generated significant social, economic, cultural, and human well-being co-benefits.
2. Projects built on the traditional knowledge and practices of local communities.
3. Projects had impacts on multiple sectors and at different levels of society.
4. Projects built foundations for larger-scale project(s) through analytic work, assessments, and capacity building.
5. Projects were instrumental in developing longer-term partnerships.

6. Projects were successful in developing new cost-sharing approaches/leveraging new resources.
7. Projects improved management effectiveness of adaptation-relevant (sub-)national systems.

The greatest catalytic effects achieved were in the generation of significant social, economic, cultural, and human well-being co-benefits (Indicator 1); having impacts on multiple sectors and at different levels of society (Indicator 3), and the development of foundations for larger-scale project(s) through analytic work, assessments, and capacity building (Indicator 4) (figure 6.2). Projects performed reasonably well on the development of longer-term partnerships (Indicator 5) and improvements of management effectiveness of adaptation-relevant (sub-) national systems (Indicator 7). The evaluation found the projects to be less successful in developing new cost-sharing approaches and/or leveraging new financial resources (Indicator 6).

FIGURE 6.2 Catalytic Effects of Completed NAPA Implementation Projects, as Identified by Stakeholders



An LDCF project in Niger, for example, generated co-benefits through the high labor intensity of its public works projects; these resulted in poverty reduction, enhanced food security, and greater access to water. Co-benefits identified in a Rwanda project related to the “no regrets” approach to addressing climate change: by providing climate information that facilitates community leaders and district disaster management committees in their decision making, it helped avoid maladaptive decisions. A conservation agriculture approach introduced in Zambia (Adaptation to the Effects of Climate Variability and Change in Agro-Ecological Regions I and II in Zambia, GEF ID 3689) raised farmers’ incomes, which contributed to an increase in payments for children’s education, increased women’s social status, and reduced discrimination.

Projects that adopted a multisector approach also built foundations for larger-scale projects. For example, the Samoan project strengthened cross-sectoral collaboration and built the foundation for climate early warning system application in subsequent NAPA sectoral implementation projects. Lessons learned from Bhutan’s project have already been applied to that country’s Disaster Management Act, passed in 2013, which will guide further actions in disaster risk management.

LDCF support was generally catalytic for the 13 projects reviewed; projects developed or introduced new technologies and/or approaches, which were successfully demonstrated and disseminated, resulting in activities, demonstrations, and/or techniques being repeated within or outside the project. The majority of projects that received low ratings for scaling up—the final catalytic element—had a financial sustainability rating in the likely range. (Note, however, that all projects mention a lack of assured financing in future phases of project implementation as an issue.) Projects were less successful in developing new cost-sharing approaches and/or leveraging new financial resources.

6.2 LDCF Support in Relation to Other GEF Focal Areas

The GEF Programming Strategy on Adaptation aims to expand synergies between climate change adaptation and other GEF focal areas in order to realize both the adaptation and global environmental benefits delivered by interventions financed under the LDCF, the SCCF, and the GEF Trust Fund (GEF 2014a). One of the GEF adaptation strategic pillars of the programming strategy is expanding synergies with other GEF focal areas.

The evaluation asked whether interventions receiving LDCF support contribute to focal areas other than climate change. As discussed in chapter 4, almost all (94.1 percent) NAPA country reports called for contributions to at least one other focal area, mostly to the biodiversity and land degradation focal areas (table 4.1). Meanwhile, 57.6 percent of NAPA implementation projects contribute to controlling land degradation, and 46.5 percent contribute to biodiversity protection (table 4.2). Close to one-third of these projects contribute only to the program's core climate change focal area. Of these, 17 focus specifically on capacity development, either linked to a specific UNFCCC decision or a specific sector such as health, water, or agriculture. Twelve focus on the development and implementation of early warning systems and the collection of hydro-meteorological data.

As discussed in chapter 4, the evaluation asked whether interventions receiving LDCF support were aligned with the strategic pillars of the GEF strategy on adaptation. All NAPA implementation projects align to some extent with the first pillar of integrating climate change adaptation in relevant policies, plans, programs, and decision-making processes; 88 percent of projects do so from a large to an extremely large extent (figure 4.1). About 95 percent of the projects align to some extent with the second GEF adaptation strategic pillar of expanding synergies with other GEF focal areas, 63.6 percent from a large to an extremely large extent.

LDCF-supported interventions contribute to focal areas other than the climate change focal area. It is not within the Fund's mandate to explicitly target focal areas beyond climate change, but it is clear that with agriculture, water resource management, and fragile ecosystems identified as primary priority areas, there are likely to be beneficial synergies with the biodiversity and land degradation focal areas.

A third evaluation question related to LDCF contributions to global environmental benefits. It should be noted that within the portfolio of 217 projects considered, only 11 were categorized as multifocal area projects—which are by their nature expected to contribute to global environmental benefits. The evaluation assessed the extent to which NAPA implementation projects appeared likely to contribute to the following six global environmental benefits (GEF 2014e, table 2):

1. Maintain globally significant biodiversity and the ecosystem goods and services that it provides to society
2. Sustainable land management in production systems, i.e., agriculture, rangelands, and forest landscapes
3. Promotion of collective management of transboundary water systems and implementation of the full range of policy, legal, and institutional reforms and investments contributing to sustainable use and maintenance of ecosystem services
4. Support to transformational shifts toward a low-emission and resilient development path
5. Increase in phaseout, disposal, and reduction of releases of POPs, ODS, mercury, and other chemicals of global concern
6. Enhance capacity of countries to implement multilateral environmental agreements and mainstream these into national and

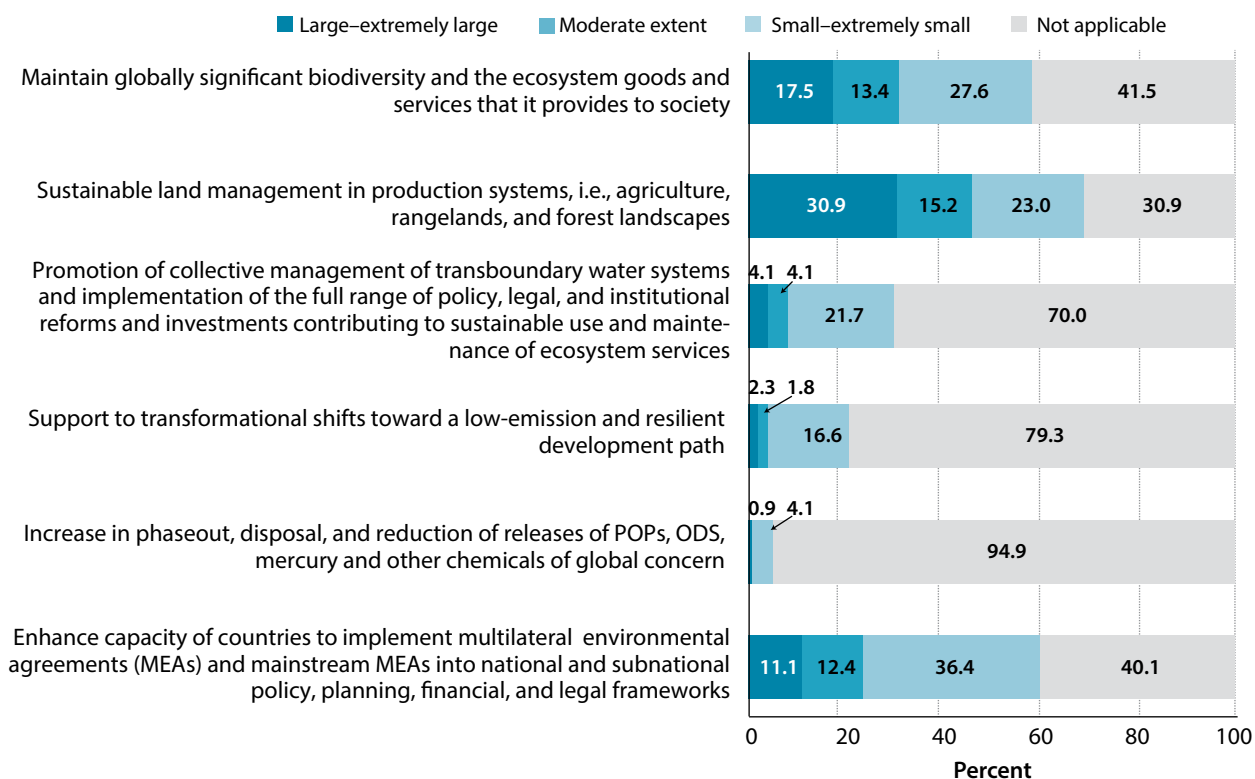
subnational policy, planning, financial, and legal frameworks

Projects were rated as being aligned with global environmental benefits from a **large to an extremely large extent** if they included numerical targets toward the benefits being assessed. They were considered **moderately** aligned if they did not include numerical targets, but expressed an intent to add these in future project documentation. Projects were scored in the **small to extremely small extent** range if they showed clear intent to contribute to global environmental benefits but did not provide information on targets (figure 6.3).

About one-third (30.9 percent) of NAPA implementation projects intentionally contribute to the protection of biodiversity and ecosystems (Benefit 1), while close to half (46.1 percent) intentionally

contribute to sustainable land management (Benefit 2). Almost a quarter of the projects (23.5 percent) intentionally contribute to multilateral environmental agreements and their mainstreaming into national and subnational policy, planning, financial, and legal frameworks (Benefit 6). NAPA implementation projects provide the least support in the area of chemicals—POPs, ODS, and mercury (Benefit 5). The relatively low level of support to collective management of transboundary water systems stems from the fact that those projects that focus on water resource management do not have a transboundary component (Benefit 3). Similarly, the low score on transformational shifts toward a low-emission and resilient development path (Benefit 4) is the result of most climate change adaptation projects not being focused on lowering emissions or other mitigation measures.

FIGURE 6.3 Potential Contribution of NAPA Implementation Projects to Global Environmental Benefits



6.3 Gender Equality and Women's Empowerment Objectives

The 2009 joint evaluation of the LDCF concluded that the

UNFCCC has so far failed to address how “gender issues” will be effectively addressed in NAPA guidelines. The NAPA guidelines... do not provide a structured framework on addressing pressing and priority issues of women as one of the most vulnerable to climate change impacts and how to best integrate gender approaches into NAPA process. (Danida 2009, 46)

Subsequently, consistent with the GEF's operational policies and procedures on gender mainstreaming, LDCF implementation projects began to apply the GEF's five core gender indicators (annex F) from October 2014 onward. The GEF results-based management framework (GEF 2014f) and AMAT were recently updated to include these core gender indicators in accordance with the GEF's Gender Equality Action Plan (GEF 2014b), even though both had included gender-disaggregated indicators since the AMAT's introduction in October 2010.

A gender assessment was conducted as part of this evaluation's portfolio analysis.

GENDER MAINSTREAMING STRATEGY OR PLAN

The assessment focused first on whether a gender mainstreaming strategy or plan was included in the NAPA project documentation. There are different interpretations as to what it means for a project to be gender mainstreamed. The LDCF's 2014 Annual Monitoring Review (GEF 2015a) talks, for example, about 47 percent of the projects analyzed providing “strong evidence of gender mainstreaming against one or more of the indicators,” introduced in the updated results-based management framework for adaptation to climate change.

To avoid confusion, the evaluation followed the gender mainstreaming definition cited in the GEF's Gender Equality Action Plan, which states that “Mainstreaming involves ensuring that gender perspectives and attention to the goal of gender equality are central to all activities,” and that gender mainstreaming

is a strategy for making the concerns and experiences of women as well as of men an integral part of the design, implementation, monitoring and evaluation of policies and programs in all political, economic and societal spheres, so that women and men benefit equally, and inequality is not perpetuated. (GEF 2014b, 7)

It was decided to relax the gender mainstreaming definition somewhat in the gender assessment and to aim for gender perspectives and gender equality as being central to *most*, if not all, activities rather than to *all* activities.

By these definitions, 29 percent of the NAPA implementation projects included a gender mainstreaming strategy or plan, and 47.5 percent gave strong indications that the development of such a strategy or plan was in progress (table 6.2). Almost a quarter (23.5 percent) of the implementation projects assessed did not include a gender mainstreaming strategy or plan.

It is important to note that these figures include projects designed in earlier GEF replenishment phases, which predate the GEF's gender policy (GEF 2012a) and Gender Equality Action Plan (GEF 2014b). When considering only GEF-6, over 90 percent of the projects either include or give a strong indication that a gender mainstreaming strategy or plan is being or will be developed.

GENDER-RESPONSIVE RESULTS FRAMEWORK

A second part of the gender assessment looked at the inclusion of a gender-responsive results framework, including gender-disaggregated indicators (table 6.3). Just under a third (31.3 percent) of

the projects include a gender-responsive results framework; for an additional 45.6 percent, the development of such a framework is implied. When looking at the GEF-6 replenishment phase, only 10.9 percent of the projects assessed include a gender-responsive results framework. This low score reflects the fact that results frameworks have not been fully developed for projects in early stages of development.

GENDER MAINSTREAMING

The final part of the gender analysis focused on the ultimate goal of mainstreaming. For this analysis, the evaluators developed a new gender rating, adding a goal beyond “gender mainstreaming” to being “gender transformative”—thus enabling identification of those projects that go beyond mainstreaming and could be an example to others when it comes to gender. The gender ratings used to assess NAPA implementation projects are as follows.

- **Gender blind.** Project does not demonstrate awareness of the set of roles, rights,

responsibilities, and power relations associated with being male or female.

- **Gender aware.** Project recognizes the economic/social/political roles, rights, entitlements, responsibilities, obligations, and power relations socially assigned to men and women, but might work around existing gender differences and inequalities or does not sufficiently show how it addresses gender differences and promotes gender equalities.
- **Gender sensitive.** Project adopts gender-sensitive methodologies (a gender analysis is undertaken, gender-disaggregated data are collected, gender-sensitive indicators are integrated in M&E) to address gender differences and promote gender equality.
- **Gender mainstreamed.** Project ensures that gender perspectives and attention to the goal of gender equality are central to most, if not all, activities. It assesses the implications for women and men of any planned action, including

TABLE 6.2 Inclusion of a Gender Mainstreaming Strategy or Plan in NAPA Implementation Projects by GEF Replenishment Phase

Strategy/plan included?	GEF-3		GEF-4		GEF-5		GEF-6		Total	
	No.	%	No.	%	No.	%	No.	%	No.	%
Yes	0	0.0	3	8.1	44	33.3	16	34.8	63	29.0
No, but development implied	0	0.0	16	43.2	61	46.2	26	56.5	103	47.5
No	2	100.0	18	48.6	27	20.5	4	8.7	51	23.5
Total	2	100.0	37	100.0	132	100.0	46	100.0	217	100.0

TABLE 6.3 Inclusion of a Gender-Responsive Results Framework in NAPA Implementation Projects, Including Gender-Disaggregated Indicators, by GEF Replenishment Phase

Framework included?	GEF-3		GEF-4		GEF-5		GEF-6		Total	
	No.	%	No.	%	No.	%	No.	%	No.	%
Yes			7	18.9	56	42.4	5	10.9	68	31.3
No, but development implied			17	45.9	51	38.6	31	67.4	99	45.6
No	2	100.0	13	35.1	25	18.9	10	21.7	50	23.0
Total	2	100.0	37	100.0	132	100.0	46	100.0	217	100.0

legislation, policies, or programs, in any area and at all levels.

- **Gender transformative.** Project goes beyond gender mainstreaming and facilitates a critical examination of gender norms, roles, and relationships; strengthens or creates systems that support gender equity; and/or questions and changes gender norms and dynamics.
- **Not gender relevant.** Gender plays no role in the planned intervention.

The gender ratings are further explained in annex D.

The gender assessment shows that 13.8 percent of all NAPA implementation projects are gender mainstreamed, while 45.6 percent are gender sensitive and 32.7 percent are gender aware (table 6.4). An important development is that under GEF-6 none of the projects are rated gender blind or not gender relevant.

The majority of implementation projects rated gender aware have (or had) the intent to incorporate gender considerations in project activities, but lacked the requisite gender-disaggregated indicators or other gender-specific types of analyses to label them gender sensitive or gender mainstreamed. Projects rated gender sensitive often cover the first part of the gender mainstreamed definition in that they ensure that

gender perspectives and attention to the goal of gender equality are central to most, if not all, activities. However, assessment of the implications of planned actions for women and men is often lacking. For example, in a Zambian project, the participation and empowerment of women farmers was evident. However, there were insufficient time and resources to further analyze who these women were and whether the intervention made a difference in their lives. The project did not consider key questions—e.g., Were they single heads of households? Were they cultivating their own land or land allotted to them by their husbands, or by others? Were they able to keep the full proceeds of their own labor?

Common features shared by implementation projects that were rated gender mainstreamed were women’s involvement in activities for which they are the primary beneficiaries or decision makers, the inclusion of gender-disaggregated indicators and targets, and the availability of a gender mainstreaming strategy or plan—preferably designed by or with the women it addresses. Other features are equal gender representation among project beneficiaries and staff, and women in project leadership roles.

A CEO-endorsed project in Uganda, Reducing Vulnerability of Banana Producing Communities to Climate Change through Banana Value Added Activities—Enhancing Food Security and

TABLE 6.4 Overall Assessment of NAPA Implementation Project Inclusion of Gender Component, by GEF Replenishment Phase

Rating	GEF-3		GEF-4		GEF-5		GEF-6		Total	
	No.	%	No.	%	No.	%	No.	%	No.	%
Gender blind	0	0.0	6	16.2	8	6.1	0	0.0	14	6.5
Gender aware	0	0.0	13	35.1	43	32.6	15	32.6	71	32.7
Gender sensitive	0	0.0	17	45.9	59	44.7	23	50.0	99	45.6
Gender mainstreamed	0	0.0	1	2.7	21	15.9	8	17.4	30	13.8
Gender transformative	0	0.0	0	0.0	1	0.8	0	0.0	1	0.5
Not gender relevant	2	100.0	0	0.0	0	0.0	0	0.0	2	0.9
Total	2	100.0	37	100.0	132	100.0	46	100.0	217	100.0

Employment Generation (GEF ID 5603—UNIDO), is the only project rated gender transformative. It performed an extensive gender impact analysis as part of its PPG phase, identified alarming inequalities, and aims to mainstream gender equality in Uganda’s national development policies to further enhance the national gender equality agenda. An ongoing project in Benin, Flood Control and Climate Resilience of Agriculture Infrastructures in Oueme Valley (GEF ID 5232—AfDB), was rated gender mainstreamed, but came close to a gender transformative rating. The project prioritizes rural activities valued by women (market gardening, rice farming, processing, marketing, etc.) and from which they can generate income. The project specifically focuses on women’s access to newly developed public goods, and actively encourages and supports women to assume leadership roles.

6.4 Sustainability of Emerging Results

The assessment of the sustainability of project outcomes focused on completed projects for which terminal evaluations and terminal evaluation reviews were available (table 6.1, $n = 11$). The quality at entry review—discussed in [chapter 5](#)—assessed projects that were CEO endorsed/approved or under implementation ($n = 116$). It found that over 98 percent of NAPA implementation projects had a high to very high probability of delivering tangible adaptation benefits. Sustainability is defined, in line with the GEF Independent Evaluation Office’s annual performance reports, as the likelihood of continuation of those project benefits after completion of project implementation. To assess sustainability, the terminal evaluation reviewer assessed key risks that could undermine continuation of benefits at the time of the evaluation. The following four types of risk factors are taken into account to rate the likelihood of sustainability of project outcomes beyond the project’s time frame: financial, sociopolitical,

institutional frameworks and governance, and environmental.

In terms of sustainability of project outcomes, 8 of the 11 completed projects for which terminal evaluation reviews were available received ratings in the likely range (see table 6.1). The outcomes for two completed projects in Bhutan and Rwanda were rated as likely to be sustainable, while six national projects in Cabo Verde, Cambodia, Democratic Republic of Congo, The Gambia, Niger, and Samoa received a moderately likely rating on sustainability of project outcomes.

For six of the eight completed projects that received sustainability ratings in the likely range, the main area of potential concern is the financial sustainability of project activities beyond the scope of project-related funding. Even projects receiving moderately likely or likely ratings in terms of their financial sustainability cite a lack of assured financing in future phases of project implementation as an issue. Terminal evaluations recommend that projects identify and implement self-funding mechanisms in order to move beyond the need for project-specific funding that is not assured into the future.

Two other issues raised repeatedly in terminal evaluations relate to integrating climate change adaptation with national policies and programs (institutional sustainability), and the need for country ownership to ensure sustainability (sociopolitical sustainability). The terminal evaluation of the Samoa project, for example, states that integrating climate change adaptation with national policies, programs, and relevant sector plans could ensure country ownership of sustainability, and increase the chances that the project’s financing becomes a national, sectoral, or local priority. Note, however, that the mainstreaming analysis focused on self-identification of mainstreaming as described in the NAPA country reports and in project documentation of the NAPA implementation projects. The analysis did not include a review

of the national development plans and policies of the 51 LDCs.

Three of the 11 completed projects—in Burkina Faso (Strengthening Adaptation Capacities and Reducing the Vulnerability to Climate Change in Burkina Faso, GEF ID 3684), Sudan (Implementing NAPA Priority Interventions to Build Resilience in the Agriculture and Water Sectors to the Adverse Impacts of Climate Change, GEF ID 3430), and Zambia—received a moderately unlikely rating for the sustainability of project outcomes. Terminal evaluations indicate that the lower sustainability rating was not due to any specific criterion, but that the projects had multiple weaknesses contributing to the rating. For example, issues related to project funding (financial sustainability), country ownership (socio-political sustainability), and institutional sustainability were identified for the Burkina Faso project. Furthermore the terminal evaluation of the Sudan project concludes that, given the challenging context, the project was as successful as could be expected (Government of Sudan 2015).

A cohort of 13 completed projects, 11 with terminal evaluations and terminal evaluation reviews, is too small from which to draw Fund-wide conclusions. Field visit data from Cambodia, Haiti, Lao PDR, and Senegal also illustrates that, for most NAPA implementation projects, it is too early to assess the sustainability of LDCF support. In Senegal, the limited results thus far appear highly sustainable—potentially due to the highly participatory methodology promoting progressive ownership of activities by community groups and the use of highly experienced internal experts. The data from the Cambodia field visit points toward a role for private sector involvement and value chain perspectives to move beyond project-related funding and increase the potential for financial sustainability. Results drawn from the Lao PDR field visit data are cautiously optimistic about the sustainability of project outcomes, but this will largely depend on successfully transferring project ownership to local stakeholders.

7. Conclusions and Recommendations

7.1 Conclusions

In its evaluation of the LDCF, the GEF Independent Evaluation Office reached the following eight conclusions.

- **Conclusion 1: LDCF-supported activities, for the most part, have been highly relevant to COP guidance and countries' development priorities.** There is a generally high degree of coherence between the scope of LDCF-funded activities and both the guidance and priorities of the UNFCCC and the GEF, and the development priorities of countries receiving LDCF support.
- **Conclusion 2: LDCF-supported interventions show clear potential in reaching the GEF's three adaptation strategic objectives.** Eighty-eight percent of NAPA country reports, and 90 percent of implementation projects were, from a large to an extremely large extent, aligned with the GEF adaptation strategic objectives. The quality at entry review showed that 98 percent of NAPA implementation projects had a high to very high probability of delivering tangible adaptation benefits. Also, the majority of stakeholders interviewed indicated it was very likely that the NAPA implementation projects they were familiar with, or involved in, would reach the GEF's strategic adaptation objectives.
- **Conclusion 3: Contributions of LDCF-supported interventions to focal areas other than climate change are potentially significant.**
- **Conclusion 4: The efficiency of the LDCF has been negatively affected by the unpredictability of available resources.** Despite employing measures to expedite the project cycle, the LDCF's efficiency has experienced negative effects from the unpredictable nature of available resources. There is no formal resource mobilization process, and the Fund has to rely on voluntary contributions. Unpredictable funding creates uncertainty for GEF Agencies and LDCs reliant on LDCF support for the implementation of their primary climate change adaptation priorities. It also negatively influences stakeholders' perceptions of the Fund's transparency and, overall, affects LDCF efficiency.
- **Conclusion 5: LDCF support to NAPA implementation projects has resulted in catalytic effects in completed projects, though extensive replication and upscaling generally**

It is not within the Fund's mandate to explicitly target focal areas beyond climate change, but given the primary priority areas for LDCF support—agriculture, water resource management, and fragile ecosystems—there is clear potential for beneficial synergies with the biodiversity and land degradation focal areas in particular. The Fund's support also has the potential to contribute, to some extent, to GEF's global environmental benefits, most notably in maintaining globally significant biodiversity and sustainable land management in production systems.

demands further financing beyond the projects' time frame. Completed NAPA implementation projects developed or introduced new technologies and/or approaches which were successfully demonstrated and disseminated, and resulted in activities, demonstrations, and/or techniques being repeated within and outside of these projects. Additional catalytic effects, as identified by project stakeholders, were (1) in the generation of significant social, economic, cultural, and human well-being co-benefits as a result of NAPA project implementation; (2) the projects having impacts on multiple sectors and at different levels of society; and (3) the projects resulting in the development of foundations for larger-scale projects through analytic work, assessments, and capacity building. Only 15 percent of completed projects performed well on upscaling. For the majority of projects that received low performance ratings for scaling up, additional financing will be required to ensure scaling-up. The technical and institutional capacity-building and information-sharing activities had good buy-in from national and local-level officials, but projects highlight further financing beyond the project's time frame as the primary requirement for scaling-up.

- **Conclusion 6: There is a clear intent to mainstream adaptation into countries' environmental and sustainable development policies, plans, and associated processes.** The portfolio analysis found that almost three-quarters of NAPA country reports clearly detailed the ways in which NAPA priorities would be linked with existing national policies, plans, and strategies.
- **Conclusion 7: The gender performance of the LDCF portfolio has improved considerably in response to enhanced requirements from the GEF, though there seems to be confusion as to what it means to be "gender mainstreamed."** Almost 50 percent of projects under

GEF-4 lacked a gender mainstreaming strategy or plan, which went down to 8.7 percent under GEF-6. Over 90 percent of NAPA implementation projects financed under GEF-6 address gender concerns to some degree. However, this evaluation rated only 17.4 percent of these projects as gender mainstreamed; more projects need to move from the "gender aware" and "gender sensitive" categories to the "gender mainstreamed" rating. The Gender Equality Action Plan clearly explains what it means for a project to be gender mainstreamed. Some other Council documents, specifically the Annual Monitoring Review, show a different interpretation regarding gender mainstreaming.

- **Conclusion 8: There are significant discrepancies in project data from the GEF Secretariat's PMIS.** A quality assessment of PMIS information was not a specific objective of this evaluation, but project data harvesting from the PMIS revealed 58 broken links to project documentation for 46 projects. Moreover, cross-checking the available project data with GEF Agencies revealed further discrepancies in PMIS data.

7.2 Recommendations

In its evaluation of the LDCF, the GEF Independent Evaluation Office reached the following three recommendations.

- **Recommendation 1.** The GEF Secretariat should explore and develop mechanisms that ensure the predictable, adequate, and sustainable financing of the Fund.
- **Recommendation 2.** The GEF Secretariat should make efforts to improve consistency regarding its understanding and application of the GEF gender mainstreaming policy and the Gender Equality Action Plan to the LDCF.
- **Recommendation 3.** The GEF Secretariat should ensure that PMIS data is up to date and accurate.

Annex A: Overview of NAPA Country Reports

No.	Country	GEF Agency	GEF ID	Approval date of NAPA preparation grant	Completion date	Duration	
						Years	Months
1	Afghanistan ^a	UNEP	2530	May 2004	Sep 2009	5	4
2	Angola ^a	UNEP	3409	Oct 2007	Dec 2011	4	2
3	Bangladesh	UNDP	2026	May 2003	Nov 2005; Jun 2009 ^b	2	6
4	Benin	UNDP	2461	Mar 2004	Jan 2008	3	10
5	Bhutan	UNDP	2352	Oct 2003	May 2006	2	7
6	Burkina Faso	UNDP	2156	Jul 2003	Dec 2007	4	5
7	Burundi	UNDP	2466	May 2004	Feb 2007	2	9
8	Cabo Verde	UNDP	2351	Oct 2003	Dec 2007	4	2
9	Cambodia	UNDP	1869	Dec 2002	Mar 2007	4	3
10	Central African Republic	UNEP	2425	Jan 2004	Jun 2008	4	5
11	Chad ^a	UNDP	2480	Mar 2004	Jan 2010	5	10
12	Comoros	UNEP	2049	Jun 2003	Nov 2006	3	5
13	Congo, Dem. Rep.	UNDP	2409	Dec 2003	Sep 2006	2	9
14	Djibouti	UNEP	2191	Aug 2003	Oct 2006	3	2
15	Equatorial Guinea ^a	UNDP	5191	Nov 2012	Nov 2013	1	0
16	Eritrea	UNDP	1959	Dec 2002	May 2007	4	5
17	Ethiopia	UNDP	1960	Apr 2003	Jun 2008	5	2
18	Gambia	UNEP	2050	Jul 2003	Jan 2008	4	6
19	Guinea	UNDP	2362	Nov 2003	Jul 2007	3	8
20	Guinea Bissau	UNDP	2524	May 2004	Feb 2008	3	9
21	Haiti	UNEP	1948	Jan 2003	Dec 2006	3	11
22	Kiribati	UNEP	2388	Oct 2003	Jan 2007	3	3
23	Lao PDR	UNEP	2148	Jul 2003	May 2009	5	10
24	Lesotho	UNEP	2013	Feb 2003	Jun 2007	4	7
25	Liberia	UNEP	2414	Dec 2003	Jul 2008	4	7
26	Madagascar	World Bank	2521	May 2004	Dec 2006	2	7
27	Malawi	UNDP	2027	Jun 2003	Mar 2006	2	9
28	Maldives	UNDP	2353	Oct 2003	Mar 2008	4	5
29	Mauritania	UNDP	1956	Jan 2003	Nov 2004	1	10

No.	Country	GEF Agency	GEF ID	Approval date of NAPA preparation grant	Completion date	Duration	
						Years	Months
30	Mozambique	UNDP	2029	Apr 2003	Jul 2008	5	3
31	Myanmar	UNEP	3702	Jul 2008	May 2013	4	10
32	Nepal	UNDP	3412	Jan 2008	Nov 2010	2	10
33	Niger	UNDP	2481	Mar 2004	Jul 2006	2	4
34	Rwanda	UNEP	2484	Jun 2004	May 2007	2	11
35	Samoa	UNDP	1868	Dec 2002	Dec 2005	3	0
36	São Tomé and Príncipe	World Bank	2464	Apr 2004	Nov 2007	3	7
37	Senegal	UNEP	2085	Oct 2003	Nov 2006	3	1
38	Sierra Leone	UNDP	2482	Apr 2004	Jun 2008	4	2
39	Solomon Islands	UNDP	2814	Jun 2005	Dec 2008	3	6
40	Somalia ^a	UNDP	5007	Jul 2012	Apr 2013	0	9
41	South Sudan	UNDP	5564	Aug 2013	Ongoing		
42	Sudan	UNDP	2031	May 2003	Jul 2007	4	2
43	Timor-Leste	UNDP	3464	Oct 2007	Sep 2011	3	11
44	Togo ^a	UNDP	2465	Mar 2004	Sep 2009	5	6
45	Tuvalu	UNDP	1969	Feb 2003	May 2007	4	3
46	Uganda	UNDP	2168	Aug 2003	Dec 2007	4	4
47	United Republic of Tanzania	UNDP	1996	May 2003	Sep 2007	4	4
48	Vanuatu	UNDP	1970	May 2003	Dec 2007	4	7
49	Yemen	UNDP	1990	Jan 2003	Apr 2009	6	3
50	Zambia	UNDP	2413	Dec 2003	Oct 2007	3	10
Average duration according to the 2009 joint evaluation						3	10
Average duration of the 9 new NAPAs						3	10
Average duration of all NAPAs, with inclusion of the 9 new NAPAs						3	10

SOURCE: UNFCCC 2013a.

a. New NAPA since the 2009 joint evaluation of the LDCF.

b. Updated NAPA since the 2009 joint evaluation of the LDCF

Annex B: 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.

Objective/outcome	Indicator
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 socioeconomic 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	1. Number of direct beneficiaries
Outcome 1.1: Vulnerability of physical assets and natural systems reduced	2. Type and extent of assets strengthened and/or better managed to withstand the effects of climate change
Outcome 1.2: Livelihoods and sources of income of vulnerable populations diversified and strengthened	3. Population benefiting from the adoption of diversified, climate-resilient livelihood options
Outcome 1.3: Climate-resilient technologies and practices adopted and scaled up	4. Extent of adoption of climate-resilient technologies/practices
Objective 2: Strengthen institutional and technical capacities for effective climate change adaptation	
Outcome 2.1: Increased awareness of climate change impacts, vulnerability, and adaptation	5. Public awareness activities carried out and population reached
Outcome 2.2: Access to improved climate information and early warning systems enhanced at regional, national, subnational, and local levels	6. Risk and vulnerability assessments, and other relevant scientific and technical assessments, carried out and updated
	7. Number of people/geographical areas with access to improved climate information services
	8. Number of people/geographical areas with access to improved, climate-related early warning information
Outcome 2.3: Institutional and technical capacities and human skills strengthened to identify, prioritize, implement, monitor, and evaluate adaptation strategies and measures	9. Number of people trained to identify, prioritize, implement, monitor, and evaluate adaptation strategies and measures
	10. Capacities of regional, national, and subnational institutions to identify, prioritize, implement, monitor, and evaluate adaptation strategies and measures

Objective/outcome	Indicator
Objective 3: Integrate climate change adaptation into relevant policies, plans, and associated processes	
Outcome 3.1: Institutional arrangements to lead, coordinate, and support the integration of climate change adaptation into relevant policies, plans, and associated processes established and strengthened	11. Institutional arrangements to lead, coordinate, and support the integration of climate change adaptation into relevant policies, plans, and associated processes
Outcome 3.2: Policies, plans, and associated processes developed and strengthened to identify, prioritize, and integrate adaptation strategies and measures	12. Regional, national, and sectorwide policies, plans, and processes developed and strengthened to identify, prioritize, and integrate adaptation strategies and measures
	13. Subnational plans and processes developed and strengthened to identify, prioritize, and integrate adaptation strategies and measures
Outcome 3.3: Systems and frameworks for the continuous monitoring, reporting, and review of adaptation established and strengthened	14. Countries with systems and frameworks for the continuous monitoring, reporting, and review of adaptation

SOURCE: GEF 2014a.

Annex C: Evaluation Matrix

Key question	Indicators/basic data	Source of information	Methodology
1. Relevance: How relevant is LDCF support in light of UNFCCC COP guidance and decisions; the GEF adaptation programming strategy; and countries' broader developmental policies, plans, and programs?			
1a. How relevant is LDCF support in relation to the guidance and decisions of the UNFCCC informing the Fund's mandate?	<ul style="list-style-type: none"> • Level of coherence between COP guidance, the GEF adaptation programming strategy, and LDCF support • NAPA and NAPA implementation projects' alignment with UNFCCC guidance and decisions • NAPA and NAPA implementation projects' alignment with GEF adaptation strategic pillars 	Project documentation, COP guidance, GEF adaptation strategy, GEF Secretariat and Agency staff, government partners, in-country stakeholders	Meta-evaluation review, portfolio analysis, interviews, field visits
1b. To what extent is the LDCF portfolio connected to country's environmental and sustainable development agendas?	<ul style="list-style-type: none"> • Degree to which LDCF supported national environmental and sustainable development objectives and priorities • Primary NAPA priorities versus NAPA implementation project priorities • NAPA alignment with country's environmental/sustainable development agendas 	Project documentation, GEF Secretariat and Agency staff, government partners, in-country stakeholders	Meta-evaluation review, portfolio analysis, interviews, field visits
2. Effectiveness and efficiency: How effective and efficient is the LDCF in reaching its objectives, based on emerging results?			
2a. How effective is the LDCF in reaching the GEF's three strategic adaptation objectives?	<ul style="list-style-type: none"> • Degree to which the LDCF NAPA implementation projects have helped reduce vulnerability, built adaptive capacity, and integrated adaptation into policies and processes • NAPA and NAPA implementation projects alignment with GEF adaptation strategic objectives • Degree of reaching anticipated adaptation benefits 	Project documentation, Council documents, GEF Secretariat and Agency staff, government partners, in-country stakeholders	Meta-evaluation review, portfolio analysis—including quality at entry reviews, interviews, field visits
2b. What are the main factors affecting the Fund's efficiency?	<ul style="list-style-type: none"> • Effective communication between GEF Secretariat, Agencies, and national stakeholders • GEF funding versus cofinancing • Delay (planned versus actual time for each stage of project development) of NAPA implementation projects 	Project documentation, Council documents, GEF Secretariat and Agency staff, government partners, in-country stakeholders	Meta-evaluation review, portfolio analysis, interviews, field visits

Key question	Indicators/basic data	Source of information	Methodology
2c. How has resource predictability, or the lack thereof, affected the Fund's programming?	<ul style="list-style-type: none"> • Availability of resources for program and pipeline buildup, LDCF/SCCF Council documentation information on pending projects 	Council documents, GEF Secretariat and Agency staff, government partners, in-country stakeholders	Council document review, interviews, field visits
2d. How efficient is the Fund's project cycle?	<ul style="list-style-type: none"> • Time between project cycle milestones; planned versus actual time for each stage of project development • Percentage of dropped and canceled projects in the portfolio; evidence of the impacts of slow/irregular/unreliable commitment of funds 	Project documentation, GEF Secretariat and Agency staff, government partners, in-country stakeholders	Portfolio analysis, interviews
3. Results and sustainability: What are the emerging results and factors that affect the sustainability and resilience of these results?			
3a. To what extent has LDCF support had a catalytic effect?	<ul style="list-style-type: none"> • Catalytic effect indicators from the portfolio analysis for both the NAPA report and the implementation projects (13 projects only) • Global environmental benefits indicators from the portfolio analysis for both the NAPA report and the implementation projects 	Project documentation, Council documents, GEF Secretariat and Agency staff, government partners, in-country stakeholders	Portfolio analysis, meta-evaluation review, interviews, field visits
3b. How does LDCF support relate to other GEF focal areas beyond climate change adaptation?	<ul style="list-style-type: none"> • Other focal area indicator from the portfolio analysis for both the NAPA report and the implementation projects 	Project documentation, Council documents, GEF Secretariat and Agency staff, government partners, in-country stakeholders	Portfolio analysis, meta-evaluation review, interviews, field visits
3c. What are the gender equality and the empowerment of women objectives achieved (or likely to be achieved) and gender mainstreaming principles adhered to by the LDCF?	<ul style="list-style-type: none"> • Gender indicators from the portfolio analysis, including rating on gender strategy and plan, gender data disaggregation, and gender mainstreaming rating 	Project documentation, Council documents, GEF Secretariat and Agency staff, government partners, in-country stakeholders	Portfolio analysis, meta-evaluation review, interviews, field visits
3d. To what extent are the emerging results of LDCF support sustainable?	<ul style="list-style-type: none"> • Catalytic effects indicators from the portfolio analysis for the implementation projects (13 projects) • Sustainability ratings of the terminal evaluation reviews for completed projects (11 projects with terminal evaluations and terminal evaluation reviews) 	Project documentation, Council documents, GEF Secretariat and Agency staff, government partners, in-country stakeholders	Portfolio analysis, meta-evaluation review, interviews, field visits

Annex D: Portfolio Analysis Protocol

The portfolio analysis protocol was developed on SurveyMonkey, and includes advanced branching and skip logic elements. It consists of 80 questions over 23 pages, but not all questions apply to all projects being reviewed (figure D.1).

D.1 Overview of Questions

The following general questions were used to gather information on specific projects—NAPA country reports as well as NAPA implementation projects—and to be able to group data by, e.g., GEF Agency, GEF replenishment phase, etc. ($n = 280$).

Page 1: Information on reviewer and data source

- Q1. Name of reviewer (open text field)
- Q2. Documents used for review (multiple-choice checklist with “other” option)

Page 2: Basic project information (EA/MSP/FSP)

- Q3. Project’s GEF ID (numerical four-digit field)
- Q4. Name of the project (open text field)
- Q5. Lead Implementing Agency (single-choice pull-down menu)
- Q6. Main focal area (single-choice pull-down menu)
- Q7. Project status (single-choice pull-down menu)
- Q8. Part of GEF replenishment phase (single-choice pull-down menu)

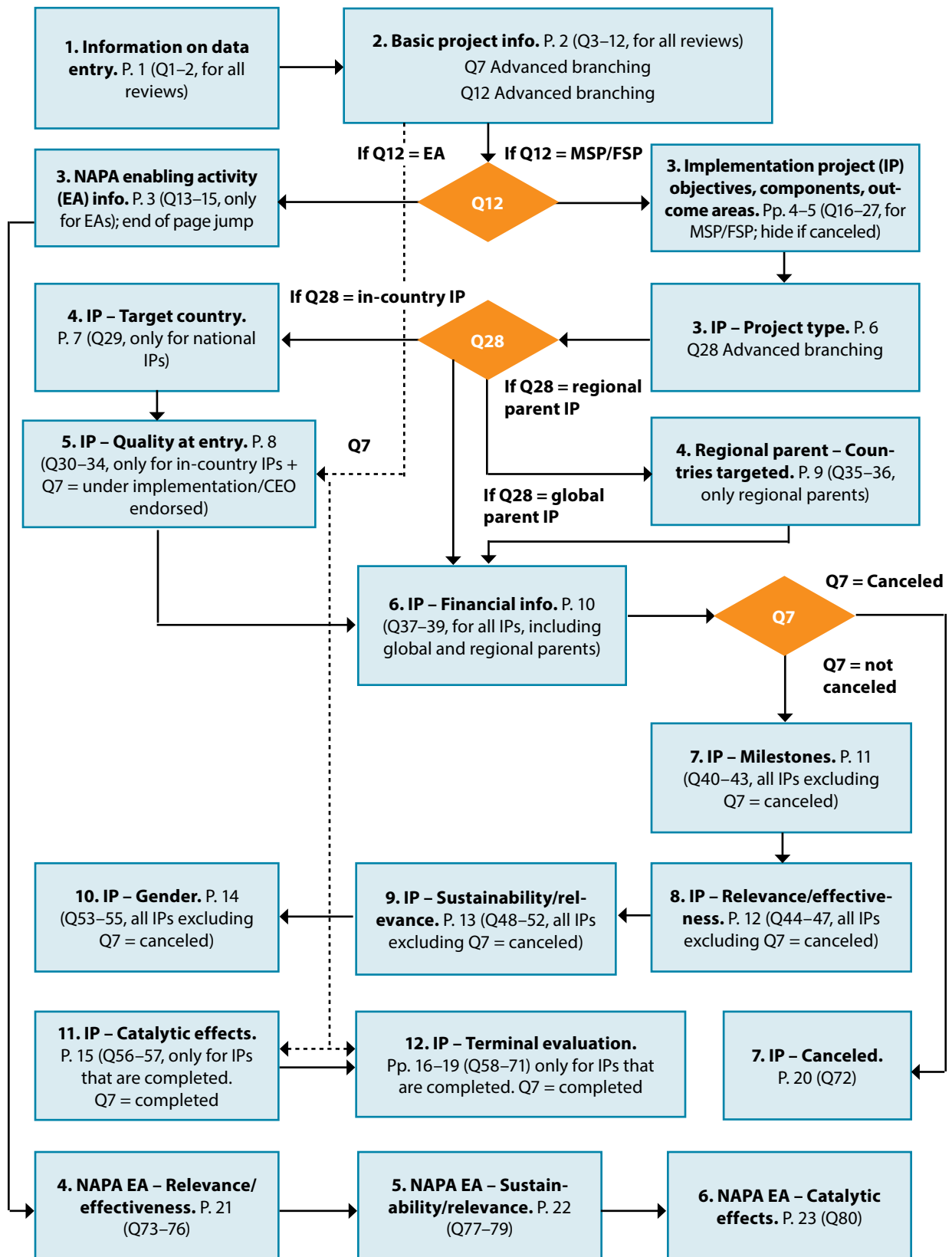
- Q9. Main trust fund for funding (single-choice pull-down menu)
- Q10. Type of in-country executing partner/agency (multiple choice checklist with other option)
- Q11. Name(s) of in-country executing partner(s)/agency(ies) (open text field)
- Q12. Is this a NAPA country report or a NAPA implementation project? (single-choice menu)

The next selection of questions are only used for NAPA country reports for basic information ($n = 51$).

Page 3: NAPA country report—further project information

- Q13. Country of the NAPA country report (single-choice pull-down menu)
- Q14. Total funding in US\$ (numerical fields, split into five groups: (1) LDCF grant; (2) Agency fee; (3) cofinance; (4) total excluding cofinance; total including cofinance)
- Q15. Milestone dates (date field, split into the following five groups: (1) date of first entry into PMIS; (2) date of CEO approval; (3) date of Agency approval/implementation start; (4) completion date as written on the NAPA country report; (5) submission date as written on the UNFCCC website). Reviewers were instructed to take actual date if available and expected date otherwise.

FIGURE D.1 Review Protocol Flowchart



The protocol now jumps to Q73 for NAPA country reports. The next questions are for NAPA implementation projects, excluding canceled projects ($n = 217$).

Page 4: NAPA implementation project—objectives and components (1/3)

Q16. The project’s overarching objective (open text field)

Q17. The main project components (10 open text fields)

Page 5: NAPA implementation project—outcome areas (2/3)

Q18–Q27. Expected outcomes under project components 1 to x (open text fields for x project components, x being the number of components filled out in Q17)

Page 6: NAPA implementation project—type of project (3/3)

Q28. What project type best describes this implementation project? (Single-choice tick boxes, with the following options: (1) MSP country implementation project; (2) FSP country implementation project; (3) MSP country child project of regional parent; (4) FSP country child project of regional parent; (5) MSP regional parent project; (6) FSP regional parent project; (7) MSP global parent project; (8) FSP global parent project)

Page 7: NAPA implementation project—target country

Q29. Target country for national implementation project (single-choice pull-down menu)

The next questions are the quality at entry check and are only asked for national-level NAPA implementation projects that have been CEO endorsed or are under implementation ($n = 116$). Ratings for Q30–Q33 are on a seven-point scale from “to an extremely large extent” up to “to an extremely

small extent,” including the “unable to assess” option. A text field is added to provide rating explanation.

Page 8: NAPA implementation project—quality at entry

Q30. The adaptation benefits are clearly described (they clearly convey the country’s adaptation aspirations in light of the project reviewed)

Q31. The adaptation benefits described are realistic in the country’s context (they make sense in light of direct and indirect pressures/drivers of change)

Q32. The adaptation benefits are explained in terms of measurable results (a results framework, SMART indicators, and target setting are part of the explanation)

Q33. The project takes into account potential major risks and includes sufficient risk mitigation measures

Q34. Probability that the project will deliver tangible adaptation benefits in line with set objectives (a four-point scale probability rating from “very high” to “very low,” with an “unable to assess” option; the rating is based on the answers on Q30–Q33)

End of the quality at entry check.

The following questions are for regional parent projects.

Page 9: NAPA implementation project—regional parent—target countries

Q35. LDCs targeted by the regional project (multiple-choice checklist)

Q36. Non-LDC Non-Annex I countries targeted by regional project (multiple-choice checklist). This question is only visible if Q9 was answered with the option “multiple trust funds.”

The next questions are for all NAPA implementation projects, including canceled projects ($n = 229$).

Page 10: NAPA implementation project—financial information

Q37. Total funding in US\$ (numerical fields, split into eight groups: (1) PPG; (2) LDCF grant; (3) Agency fee; (4) GEF Trust Fund funding; (5) SCCF funding; (6) cofinance; (7) total excluding cofinance; (8) total including cofinance); Groups 4 and 5 only show for multitrust fund interventions.

Q38. Cofunding sources (multiple-choice checklist, with “other” option)

Q39. Write down cofunding by source in US\$ (open numeric fields)

The next questions are for all NAPA implementation projects, excluding canceled projects ($n = 217$).

Page 11: NAPA implementation project—milestone dates

Q40. Milestone dates (date field, split into the following four groups: (1) date of first entry into PMIS; (2) date of CEO endorsement; (3) date of project implementation start; (4) date of project completion). Reviewers were instructed to take actual date if available and expected date otherwise.

Q41. Any indication of delays? (yes/no)

Q42. In case of delays, what is the biggest delay, between expected and actual, that can be identified? (numeric field, days)

Q43. Explain the delay and the milestone it relates to (open text field)

Page 12: NAPA implementation project—relevance/effectiveness

Q44. Choose primary NAPA priorities addressed. (multiple-choice checklist with the following options: (1) agriculture (including animal

husbandry and fishery); (2) water resource management; (3) climate information systems; (4) natural resource management, fragile ecosystems (including mountain ecosystems, mangroves, forestry, wildlife, land degradation and management); (5) disaster risk management; (6) infrastructural development; (7) climate education; (8) sustainable rural livelihoods (other than agriculture and natural resource management); (9) coastal zone management (other than mangrove ecosystems/reconstruction); (10) tourism; (11) human health; (12) renewable energy/energy efficiency/energy security; (13) climate-smart urban areas; and an “other” grouping with text field)

Ratings for Q45–Q47 are on a seven-point scale from “to an extremely large extent” up to “to an extremely small extent,” including the “unable to assess” option. A text field is added to provide rating explanation.

Q45. Alignment of NAPA implementation project with UNFCCC guidance and decisions (rating on the seven-point scale was done in seven categories: (1) in support of country-driven capacity-building activities; (2) supporting the development and implementation of NAPAs/NAPA implementation projects; (3) a country-driven learning-by-doing process, in line with national priorities; (4) cost-effective and complementary to other funding sources; (5) with a focus on urgency and immediacy of adapting to the adverse effects of climate change, and with a prioritization of activities; (6) promoting the integration of adaptation measures in national development and poverty reduction strategies, plans, or policies; (7) with a view to increasing resilience to the adverse effects of climate change)

Q46. Alignment of NAPA implementation project with GEF adaptation strategic pillars (rating

on the seven-point scale was done in two categories: (1) 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; (2) expanding synergies with other GEF focal areas)

Q47. Alignment of NAPA implementation project with GEF adaptation strategic objectives (rating on the seven-point scale was done in three categories: (1) reduce the vulnerability of people, livelihoods, physical assets, and natural systems to the adverse effects of climate change; (2) strengthen institutional and technical capacities for effective climate change adaptation; (3) integrate climate change adaptation into relevant policies, plans, and associated processes)

Page 13: NAPA implementation project—sustainability/relevance

Q48. Select focal areas—other than the main focal area—to which the NAPA implementation project (potentially) contributes (multiple-choice checklist with the following options: (1) biodiversity; (2) land degradation; (3) international waters (4) mercury; (5) ODS; (6) POPs; (7) no focal areas other than climate change apply)

Q49. Overall assessment of NAPA implementation project's alignment with NAPA priorities (Reviewer compares the outcome areas of the NAPA implementation project with the priority activities as identified in the NAPA country report. Single-choice checklist with the following options: (1) very high: the implementation project outcome areas address primary priority areas as listed/outlined in the NAPA country report; (2) high: the implementation project outcome areas do

not address primary priority areas as listed/outlined in the NAPA country report, but address other priorities that are outlined in the NAPA country report; (3) low: the implementation projects might touch upon some priority areas, but do not address specific priorities as outlined in the NAPA country report in a structural manner; (4) none: the implementation projects do not address *any* of the priorities (primary or other) outlined in the NAPA country report; and a final option “unable to assess.”)

Q50. (Potential) contribution of NAPA implementation project to GEF global environmental benefits (rating on the seven-point scale was done in six categories: (1) maintain globally significant biodiversity and the ecosystem goods and services that it provides to society; (2) sustainable land management in production systems, i.e., agriculture, rangelands, and forest landscapes; (3) promotion of collective management of transboundary water systems and implementation of the full range of policy, legal, and institutional reforms and investments contributing to sustainable use and maintenance of ecosystem services; (4) support to transformational shifts toward a low-emission and resilient development path; (5) increase in phaseout, disposal, and reduction of releases of POPs, ODS, mercury, and other chemicals of global concern; (6) enhance capacity of countries to implement multilateral environmental agreements and mainstream these into national and subnational policy, planning, financial, and legal frameworks)

Q51. Has the implementation project indicated risks—including climatic as well as nonclimatic risks—that might prevent the project objectives from being achieved? (Reviewer rates on a four-point scale: (1) yes, sufficiently: a sufficiently wide variety of risks, climatic

as well as nonclimatic, has been identified, including a description of their potential impact as well as the probability of each risk materializing within the project's lifetime; (2) yes, but not sufficiently: a selection of risks has been identified, but some risk factors one would expect in the country's context have not been mentioned, and risk impact and/or probability are missing in some instances; (3) yes, but with serious omissions: some risks have been identified, but a number of major risk factors are missing; the risk impact is not described for all risks and the probability is missing for most; (4) no: there is no clear risk appreciation)

- Q52. Does the NAPA implementation project provide risk mitigation strategies, or actions to be taken in the case that identified risks would materialize? (reviewer rates on a three-point scale: (1) yes, for all or most; (2) yes, for some; (3) no)

Page 14: NAPA implementation project—gender

- Q53. Does the NAPA implementation project include a gender mainstreaming strategy or plan? (reviewer rates on a three-point scale, being (1) yes; (2) no, but its/their development is implied; (3) no)
- Q54. Does the NAPA implementation project incorporate a gender-responsive results framework, including gender-disaggregated indicators? (reviewer rates on a three-point scale, being (1) yes; (2) no, but its/their development is implied; (3) no)
- Q55. Overall assessment of implementation project's inclusion of the gender component (reviewer rates on a five-point scale: (1) gender blind; (2) gender aware; (3) gender sensitive; (4) gender mainstreamed; (5) gender transformative; with a separate category "not gender relevant")

The next questions are for projects that have been completed ($n = 13$).

Ratings for Q56 and Q57 are on a seven-point scale from "to an extremely large extent" up to "to an extremely small extent," including the "unable to assess" option. A text field is added to provide rating explanation.

Page 15: NAPA implementation project—catalytic effects

- Q56. Identify the implementation project's alignment with the following catalytic effects (rating on the seven-point scale was done in four categories: (1) public good: the project developed or introduced new technologies and/or approaches (CE1); (2) demonstration: demonstration sites and/or training was implemented to further catalyze the new technologies/approaches (CE2); (3) replication: activities, demonstrations, and/or techniques are repeated within or outside the project (CE3); (4) scaling-up: approaches developed through the project are taken up on a regional, national scale, becoming widely accepted (CE4))
- Q57. Identify the NAPA implementation project's alignment with the following catalytic effects, identified in terminal evaluations as catalytic elements of the project (rating on the seven-point scale was done in seven categories: (1) project generated significant social, economic, cultural, and human well-being co-benefits; (2) project built on the traditional knowledge and practices of local communities; (3) project had impact on multiple sectors and at different levels of society; (4) project built foundations for larger-scale project(s) through analytic work, assessments, and capacity-building activities; (5) project was instrumental in developing longer-term partnerships; (6) project was successful in developing new cost-sharing

approaches/leveraging new resources;
(7) project improved management effectiveness of adaptation-relevant (sub-)national systems)

Page 16: NAPA implementation project—terminal evaluation (1/4)

Q58. Is there a terminal evaluation review available for the project? (yes/no)

Q59. Is there a terminal evaluation document for the completed implementation project? (yes/no)

The next questions are for projects that have been completed, and for which a terminal evaluation and terminal evaluation review are available ($n = 11$).

Page 17: NAPA implementation project—terminal evaluation review (2/4)

Q60. What is the implementation project's outcome rating according to the terminal evaluation review? (rating on a six-point scale from "highly satisfactory" to "highly unsatisfactory," with two separate categories of "not rated" and "unable to assess")

Q61. What is the implementation project's sustainability rating according to the terminal evaluation review? (rating on a four-point scale from "likely" to "unlikely," with two separate categories of "not rated" and "unable to assess")

Q62. What is the implementation project's M&E design at entry rating according to the terminal evaluation review? (Question is answered for implementing agencies other than World Bank. Rating on a six-point scale from "highly satisfactory" to "highly unsatisfactory," with two separate categories of "not rated" and "unable to assess.")

Q63. What is the implementation project's M&E design at entry rating according to the terminal evaluation review? (Question is answered only for the World Bank as Implementing Agency. Rating on a four-point scale from "high" to "negligible," with two separate categories of "not rated" and "unable to assess.")

Q64. What is the implementation project's M&E plan implementation rating according to the terminal evaluation review? (Question is answered for Implementing Agencies other than the World Bank. Rating on a six-point scale from "highly satisfactory" to "highly unsatisfactory," with two separate categories of "not rated" and "unable to assess.")

Q65. What is the implementation project's M&E plan implementation rating according to the terminal evaluation review? (Question is answered only for the World Bank as Implementing Agency. Rating on a four-point scale from "high" to "negligible," with two separate categories of "not rated" and "unable to assess.")

Page 18: NAPA implementation project—terminal evaluation—innovation (3/4)

Q66. Provide a synopsis of innovations that have been identified in the implementation project's terminal evaluation (open text field)

Page 19: NAPA implementation project—terminal evaluation—lessons learned (4/4)

Q67. What were the lessons learned on communications and stakeholder involvement? (open text field)

Q68. What were the lessons learned on project management? (open text field)

Q69. What were the lessons learned on M&E? (open text field)

Q70. What were the content-technical lessons learned in relation to climate change adaptation? (open text field)

Q71. Add any other lessons learned that would not be covered in the answers to the above four questions. (open text field)

The following question is only for projects that have been canceled or dropped ($n = 12$).

Page 20: NAPA implementation project—canceled or dropped

Q72. Looking at the available documents and in the Excel project file, is there any indication when and why this project was canceled? (open text field)

The protocol jumped from Q15 for NAPA country reports ($n = 51$).

Page 21: NAPA country report—relevance/Effectiveness

Q73. Choose primary NAPA priority areas identified (multiple-choice checklist with the following options: (1) agriculture (including animal husbandry and fishery); (2) water resource management; (3) climate information systems; (4) natural resource management; fragile ecosystems (including mountain ecosystems, mangroves, forestry, wildlife, land degradation and management); (5) disaster risk management; (6) infrastructural development; (7) climate education; (8) sustainable rural livelihoods (other than agriculture and natural resource management); (9) coastal zone management (other than mangrove ecosystems/reconstruction); (10) tourism; (11) human health; (12) renewable energy/energy efficiency/energy security; (13) climate-smart urban areas; and an “other” grouping with text field)

Ratings for Q74–Q76 are on a seven-point scale from “to an extremely large extent” up to “to an

extremely small extent,” including the “unable to assess” option. A text field is added to provide rating explanation.

Q74. Alignment of NAPA country report with UNFCCC guidance and decisions (rating on the seven-point scale was done in eight categories: (1) in support of country-driven capacity-building activities; (2) supporting the development and implementation of NAPAs/NAPA implementation projects; (3) a country-driven learning-by-doing process, in line with national priorities; (4) cost-effective and complementary to other funding sources; (5) with a focus on urgency and immediacy of adapting to the adverse effects of climate change, and with a prioritization of activities; (6) promoting the integration of adaptation measures in national development and poverty reduction strategies, plans, or policies; (7) with a view to increasing resilience to the adverse effects of climate change; (8) in support of the national communications to the convention)

Q75. Alignment of NAPA country report with GEF adaptation strategic pillars (rating on the seven-point scale was in two categories: (1) 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; (2) expanding synergies with other GEF focal areas)

Q76. Alignment of NAPA country report with GEF adaptation strategic objectives (rating on the seven-point scale was in three categories: (1) reduce the vulnerability of people, livelihoods, physical assets, and natural systems to the adverse effects of climate change; (2) strengthen institutional and technical capacities for effective climate change

adaptation; (3) integrate climate change adaptation into relevant policies, plans, and associated processes)

Page 22: NAPA country report—sustainability/relevance

Q77. Select focal areas—other than the main focal area—to which the NAPA country report (potentially) contributes (multiple-choice checklist with the following options: (1) biodiversity; (2) land degradation; (3) international waters (4) mercury; (5) ODS; (6) POPs; (7) no focal areas other than climate change apply)

Q78. Overall assessment of NAPA country report's alignment with the country's environmental and sustainable development agendas (Reviewer identifies proof of alignment in the project documentation available. Single-choice checklist with the following options: (1) very high: the mainstreaming of NAPA priorities into the country's environmental and sustainable development agendas is clearly explained, including an overview of linkages with existing and developing policies, plans, and strategies; (2) high: the mainstreaming of NAPA priorities into the country's environmental and sustainable development agendas is mentioned in general terms, but linkages to specific existing and developing policies, plans, and strategies are incomplete or lacking; (3) low: the mainstreaming of NAPA priorities into the country's environmental and sustainable development agendas is not adequately addressed; (4) none: the NAPA does not address *any* linkages between NAPA priorities and the country's environmental and sustainable development agendas; and a final option "unable to assess.")

Q79. (Potential) contribution of NAPA country report to GEF global environmental benefits.

(rating on the seven-point scale was in six categories: (1) maintain globally significant biodiversity and the ecosystem goods and services that it provides to society; (2) sustainable land management in production systems, i.e., agriculture, rangelands, and forest landscapes; (3) promotion of collective management of transboundary water systems and implementation of the full range of policy, legal, and institutional reforms and investments contributing to sustainable use and maintenance of ecosystem services; (4) support to transformational shifts toward a low-emission and resilient development path; (5) increase in phaseout, disposal, and reduction of releases of POPs, ODS, mercury, and other chemicals of global concern; (6) enhance capacity of countries to implement multilateral environmental agreements and mainstream these into national and subnational policy, planning, financial, and legal frameworks)

Rating for Q80 is on a seven-point scale from "to an extremely large extent" up to "to an extremely small extent," including the "unable to assess" option. A text field is added to provide rating explanation.

Q80. Catalytic effects identified in the NAPA country report and national communications to the UNFCCC (rating on the seven-point scale was in eight categories of techniques and tools applied that are seen as proxies for potential catalytic effects: (1) cross- or multisectoral integration of vulnerability assessment outcomes; (2) vulnerability is ranked across multiple sectors; (3) integrated assessment modeling used to assess economic impacts across the economy; (4) optimization approaches (e.g., benefit cost analysis, cost-effectiveness analysis, multiple criteria analysis, etc.) used in adaptation decision making; (5) uncertainty approaches (e.g., risk

management, adaptive management, adaptation pathways) used in adaptation decision making; (6) strategic mainstreaming applied; climate change is incorporated within policies and plans; (7) operational mainstreaming applied; risk management of climate impacts on development objectives; (8) national-level M&E framework developed to evaluate the performance and effectiveness of adaptation measures)

D.2 Explanation of Ratings Used

The use of a seven-point agreement scale

A first choice in the development of the agreement scale for the portfolio analysis protocol was to make use of either an even number or odd number of options; in the latter case, there would be a middle category. In the case of this analysis, the middle category does not separate positive from negative answers but is part of a continuum of options. The continuum moves from agreed or aligned to an extremely large extent to agreed or aligned to an extremely small extent. Ethnic and racial preferences for odd and even scales were taken into account, and a choice was made for an odd-numbered Likert-type scale.

A second choice relates to the number of answer options to choose from; for an odd number of options, this would be either a five-point scale or a seven-point scale. Given that the same rating scale would be used by the reviewers for a multitude of questions, the scale had to be applicable to all questions. In some cases, there was a demand for more options to permit nuanced answers, while for other questions this was not entirely necessary. A seven-point scale was chosen in order to increase variance in the measure. Note that for each rating the reviewer would need to explain in an open text field why this specific point in the scale was chosen.

Given the type of questions (“whether NAPA implementation project x contributes to a specific global environmental benefit” or “whether a NAPA implementation project is aligned with its NAPA country report”), the choice was made to use a seven-point Likert-type scale that would be entirely in the positive spectrum. There is no negative alignment, or disagreement, and the questions in the portfolio analysis are written in a way that a positive spectrum of answer categories makes sense. The reviewers were briefed on the selection and use of the scale, which is as follows:

- To an extremely large extent
- To a very large extent
- To a large extent
- To a moderate extent
- To a small extent
- To a very small extent
- To an extremely small extent
- Unable to assess, or not applicable

NAPA implementation project alignment with NAPA country report

The LDCF was established in response to guidance received from the Seventh COP to the UNFCCC, meeting in Marrakech in 2001, as one of its climate change adaptation financing mechanisms. It is mandated by the parties to the UNFCCC to, among others, provide support to LDC climate adaptation efforts, including the preparation of NAPAs, the implementation of NAPA priority projects in LDCs, and support for the preparation of the NAP process in eligible developing countries.

NAPAs provide a process for LDCs to identify priority activities that respond to their urgent and immediate needs to adapt to climate change—those for which further delay would increase vulnerability and/or costs at a later stage. The main content of NAPA country reports is a country-driven list of ranked priority adaptation activities and projects designed to facilitate the development of proposals for NAPA implementation projects.

For the 2016 LDCF program evaluation, NAPA country reports as well as NAPA implementation projects were reviewed and country priorities for adaptation activities identified for each. These priority adaptation activities fit into the following groupings:

- Agriculture (including animal husbandry and fishery)
- Climate information systems
- Disaster risk management
- Natural resource management and fragile ecosystems (including mountain ecosystems, mangroves, forestry, wildlife, land degradation, and management)
- Water resource management
- Human health
- Infrastructural development
- Renewable energy/energy efficiency/energy security
- Climate education
- Tourism
- Climate-smart urban areas
- Sustainable rural livelihoods (other than agriculture and natural resource management)

Most NAPA country reports provided a list of prioritized adaptation activities. For those that did not, sectoral prioritization was used by the reviewer to identify areas of priority adaptation activities. For those that did not prioritize activities or provide an overview of priority sectors, the reviewer used the key environmental stresses and climatic vulnerabilities as identified in the NAPA country report to identify key areas of priority adaptation activities.

For each country, the scoring of NAPA implementation project key priority adaptation activities

was compared against its NAPA country report scoring on the same. This comparison resulted in an alignment rating for each NAPA implementation project with the key priority areas as identified in the NAPA country report.

The reviewer rated NAPA implementation project alignment with key priority areas in the NAPA country reports as follows:

- **Very high.** The NAPA implementation project's outcome areas address primary priority areas as listed/outlined in the NAPA country report.
- **High.** The NAPA implementation project's outcome areas do not address primary priority areas as listed/outlined in the NAPA country report, but address other priorities that are outlined in the NAPA country report.
- **Low.** The NAPA implementation project might touch upon some priority areas (primary or other), but does not address specific priorities as outlined in the NAPA country report in a structural manner.
- **No alignment.** The project does not address *any* of the priorities (primary or other) outlined in the country NAPA report.
- **Unable to assess.** The reviewer was unable to assess outcomes on this dimension.

Gender rating

The GEF Gender Equality Action Plan (GEF 2014b) operationalizes the GEF Policy on Gender Mainstreaming (GEF 2012a). The policy states that

the GEF Secretariat and GEF Partner Agencies shall strive to attain the goal of gender equality, the equal treatment of women and men, including the equal access to resources and services through its operations [and] to accomplish this goal, the GEF Secretariat and GEF Agencies shall mainstream gender into their operations, including efforts to analyze systematically and address the specific needs

of both women and men in GEF projects. (GEF 2012a, 2)

According to the gender mainstreaming description included in the Gender Equality Action Plan glossary:

Mainstreaming involves ensuring that gender perspectives and attention to the goal of gender equality are central to all activities... It is a strategy for making the concerns and experiences of women as well as of men an integral part of the design, implementation, monitoring and evaluation of policies and programs in all political, economic and societal spheres, so that women and men benefit equally, and inequality is not perpetuated. (GEF 2014b, 7)

The ultimate goal of mainstreaming is to achieve gender equality, and the goal for projects taking gender into account is to mainstream gender according to the above description. It was decided to relax the gender mainstreaming description a little in the gender assessment and not aim for gender perspectives and gender equality being central to all activities, but instead to most, if not all, activities. The gender rating takes gender mainstreaming as the goal for projects, but has added an even higher goal of being gender transformative to identify those projects that go beyond gender mainstreaming and could be an example to others when it comes to gender.

OPS5 Technical Document 16 (GEF IEO 2013e) uses the following project rating categories for gender mainstreaming:

- **Serious omission.** The project contained little or no reference to gender issues, but it should have included gender concerns because of the nature of the project.
- **Not sufficient.** Gender issues were mentioned in the project documents, but no real attention was paid to these concerns in project activities.

- **Gender mainstreamed.** Gender issues were integrated into the project.
- **Not relevant.** Gender and social issues were not considered and were not expected to be considered in the project.

In line with the gender rationale of the UNDP Gender Marker (UNDP 2013), it was questioned whether it is appropriate to have initiatives where gender equality and/or women's empowerment issues can be considered not applicable or not relevant. The not relevant category was retained, but with the caveat that in practice it is rare for projects not to have any gender relevance, given that they would then be assumed to have no relevance to humans. The rating category "gender blind" was added for those projects that do not demonstrate any gender awareness but should. "Gender aware" and "gender sensitive" were chosen as categorizations because their connotations are seen as more positive than the categories used in the above-mentioned substudy.

The reviewer provided a gender rating for NAPA implementation projects as follows:

- **Gender blind.** The project does not demonstrate awareness of the set of roles, rights, responsibilities, and power relations associated with being male or female.
- **Gender aware.** The project recognizes the economic/social/political roles, rights, entitlements, responsibilities, obligations, and power relations socially assigned to men and women, but might work around existing gender differences and inequalities or does not sufficiently show how it addresses gender differences and promotes gender equalities.
- **Gender sensitive.** The project adopts gender-sensitive methodologies (a gender analysis is undertaken, gender-disaggregated data are collected, gender-sensitive indicators are integrated

in M&E) to address gender differences and promote gender equality.

- **Gender mainstreamed.** The project ensures that gender perspectives and attention to the goal of gender equality are central to most, if not all, activities. It assesses the implications for women and men of any planned action, including legislation, policies, or programs, in any area and at all levels.
- **Gender transformative.** The project goes beyond gender mainstreaming and facilitates a critical examination of gender norms, roles, and relationships; strengthens or creates systems that support gender equity; and/or questions and changes gender norms and dynamics.
- **Not gender relevant.** Gender plays no role in the planned intervention. (Note that in practice it is rare for projects not to have any gender relevance. If a project touches upon the lives of people, either directly or indirectly, it has gender relevance.)

Terminal evaluation report review guidelines

The assessments in the terminal evaluation reviews are based largely on the information presented in the terminal evaluation report. If insufficient information is presented in a terminal evaluation report to assess a specific issue such as, for example, quality of the project's M&E system or a specific aspect of sustainability, then the preparer of the terminal evaluation reviews briefly indicates so in that section and elaborates on this if appropriate in the section of the review that addresses quality of the report. If the review's preparer possesses other first-hand information such as, e.g., from a field visit to the project, and this information is relevant to the terminal evaluation review, then it should be included in the review under the heading "Additional independent information available to the reviewer." The preparer of the terminal evaluation

review has taken into account all independent relevant information when verifying ratings.

Criteria for outcome ratings

Based on the information provided in the terminal evaluation report, the terminal evaluation review makes an assessment of the extent to which the project's major relevant objectives were achieved or are expected to be achieved, the relevance of the project results, and the project's cost-effectiveness. The ratings on the outcomes of the project are based on performance on the following criteria:

- **Relevance.** Were project outcomes consistent with the focal area/operational program strategies and country priorities? Explain.
- **Effectiveness.** Are project outcomes commensurate with the expected outcomes (as described in the project document) and the problems the project was intended to address (i.e., the original or modified project objectives)?
- **Efficiency.** Include an assessment of outcomes and impacts in relation to inputs, costs, and implementation times based on the following questions: Was the project cost-effective? How does the project's cost/time versus outcomes equation compare to that of similar projects? Was the project implementation delayed due to any bureaucratic, administrative, or political problems and did that affect cost-effectiveness?

An overall rating is provided according to the achievement and shortcomings in the three criteria ranging from highly satisfactory, satisfactory, moderately satisfactory, moderately unsatisfactory, unsatisfactory, highly unsatisfactory, and unable to assess.

The reviewer of the terminal evaluation provides a rating under each of the three criteria (relevance, effectiveness, and efficiency). Relevance of outcomes is rated on a binary scale: a satisfactory or an unsatisfactory rating is provided. If an unsatisfactory rating has been provided on this

criterion, the overall outcome achievement rating may not be higher than unsatisfactory.” Effectiveness and efficiency are rated as follows:

- **Highly satisfactory.** The project had no shortcomings.
- **Satisfactory.** The project had minor shortcomings.
- **Moderately satisfactory.** The project had moderate shortcomings.
- **Moderately unsatisfactory.** The project had noticeable shortcomings.
- **Unsatisfactory.** The project had major shortcomings.
- **Highly unsatisfactory.** The project had severe shortcomings.
- **Unable to assess.** The reviewer was unable to assess outcomes on this dimension.

The calculation of the overall outcomes score of projects considers all three criteria, of which the relevance criterion is applied first—the overall outcome achievement rating may not be higher than unsatisfactory. The second constraint applied is that the overall outcome achievement rating may not be higher than the effectiveness rating. The third constraint applied is that the overall rating may not be higher than the average score of the effectiveness and efficiency criteria calculated using the following formula:

$$\text{Outcomes} = (b + c) \div 2$$

In case the average score is lower than the score obtained after application of the first two constraints, then the average score will become the overall score. The score is converted into an overall rating with midvalues rounded upwards.

Impacts

Has the project achieved impacts, or is it likely that outcomes will lead to the expected impacts?

Impacts are understood to include positive and negative, primary and secondary long-term effects produced by a development intervention. They could be produced directly or indirectly and could be intended or unintended. The terminal evaluation review’s preparer takes note of any mention of impacts, especially global environmental benefits, in the terminal evaluation report including the likelihood that the project outcomes will contribute to their achievement. Negative impacts mentioned in the terminal evaluation report should be noted and recorded in section 2 of the terminal evaluation reviews template in the subsection on “Issues that require follow-up.” Although project impacts are to be described, they will not be rated.

Criteria for sustainability ratings

Sustainability will be understood as the likelihood of continuation of project benefits after completion of project implementation. To assess sustainability, the terminal evaluation reviewer identifies and assesses key risks that could undermine continuation of benefits at the time of the evaluation. Some of these risks might include the absence of or inadequate financial resources, an enabling legal framework, commitment from key stakeholders, and enabling economy. The following four types of risk factors are assessed by the terminal evaluation reviewer to rate the likelihood of sustainability of project outcomes: financial, sociopolitical, institutional frameworks and governance, and environmental.

The following questions provide guidance to assess if the factors are met:

- **Financial resources.** What is the likelihood that financial resources will be available to continue the activities that result in the continuation of benefits (income-generating activities, and trends that may indicate that it is likely that in future there will be adequate financial resources for sustaining project outcomes)?

- **Sociopolitical.** Are there any social or political risks that can undermine the longevity of project outcomes? What is the risk that the level of stakeholder ownership is insufficient to allow for project outcomes/benefits to be sustained? Do the various key stakeholders see it as being in their interest that the project benefits continue to flow? Is there sufficient public/stakeholder awareness in support of the long-term objectives of the project?
- **Institutional framework and governance.** Do the legal frameworks, policies, and governance structures and processes pose any threat to the continuation of project benefits? While assessing this parameter, consider if the required systems for accountability and transparency, and the required technical know-how, are in place.
- **Environmental.** Are there any environmental risks that can undermine the future flow of project environmental benefits? The terminal evaluation should assess whether certain activities in the project area will pose a threat to the sustainability of project outcomes. For example, construction of dam in a protected area could inundate a sizable area and thereby neutralize the biodiversity-related gains made by the project.

The reviewer provides a rating under each of the four criteria (financial resources, sociopolitical, institutional, and environmental) as follows:

- **Likely.** There are no risks affecting that criterion of sustainability.
- **Moderately likely.** There are moderate risks that affect that criterion of sustainability.
- **Moderately unlikely.** There are significant risks that affect that criterion of sustainability.
- **Unlikely.** There are severe risks affecting that criterion of sustainability.

- **Unable to assess.** The reviewer was unable to assess outcomes on this dimension.
- **Not applicable.** This dimension is not applicable to the project.

A number rating 1–4 is provided in each category according to the achievement and shortcomings, with likely = 4, moderately likely = 3, moderately unlikely = 2, unlikely = 1, and not applicable = 0. A rating of unable to assess will be used if the reviewer is unable to assess any aspect of sustainability. In such instances, it may not be possible to assess the overall sustainability.

All the risk dimensions of sustainability are critical. Therefore, the overall rating will not be higher than the rating of the dimension with the lowest rating. For example, if the project has an unlikely rating in either of the dimensions, then its overall rating cannot be higher than unlikely, regardless of whether higher ratings in other dimensions of sustainability produce a higher average.

Criteria for assessment of quality of project M&E systems

GEF projects are required to develop M&E plans by the time of work program inclusion, to appropriately budget M&E plans, and to fully carry out the M&E plan during implementation. Project managers are also expected to use the information generated by the M&E system during project implementation to improve and adapt the project to changing situations. Given the long-term nature of many GEF projects, projects are also encouraged to include long-term monitoring plans that measure results (such as environmental results) after project completion. Terminal evaluation reviews will include an assessment of the achievement and shortcomings of M&E systems.

- **M&E design.** The project should have a sound M&E plan to monitor results and track progress in achieving project objectives. An M&E plan should include a baseline (including data,

methodology, etc.), SMART (specific, measurable, achievable, realistic, and timely) indicators and data analysis systems, and evaluation studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified. Questions to guide this assessment include: In retrospect, was the M&E plan at entry practicable and sufficient (sufficient and practical indicators identified; timely baseline; targets created; effective use of data collection; analysis systems including studies and reports; practical organization and logistics in terms of what, who, and when for M&E activities)?

- **M&E plan implementation.** The M&E system was in place and allowed the timely tracking of results and progress toward project objectives throughout the project. Annual project reports were complete and accurate, and with well-justified ratings. The information provided by the M&E system was used to improve and adapt project performance. An M&E system should be in place with proper training for parties responsible for M&E activities to ensure that data will continue to be collected and used after project closure. Question to guide this assessment include: Did the project M&E system operate throughout the project? How was M&E information used during the project? Did it allow for tracking of progress toward project objectives? Did the project provide proper training for parties responsible for M&E activities to ensure data will continue to be collected and used after project closure?
- **Other questions.** This includes questions on funding and whether the M&E system was a good practice.

- Was sufficient funding provided for M&E in the budget included in the project document?
- Was sufficient and timely funding provided for M&E during project implementation?
- Can the project M&E system be considered a good practice?

A number rating 1–6 is for each criterion according to the achievement and shortcomings, with highly satisfactory = 6, satisfactory = 5, moderately satisfactory = 4, moderately unsatisfactory = 3, unsatisfactory = 2, highly unsatisfactory = 1, and unable to assess = no rating. The reviewer of the terminal evaluation provides a rating under each of the three criteria (M&E design, M&E plan implementation, and M&E properly budgeted and funded) as follows:

- **Highly satisfactory.** There were no shortcomings in that criterion of the project M&E system.
- **Satisfactory.** There were minor shortcomings in that criterion of the project M&E system.
- **Moderately satisfactory.** There were moderate shortcomings in that criterion of the project M&E system.
- **Moderately unsatisfactory.** There were significant shortcomings in that criterion of the project M&E system.
- **Unsatisfactory.** There were major shortcomings in that criterion of the project M&E system.
- **Highly unsatisfactory.** There was no project M&E system.

The rating for M&E during implementation will be the overall rating of the M&E system.

D.3 Results for the NAPA Country Reports

Q5 Lead Implementing Agency

	No.	%
UNDP	33	65.0
UNEP	15	29.0
World Bank	3	6.0
Total	51	100.0

Q6 Main focal area

	No.	%
Climate change	51	100.0
Total	51	100.0

Q7 Project status

	No.	%
CEO endorsed/approved	1	2.0
Completed	50	98.0
Total	51	100.0

Q8 Part of GEF replenishment phase

	No.	%
GEF-3	44	86.0
GEF-4	4	8.0
GEF-5	3	6.0
Total	51	100.0

Q9 Main trust fund for funding

	No.	%
LDCF	51	100.0
Total:	51	100.0

Q10 Type of in-country executing partner/agency

	No.	%
Government	49	96.0
GEF Agency	2	4.0
Total:	51	100.0

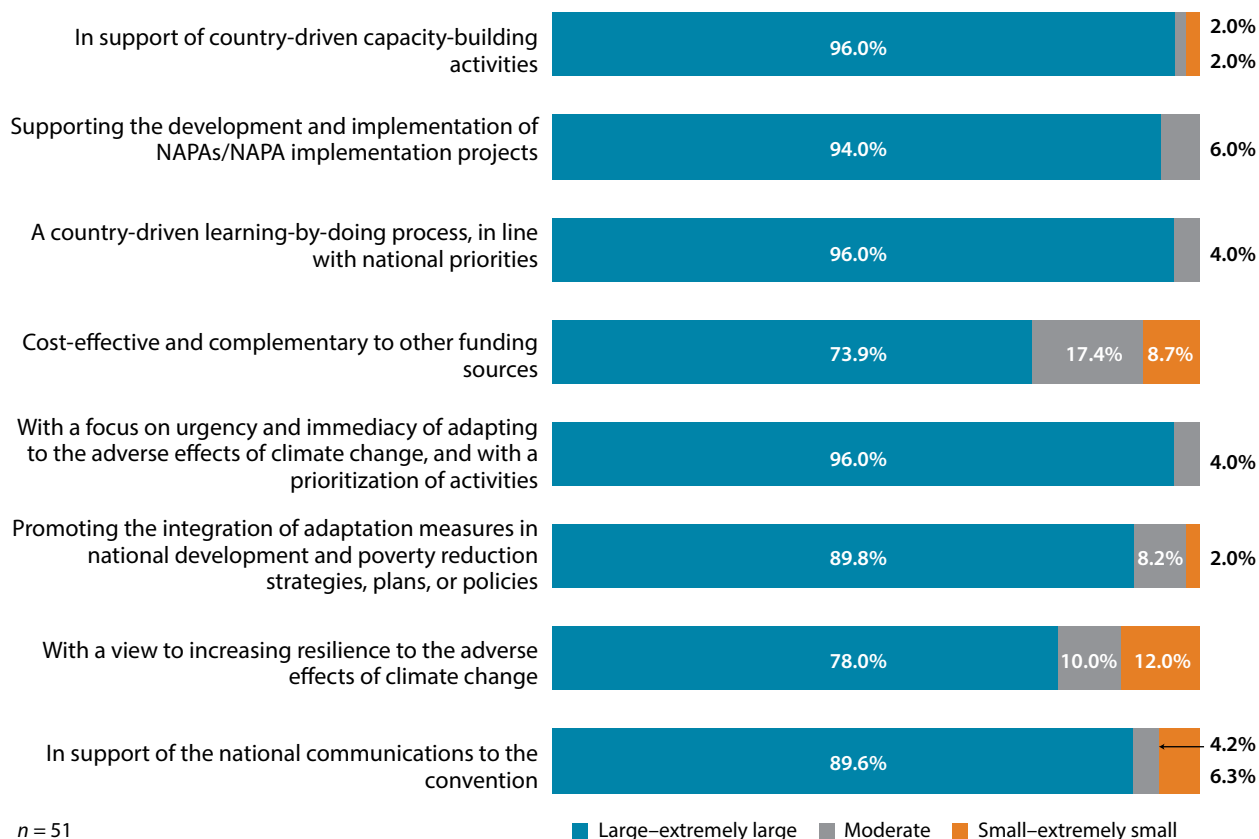
Q73 Choose primary NAPA priority areas identified

	No.	%
Agriculture (including animal husbandry and fishery)	49	96.0
Climate information systems	48	94.0
Disaster risk management	46	90.0
Natural resource management; fragile ecosystems (incl. mountain ecosystems, mangroves, forestry, wildlife, land degradation and management)	32	63.0
Coastal zone management (other than mangrove ecosystems/reconstruction)	32	63.0
Water resource management	30	59.0
Human health	29	57.0
Infrastructural development	26	51.0
Renewable energy/energy efficiency/energy security	23	45.0
Climate education	19	37.0
Tourism	16	31.0
Climate-smart urban areas	13	25.0
Sustainable rural livelihoods (other than agriculture and natural resource management)	9	18.0
Other (please specify) ^a	8	16.0
Total	51	100.0

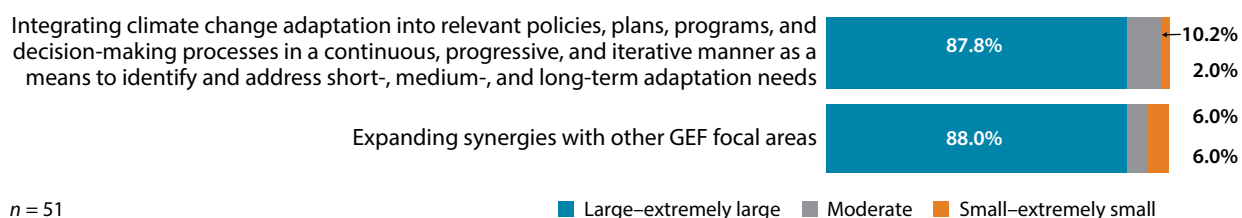
NOTE: Multiple answers possible.

a. Institutional capacity development" mentioned six times.

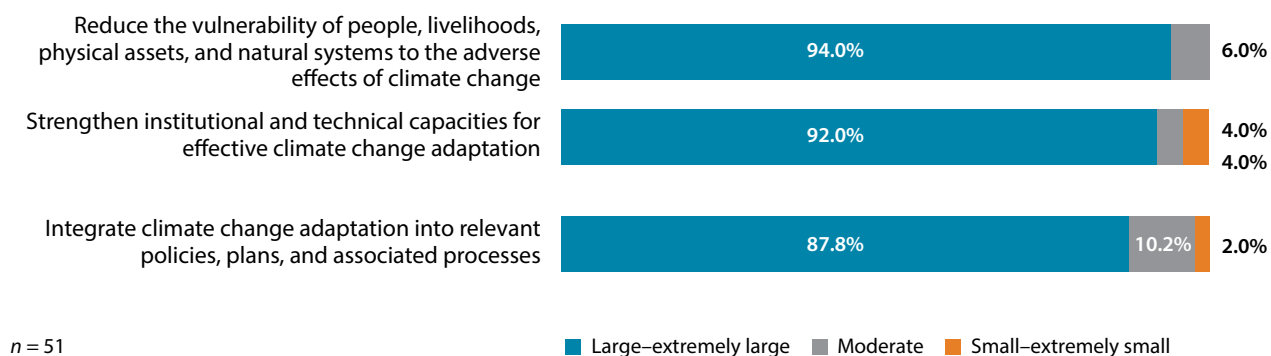
Q74 Alignment of NAPA country report with UNFCCC guidance and decisions



Q75 Alignment of NAPA country report with GEF adaptation strategic pillars



Q76 Alignment of NAPA country report with GEF adaptation strategic objectives



Q77 Select focal areas—other than the main focal area—to which the NAPA country report (potentially) contributes

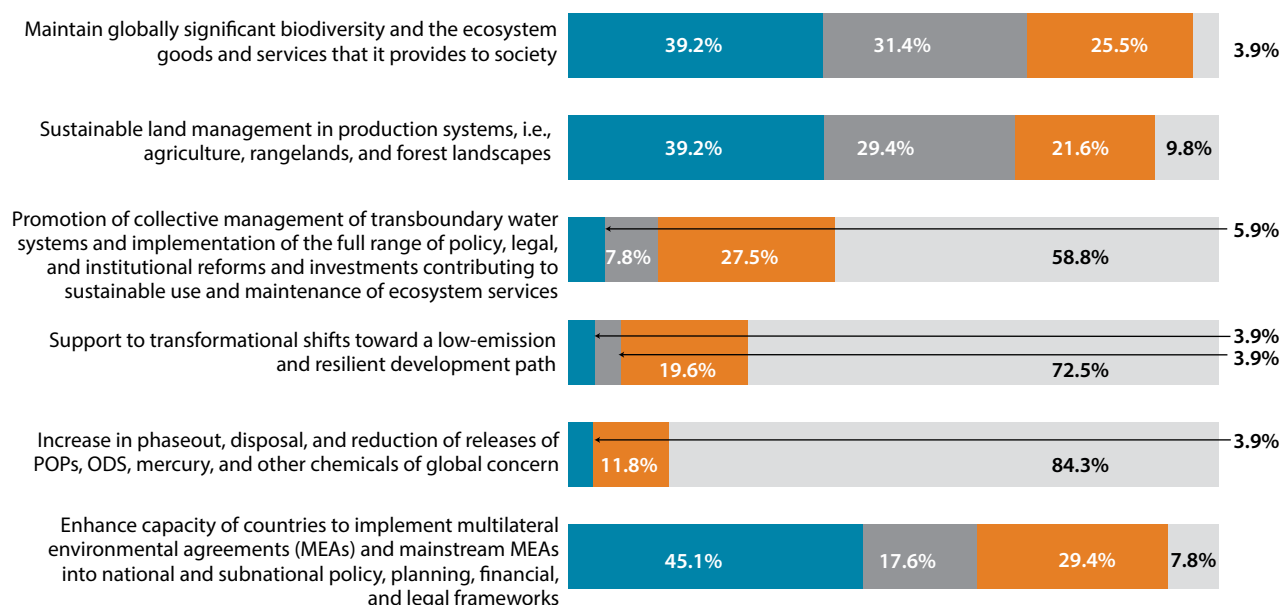
	No.	%
Biodiversity	48	94.1
Land degradation	40	78.4
International waters	8	15.7
POPs	4	7.8
Mercury	0	0.0
ODS	0	0.0
No focal areas other than climate change apply	1	2.0
Total	51	100.0

NOTE: Multiple answers possible.

Q78 Overall assessment of NAPA Country Report's alignment with the country's environmental and sustainable development agendas

	No.	%
Very high: The mainstreaming of NAPA priorities into the country's environmental and sustainable development agendas is clearly explained, including an overview of linkages with existing and developing policies, plans and strategies	37	72.6
High: The mainstreaming of NAPA priorities into the country's environmental and sustainable development agendas is mentioned in general terms, but linkages to specific existing and developing policies, plans and strategies are incomplete or lacking	12	23.5
Low: The mainstreaming of NAPA priorities into the country's environmental and sustainable development agendas is not adequately addressed	1	2.0
Not: The NAPA does not address ANY linkages between NAPA priorities and the country's environmental and sustainable development agendas	0	0.0
Unable to assess	1	2.0
Total	51	100.0

Q79 Potential contribution of NAPA country report to GEF global environmental benefits



n = 51

Large-extremely large Moderate Small-extremely small Not applicable

D.4 Results for the NAPA Implementation Projects

Q5 Lead Implementing Agency

	No.	%
UNDP	114	49.8
UNEP	36	15.7
FAO	26	11.4
AfDB	19	8.3
World Bank	16	7.0
International Fund for Agricultural Development	9	3.9
Asian Development Bank	6	2.6
UNIDO	2	0.9
IUCN	1	0.4
Total	229	100.0

Q6 Main focal area

	No.	%
Climate change	218	95.2
Multifocal	11	4.8
Total	229	100.0

Q7 Project status

	No.	%
Canceled or dropped	12	5.2
Pending	15	6.6
Program manager recommended	26	11.4
PPG approved	3	1.3
Council approved	40	17.5
CEO endorsed/approved	19	8.3
Under implementation	101	44.1
Completed	13	5.7
Total	229	100.0

Q8 Part of GEF replenishment phase

	No.	%
GEF-3	2	0.9
GEF-4	43	18.8
GEF-5	138	60.3
GEF-6	46	20.1
Total	229	100.0

Q9 Main trust fund for funding

	No.	%
LDCF	215	93.9
Multitrust Fund	14	6.1
Total	229	100.0

Project status by GEF replenishment phase

	GEF-3		GEF-4		GEF-5		GEF-6		Total	
	No.	%	No.	%	No.	%	No.	%	No.	%
Canceled or dropped			6	2.6	6	2.6			12	5.2
Pending					1	0.4	14	6.1	15	6.6
Program manager recommended					2	0.9	24	10.5	26	11.4
PPG approved					2	0.9	1	0.4	3	1.3
Council approved					35	15.3	5	2.2	40	17.5
CEO endorsed/approved					18	7.9	1	0.4	19	8.3
Under implementation			26	11.4	74	32.3	1	0.4	101	44.1
Completed	2	0.9	11	4.8					13	5.7
Total by phase	2	0.9	43	18.8	138	60.3	46	20.1	229	100.0
Total by phase, excluding canceled	2	0.9	37	17.1	132	60.8	46	21.2	217	100.0

Q10 Type of in-country executing partner/agency

	No.	%
Government	208	90.8
Other multilateral non-GEF agency	9	3.9
GEF agency	7	3.1
Private sector	1	0.4
Other partner	1	0.4
Unknown	3	1.3
Total	229	100.0

Q28 What project type best describes this implementation project?

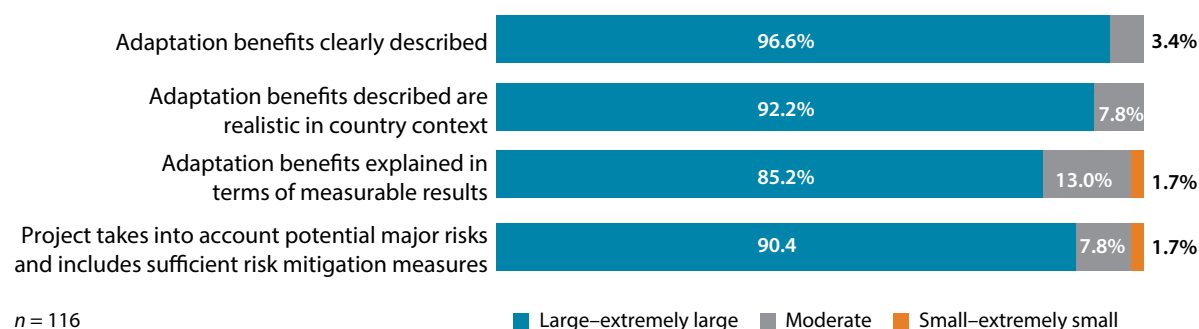
	MSP		FSP		Total	
	No.	%	No.	%	No.	%
Country	10	4.4	192	83.8	202	88.2
Child of regional parent			10	4.4	10	4.4
Regional parent			12	5.2	12	5.2
Global parent	3	1.3	2	0.9	5	2.2
Total	13	5.7	216	94.3	229	100.0

Q30 The adaptation benefits are clearly described

Q31 The adaptation benefits described are realistic in the country's context

Q32 The adaptation benefits are explained in terms of measurable results

Q33 The project takes into account potential major risks and includes sufficient risk mitigation measures



Q34 Probability that the project will deliver tangible adaptation benefits in line with set objectives

	No.	%
Very high: The adaptation issues to be addressed are clearly explained, and adaptation benefits are realistic and measurable. The project baseline is discussed and all project components take into account existing environmental, governmental, sectoral and other potential risks, and include risk mitigation measures.	61	52.6
High: Most of the adaptation issues to be addressed are clearly explained, most adaptation benefits are realistic though not always measurable. The project baseline needs improving, as does the risks appreciation and formulation of risk mitigation measures.	53	45.7
Low: Most of the adaptation issues to be addressed are clearly explained though the project does not present the most realistic options for the issues identified. Measurability leaves much to be desired, as does the baseline. Some project risks have been identified, but risk mitigation measures are mostly absent.	1	0.9
Very low: Adaptation issues as well as the project's adaptation benefits are poorly described. A baseline is absent and a project risk analysis is lacking.	0	0.0
Unable to assess	1	0.9
Total	116	100.0

NOTE: Quality at entry review took place for all CEO endorsed/approved or under implementation in-country projects. This included child projects, but excluded the regional and global parents.

Probability of delivering tangible adaptation benefits by GEF Implementing Agency

	UNDP		UNEP		FAO		AfDB		World Bank	
	No.	%	No.	%	No.	%	No.	%	No.	%
Very high	35	54.7	7	63.6	5	55.6	2	22.2	5	41.7
High	29	45.3	4	36.4	3	33.3	7	77.8	6	50.0
Low					1	11.1				
Very low										
Unable to assess									1	8.3
Total	64	100.0	11	100.0	9	100.0	9	100.0	12	100.0

Q38 Cofunding sources

By number and	Times applied		As % of total
	No.	%	
GEF agency	202	88.2	40.8
National government	196	85.6	38.6
Other multilateral non-GEF agency	64	27.9	8.8
Bilateral aid agency	61	26.6	6.7
CSO/(I)NGO	27	11.8	0.6
Local government	17	7.4	2.5
Beneficiaries	12	5.2	≈ 0.0
Private sector	9	3.9	0.5
Foundation/trust fund	3	1.3	0.6
Microfinance institute	1	0.4	0.1
Other, namely	11	4.8	0.9
Total	229	100.0	100.0

Q41 Any indication of delays?

	No.	%
Yes	45	20.7
No	172	79.3
Total	217	100.0

NOTE: Excludes canceled projects.

Delays by GEF replenishment phase

	Yes	No	% delayed
GEF-3	0	2	0.0
GEF-4	28	9	75.7
GEF-5	16	116	12.1
GEF-6	1	45	2.2
Total	45	172	

NOTE: Excludes canceled projects. *n* = 217.

Q44 Choose primary NAPA priorities addressed

	No.	%
Agriculture (including animal husbandry and fishery)	158	72.8
Water resource management	134	61.8
Climate information systems	131	60.4
Natural resource management; fragile ecosystems (incl. mountain ecosystems, mangroves, forestry, wildlife, land degradation and management)	120	55.3
Disaster risk management	110	50.7
Infrastructural development	103	47.5
Climate education	101	46.5
Sustainable rural livelihoods (other than agriculture and natural resource management)	55	25.3
Coastal zone management (other than mangrove ecosystems/reconstruction)	54	24.9
Institutional capacity building ^a	41	18.9
Tourism	20	9.2
Human health	18	8.3
Renewable energy/energy efficiency/energy security	12	5.5
Climate-smart urban areas	12	5.5
Other, please specify ^b	9	4.1
Total	217	

NOTE: Multiple answers possible. Excludes canceled projects.

a. The institutional capacity building category came from the other answer category.

b. Included technology transfer, adaptation mainstreaming, financial risk management, and weather insurance.

Primary NAPA priorities by Implementing Agency

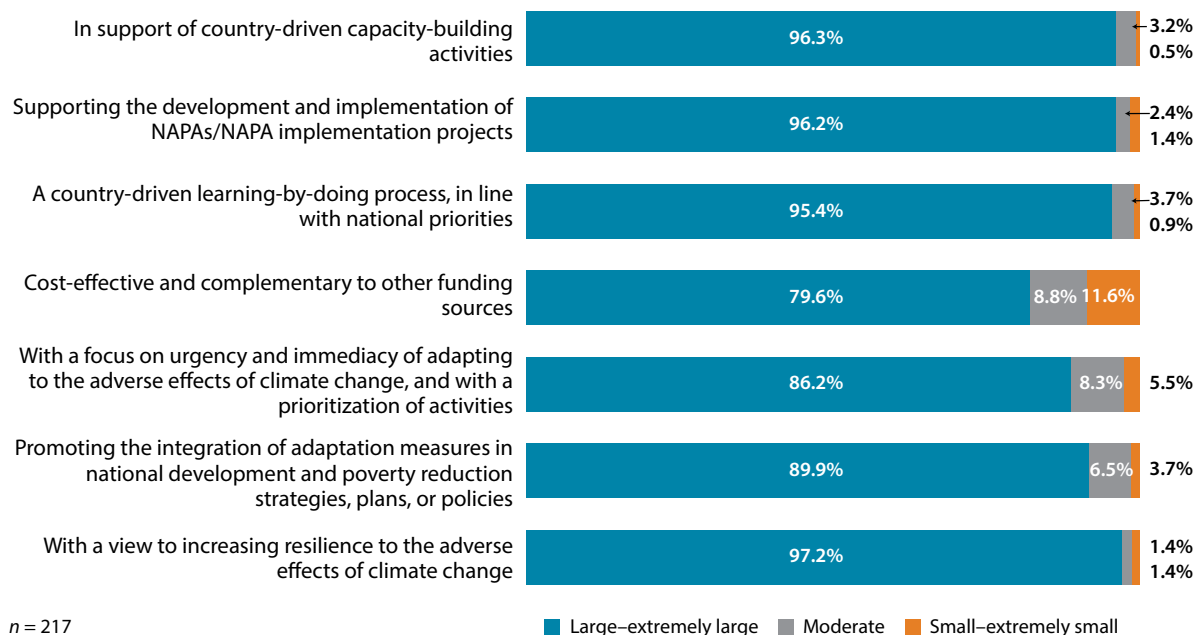
	UNDP		UNEP		FAO		AfDB		World Bank	
	No.	%	No.	%	No.	%	No.	%	No.	%
Agriculture	75	69.4	22	66.7	25	96.2	14	73.7	10	71.4
Water resource management	59	54.6	21	63.6	13	50.0	15	78.9	11	78.6
Climate information systems	78	72.2	19	57.6	15	57.7	5	26.3	7	50.0
Natural resource management; fragile ecosystems	55	50.9	24	72.7	18	69.2	8	42.1	9	64.3
Disaster risk management	64	59.3	13	39.4	9	34.6	8	42.1	11	78.6
Infrastructural development	59	54.6	15	45.5	3	11.5	10	52.6	4	28.6
Climate education	43	39.8	20	60.6	14	53.8	11	57.9	5	35.7
Sustainable rural livelihoods	30	27.8	8	24.2	7	26.9	3	15.8	4	28.6
Coastal zone management	28	25.9	8	24.2	6	23.1	4	21.1	5	35.7
Tourism	10	9.3	4	12.1	2	7.7	1	5.3	3	21.4
Human health	9	8.3	3	9.1			6	31.6		
Renewable energy/energy efficiency/energy security	5	4.6	1	3.0			1	5.3	2	14.3
Climate-smart urban areas	5	4.6	3	9.1			1	5.3		
Other, please specify ^a	28	25.9	9	27.3	5	19.2	3	15.8	2	14.3
Total	108	100.0	33	100.0	26	100.0	19	100.0	14	100.0

NOTE: Multiple answers possible. Excludes canceled projects.

a. Included institutional capacity building, technology transfer, adaptation mainstreaming, financial risk management, and weather insurance.

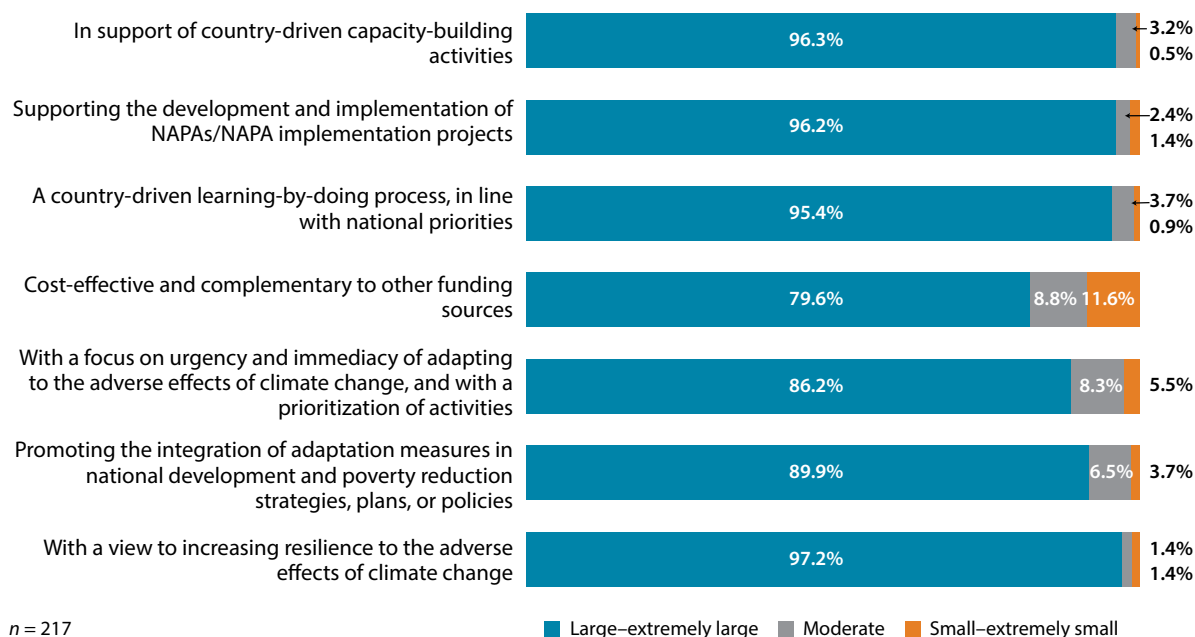
Q45 Alignment of NAPA implementation project with UNFCCC guidance and decisions

The correlation coefficient between the data set of this question for NAPA country reports and NAPA implementation projects is $r = 0.92$.



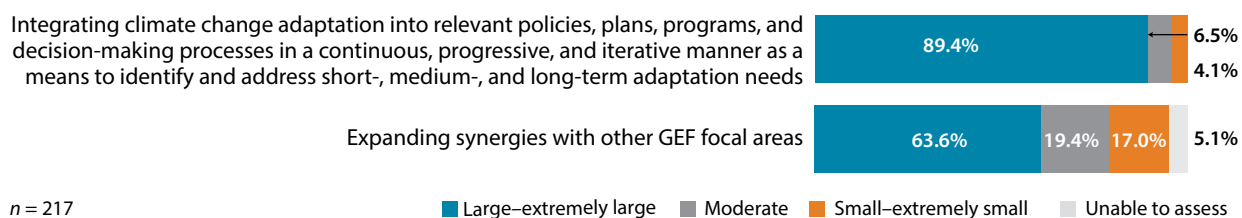
Q45 Alignment of NAPA implementation project with UNFCCC guidance and decisions

Correlation coefficient between the data set of this question for NAPA country reports and NAPA implementation projects is $r = 0.92$.



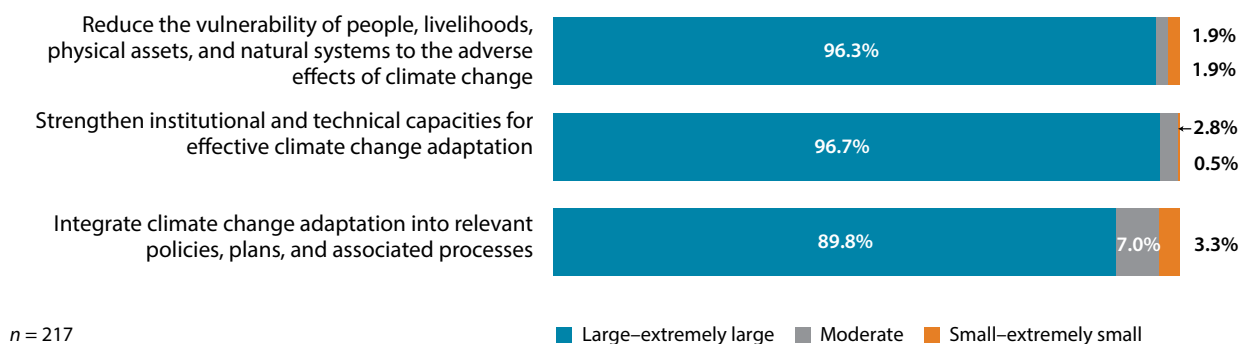
Q46 Alignment of NAPA implementation project with GEF adaptation strategic pillars

Correlation coefficient between the data set of this question for NAPA country reports and NAPA implementation projects is $r = 0.88$.



Q47 Alignment of NAPA implementation project with GEF adaptation strategic objectives

Correlation coefficient between the data set of this question for NAPA country reports and NAPA implementation projects is $r = 0.96$.



Q48 Select focal areas—other than the main focal area—to which the NAPA implementation project (potentially) contributes

	No.	%
Biodiversity	101	46.5
Land degradation	125	57.6
International waters	13	6.0
POPs	2	0.9
Mercury	2	0.9
ODS	2	0.9
No focal areas other than climate change apply	67	30.9
Total	217	100.0

NOTE: Multiple answers possible.

Focal areas, other than the main focal area, by GEF replenishment phase

	GEF-3		GEF-4		GEF-5		GEF-6		Total	
	No.	%	No.	%	No.	%	No.	%	No.	%
Biodiversity			12	32.4	71	53.8	18	39.1	101	46.5
Land degradation			20	54.1	80	60.6	25	54.3	125	57.6
International waters			2	5.4	9	6.8	2	4.3	13	6.0
POPs				0.0		0.0	2	4.3	2	0.9
Mercury				0.0		0.0	2	4.3	2	0.9
ODS				0.0		0.0	2	4.3	2	0.9
No focal areas other than climate change apply	2	100.0	12	32.4	34	25.8	19	41.3	67	30.9
Total	2	100.0	37	100.0	132	100.0	46	100.0	217	100.0

NOTE: Multiple answers possible.

Focal areas, other than the main focal area, by GEF Implementing Agency

	UNDP		UNEP		FAO		AfDB		World Bank	
	No.	%	No.	%	No.	%	No.	%	No.	%
Biodiversity	41	31.5	22	66.7	16	61.5	7	36.8	6	42.9
Land degradation	54	41.5	21	63.6	21	80.8	11	57.9	8	57.1
International waters	6	4.6	2	6.1	2	7.7	1	5.3	1	7.1
POPs	1	0.8								
Mercury	1	0.8								
ODS	1	0.8								
No focal areas other than climate change apply	41	31.5	5	15.2	3	11.5	7	36.8	5	35.7
Total	130	100.0	33	100.0	26	100.0	19	100.0	14	100.0

NOTE: Multiple answers possible. Data are only presented for the top five GEF Implementing Agencies.

Q49 Overall assessment of NAPA implementation project's alignment with NAPA priorities

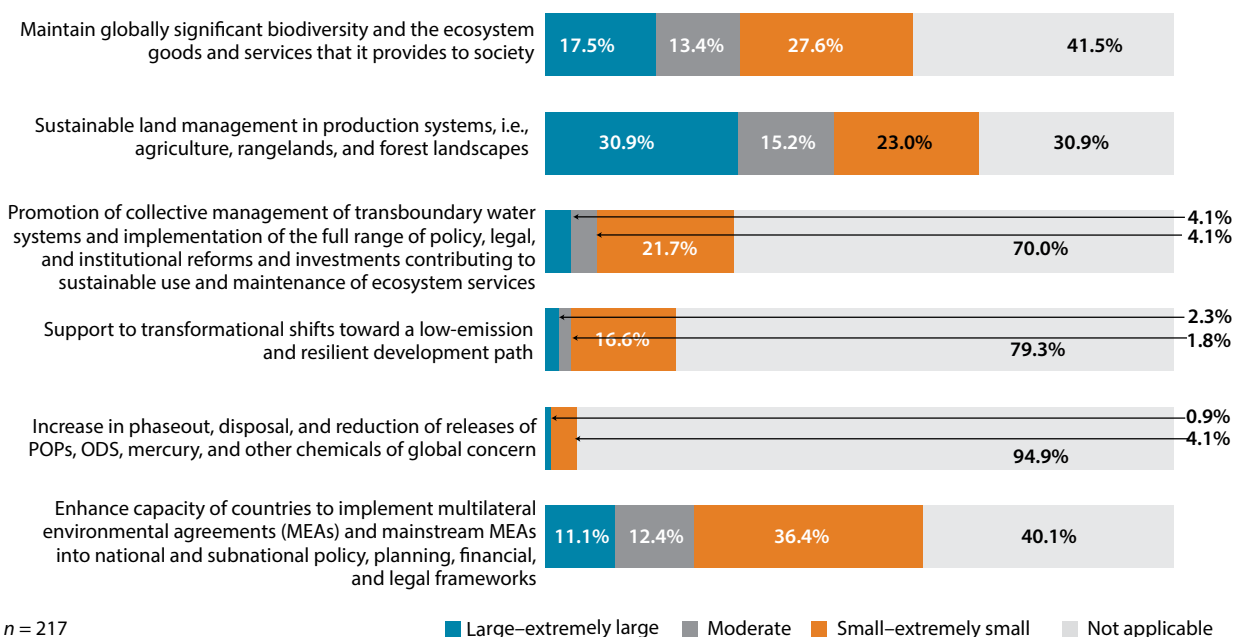
	No.	%
Very high: The implementation projects' outcome areas address primary priority areas as listed/ outlined in the NAPA country report	190	87.6
High: The implementation projects' outcome areas do not address primary priority areas as listed/ outlined in the NAPA country report, but address other priorities that are outlined in the NAPA country report	23	10.6
Low: The implementation projects' might touch upon some priority areas, but do not address specific priorities as outlined in the NAPA country report in a structural manner	2	0.9
Not: The implementation projects do not address <i>any</i> of the priorities (primary or other) outlined in the NAPA country report	0	0.0
Unable to assess	2	0.9
Total	217	100.0

NAPA implementation project's alignment with NAPA priorities, by GEF Implementing Agency

	UNDP		UNEP		FAO		AfDB		World Bank	
	No.	%	No.	%	No.	%	No.	%	No.	%
Very high	95	88.0	29	87.9	22	84.6	17	89.5	13	92.9
High	11	10.2	3	9.1	3	11.5	2	10.5	1	7.1
Low			1	3.0	1	3.8				
Very low										
Unable to assess	2	1.9								
Total:	108	100.0	33	100.0	26	100.0	19	100.0	14	100.0

Q50 Potential contribution of NAPA implementation project to GEF global environmental benefits

Correlation coefficient between the data set of this question for NAPA Country Reports and NAPA implementation projects is $r = 0.86$.



Q51 Has the implementation project indicated risks—including climatic as well as non-climatic risks—that might prevent the project objectives from being achieved?

	No.	%
Yes, sufficiently: A sufficiently wide variety of risks, climatic as well as non-climatic, has been identified, including a description of their potential impact as well as the probability of each risk materializing within the project's lifetime.	122	56.2
Yes, but not sufficiently: A selection of risks have been identified, but some risk factors one would expect in the country's context have not been mentioned, and risk impact and/or probability are missing in some instances.	71	32.7
Yes, but with serious omissions: Some risks have been identified, but a number of major risk factors are missing. The risk impact is not described for all risks and the probability is missing for most.	20	9.2
No: There is no clear risk appreciation.	4	1.8
Total	217	100.0

Q52 Does the NAPA implementation project provide risk mitigation strategies, or actions to be taken in the case that identified risks would materialize?

	No.	%
Yes, for all or most	144	66.4
Yes, for some	38	17.5
No	35	16.1
Total:	217	100.0

Q53 Does the NAPA implementation project include a gender mainstreaming strategy or plan?

	No.	%
Yes	63	29.0
No, but its development is implied	103	47.5
No	51	23.5
Total:	217	100.0

Inclusion of a gender mainstreaming strategy or plan by GEF replenishment phase

	GEF-3		GEF-4		GEF-5		GEF-6		Total	
	No.	%	No.	%	No.	%	No.	%	No.	%
Yes			3	8.1	44	33.3	16	34.8	63	29.0
No, but its development is implied			16	43.2	61	46.2	26	56.5	103	47.5
No	2	100.0	18	48.6	27	20.5	4	8.7	51	23.5
Total	2	100.0	37	100.0	132	100.0	46	100.0	217	100.0

Q54 Does the NAPA implementation project incorporate a gender-responsive results framework, including gender-disaggregated indicators?

	No.	%
Yes	68	31.3
No, but its development is implied	99	45.6
No	50	23.0
Total:	217	100.0

Inclusion of gender-responsive results frameworks by GEF replenishment phase

	GEF-3		GEF-4		GEF-5		GEF-6		Total	
	No.	%	No.	%	No.	%	No.	%	No.	%
Yes			7	18.9	56	42.4	5	10.9	68	31.3
No, but its development is implied			17	45.9	51	38.6	31	67.4	99	45.6
No	2	100.0	13	35.1	25	18.9	10	21.7	50	23.0
Total	2	100.0	37	100.0	132	100.0	46	100.0	217	100.0

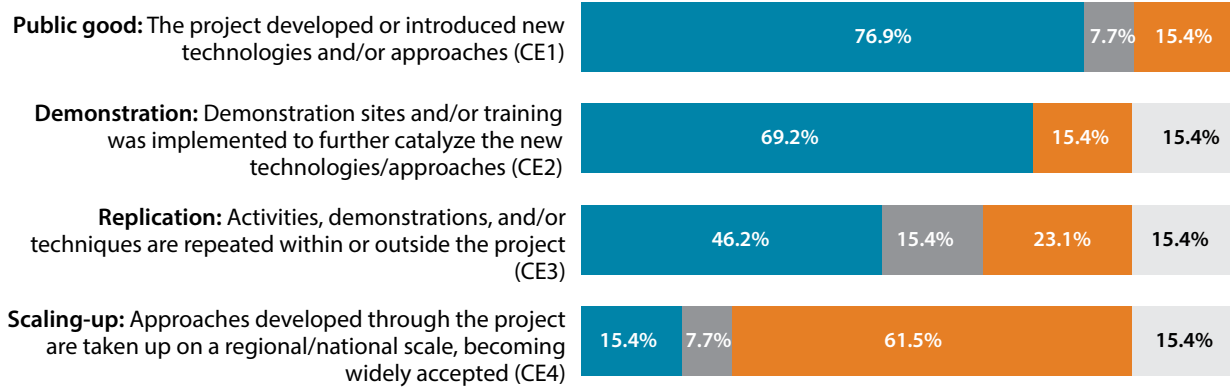
Q55 Overall assessment of implementation project's inclusion of the gender component

	No.	%
Gender blind: Project does not demonstrate awareness of the set of roles, rights, responsibilities, and power relations associated with being male or female.	16	7.4
Gender aware: Project recognizes the economic/social/political roles, rights, entitlements, responsibilities, obligations and power relations socially assigned to men and women, but at times works around existing gender differences and inequalities.	71	32.7
Gender sensitive: Project adopts gender sensitive methodologies (a gender analysis is undertaken, gender disaggregated data are collected, gender sensitive indicators are integrated in M&E) to address gender differences and promote gender equality.	99	45.6
Gender mainstreamed: Project ensures that gender perspectives and attention to the goal of gender equality are central to most, if not all, activities. It assesses the implications for women and men of any planned action, including legislation, policies or programs, in any area and at all levels.	30	13.8
Gender transformative: Project facilitates a critical examination of gender norms, roles, and relationships; strengthened or created systems that support gender equity; and/or questioned and changed gender norms and dynamics.	1	0.5
Not gender relevant: Gender plays no role in the planned intervention. (Note that in practice it is rare for projects to not have any gender relevance. If a project touches upon the lives of people, either directly or indirectly, it has gender relevance).	0	0.0
Total	217	100.0

Overall assessment of inclusion of the gender component, by GEF replenishment phase

	GEF-3		GEF-4		GEF-5		GEF-6		Total	
	No.	%	No.	%	No.	%	No.	%	No.	%
Gender blind			6	16.2	8	6.1			14	6.5
Gender aware			13	35.1	43	32.6	15	32.6	71	32.7
Gender sensitive			17	45.9	59	44.7	23	50.0	99	45.6
Gender mainstreamed			1	2.7	21	15.9	8	17.4	30	13.8
Gender transformative					1	0.8			1	0.5
Not gender relevant	2	100.0							2	0.9
Total	2	100.0	37	100.0	132	100.0	46	100.0	217	100.0

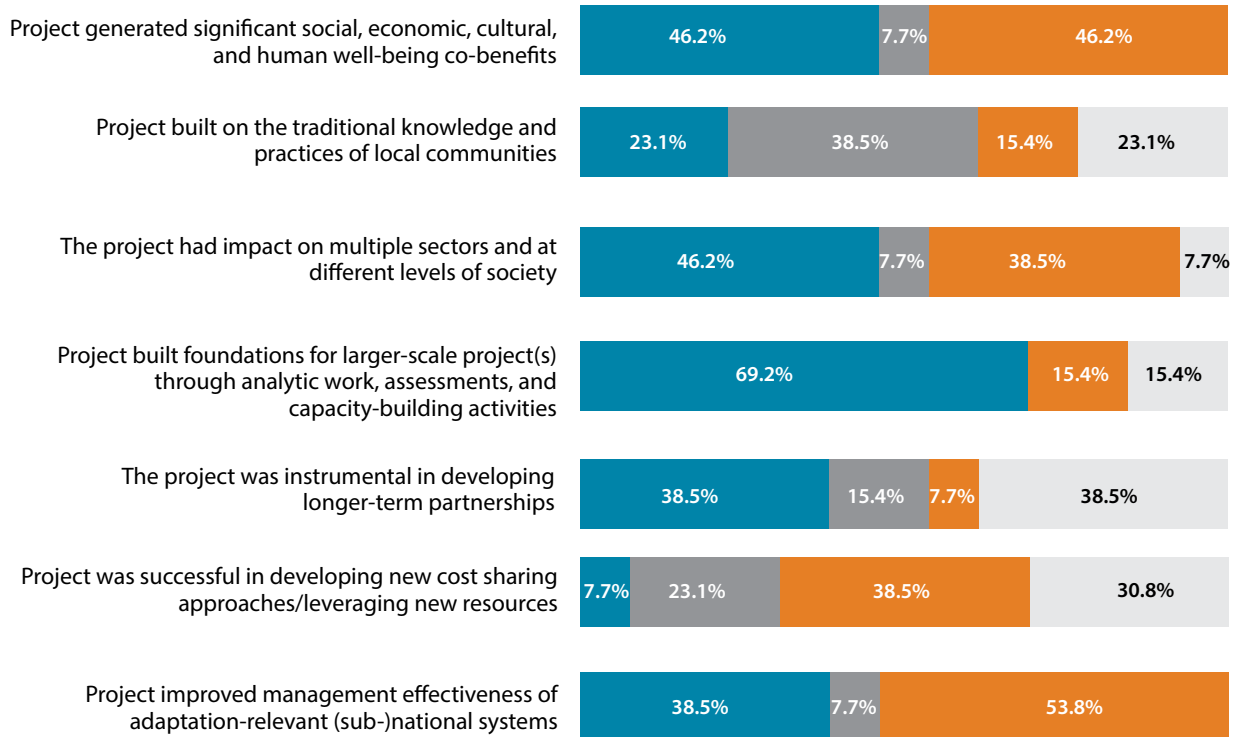
Q56 Identify the implementation project's alignment with the following catalytic effects:



n = 13

■ Large-extremely large ■ Moderate ■ Small-extremely small ■ Not applicable

Q57 Identify the NAPA implementation project's alignment with the following catalytic effects, identified in terminal evaluations as being catalytic elements of the project:



n = 13

■ Large-extremely large ■ Moderate ■ Small-extremely small ■ Not applicable

Q60 What is the NAPA implementation project's outcome rating according to the terminal evaluation review?

Q61 What is the NAPA implementation project's sustainability rating according to the terminal evaluation review?

Q62–Q63 What is the NAPA implementation project's M&E design at entry rating according to the terminal evaluation review?

Q64–Q65 What is the NAPA implementation project's M&E plan implementation rating according to the terminal evaluation review?

GEF ID	AER	Agency	Project	Country	LDCF funding (million \$) ^a	Rating			
						Outcome ^b	Sustain-ability ^c	M&E design at entry ^b	M&E plan implemen-tation ^b
2040	n.a.	UNDP	Technical Assistance to Least Developed Countries (LDCs) to Implement the UNFCCC8/CP8 Decision	Global	0.69	No terminal evaluation and terminal evaluation review rating available			
2191	n.a.	UNDP	Technical Assistance to Francophone LDCs to Implement the UNFCCC8/CP8 Decision	Global	0.34	No terminal evaluation and terminal evaluation review rating available			
3219	2013	UNDP	Reducing Climate Change-Induced Risks and Vulnerabilities from Glacial Lake Outbursts in the Punakha-Wangdi And Chamkhar Valleys	Bhutan	3.99	S	L	HS	HS
3319	2014	UNDP	Implementing NAPA Priority Interventions to Build Resilience and Adaptive Capacity of the Agriculture Sector to Climate Change	Niger	3.80	S	ML	MU	S
3358	2014	UNDP	Integrating Climate Change Risks into the Agriculture and Health Sectors in Samoa (ICCRAHS) Project	Samoa	2.25	MS	ML	S	MS
3404	2014	UNDP	Promoting Climate Resilient Water Management and Agriculture Practice in Rural Cambodia	Cambodia	2.14	S	ML	U	MS
3430	2015	UNDP	Implementing NAPA Priority Interventions to Build Resilience in the Agriculture and Water Sectors to the Adverse Impacts of Climate Change	Sudan	3.74	MU	MU	MU	U
3581	2014	UNDP	Building Adaptive Capacity and Resilience to Climate Change in the Water Sector in Cabo Verde	Cabo Verde	3.41	MS	ML	S	S

GEF ID	AER	Agency	Project	Country	LDCF funding (million \$) ^a	Rating			
						Outcome ^b	Sustain-ability ^c	M&E design at entry ^b	M&E plan implemen-tation ^b
3684	2014	UNDP	Strengthening Adaptation Capacities and Reducing the Vulnerability to Climate Change in Burkina Faso	Burkina Faso	3.30	S	MU	MS	MS
3689	2015	UNDP	Adaptation to the Effects of Climate Variability and Change in Agro-Ecological Regions I and II in Zambia (CCAP)	Zambia	3.77	S	MU	S	S
3718	2015	UNDP	Building the Capacity of the Agriculture Sector in DR Congo to Plan for and Respond to the Additional Threats Posed by Climate Change on Food Production and Security	Congo, Dem. Rep.	3.41	S	ML	MU	UA
3728	2015	UNEP	Strengthening of the Gambia's Climate Change Early Warning Systems	Gambia	1.16	S	ML	MU	MU
3838	2015	UNDP-UNEP	Reducing Vulnerability to Climate Change by Establishing Early Warning and Disaster Preparedness Systems and Support for Integrated Watershed Management in Flood Prone Areas	Rwanda	3.99	S	L	S	S

NOTE: n.a. = not applicable; AER = annual evaluation report.

a. Total LDCF-related project funding, including PPG, Agency fees, and LDCF funding.

b. GEF/GEF Agency six-point rating scale: HS = highly satisfactory, S = satisfactory, MS = moderately satisfactory, MU = moderately unsatisfactory, U = unsatisfactory, and HU = highly unsatisfactory.

c. GEF/GEF Agency four-point rating scale: L = likely, ML = moderately likely, MU = moderately unlikely, and U = unlikely. Alternatively, the rating might be UA = unable to assess.

Annex E: Interviewees

Abdul Bakarr Salim, Environmental Protection Agency, Sierra Leone, Monitoring and Evaluation Manager and Council Member

Adam Starr, IUCN, Lao PDR, Country Director

Adrienne Stork, UNEP, Haiti, Environment Project Manager

Akhteruzzaman Sano, GEF Civil Society Organization Network, Cambodia, South East Asia Regional Focal Point

Alain Craan, Departmental Office of Environment, Environmental Ministry in the South Department, Haiti, Assistant

Alcie Benito, Organization of Women of Frangipane, Haiti, Beneficiary

Alerte Berthony, Organization of Farmers for the Development of Fonds des Blancs, Haiti, Beneficiary

Alexandre Junior, FAO, Haiti, Agricultural Technician

Alioune Badara Kaere, UNDP, Senegal

Anders Poulsen, Ministry of Natural Resources and Environment, Lao PDR, Chief Technical Adviser

Anders Wallberg, Ministry of Foreign Affairs, Sweden, Head of Section, and Council Member

Annacasis Joseph Benjamin, FAO, Haiti, Communal Agronomist

Anne Sophie Poisot, FAO, Farmer Field Schools Team, Plant Production and Protection Division, Program Officer

Arcen Bastien, Departmental Office of the Environmental Ministry in the South East, Jacmel, Haiti, Departmental Director

Archild Jonas, Departmental Office of Environment, Environmental Ministry in the South Department, Haiti, Assistant

Augustin Marie Germitha, Comité Groupe de Recherches Pour le Développement, Grand-Goave, Haiti, Staff

Barney Dickson, UNEP, Acting Climate Change Adaptation Portfolio Manager

Blanc Lovigens, Organization of Farmers for the Development of Fonds des Blancs, Haiti, Beneficiary

Bruce Dunn, Asian Development Bank, Senior Environmental Specialist

Cange Rogel, Watershed Management Committee, Levêque, Haiti, Secretary

Cassandra De Young, FAO, Fisheries and Aquaculture Policy Division, Fishery Planning Analyst

Cheng Pov, Department of Water Resources and Meteorology, Preah Vihear Provincial, Cambodia, Staff

Chitlatda Keomuongchanh, UNDP, Lao PDR, Program Officer

Chizuru Aoki, GEF Secretariat, Lead Environmental Specialist

Claire Van der Vaeren, UN/UNDP, Cambodia, UN Resident Coordinator and UNDP Resident Representative

Desir Joselyne, Ministry of the Environment,
Directorate of Climate Change, Government of
Haiti, Project Administrator

Dieu Donne Picard, Mouvement Progressiste Port-
Salutain, Haiti, Representative

Dinara Besekei Sutton, World Bank, Thematic
Specialist on Programming Side LDCE, SCCE,
AF

Djime Nanasta, ENDA, Senegal, Civil Society Actor

Dominique Isabelle Kayser, World Bank, Senior
Operations Officer, Operations and Procedure

Dorine Jean-Paul, UNDP, Haiti, Project
Coordinator Adaptation

Edes Charles Philippe, Departmental Office of
Environment, Environmental Ministry in the
South Department, Haiti, Assistant

Edouard Nsimba, Ministry of Economics and
Finance, Directorate of Economic Studies,
Government of Haiti, Macroeconomic Adviser

Elancie Moise, Departmental Office of
Environment, Environmental Ministry in the
South Department, Haiti, Director

Elysee Pierre, Association des Jeunes Manoirs de
Bainet, Haiti, Coordinator

Emmanuel Michel, South East Office, National
Office of Drinking Water and Sanitation, Haiti,
Engineer

Eribert Faubert, CEPADER, Haiti, Nursery Gardener

Eric Patrick, International Fund for Agricultural
Development, Adaptation Specialist

Ermira Fida, UNEP, former GEF Climate Change
Adaptation Portfolio Manager

Estibalitz Morras, International Fund for
Agricultural Development, GEF Portfolio
Officer

Farhan Akhtar, U.S. Department of State, Foreign
Affairs Officer and Council Member

Felix Elysee, Association des Jeunes Manoirs de
Bainet, Haiti, Staff

Fidel Burin, Departmental Office of Environment,
Environmental Ministry in the South
Department, Haiti, Technician

Frits M.J. Ohler, FAO Haiti, Resident
Representative

Genevieve Braun, FAO-GEF Coordination Unit,
Program Officer

Gerald Neuvieme, UNDP, Haiti, Project Officer,
Ecosystem-Based Adaptation

Gianluca Gondolini, FAO, Haiti, Project
Coordinator and Adaptation Specialist

H.E. Loh Heal, Ministry of Environment,
Cambodia, GEF Operational Focal Point
and Technical Director General, General
Directorate of Environmental Protection

Hok Kimthourn, UNDP, Cambodia, former
National Project Coordinator

Isaac Mulet, Mouvement Progressiste Port-
Salutain, Haiti, Representative

Jean Jacques Janvier, Drinking water Supply and
Sanitation Committee, Haiti, Member

Jean Ked Neptune, Departmental Office of
Environment, Environmental Ministry in the
South Department, Haiti, Project Coordinator

Jean Louis Julien, Association des Jeunes Manoirs
de Bainet, Haiti, Staff

Jean Louis Milio, Association des Jeunes Manoirs
de Bainet, Haiti, Staff

Jeanne Jocelaine Bonnet, Ministry of Agriculture,
Government of Haiti, Focal Point

Jean-Pierre Moise, Ministry of the Environment,
Directorate of Climate Change, Government of
Haiti, Operational Focal Point

Jeff Griffin, FAO-GEF Coordination Unit,
Technical Officer

Jeffrey Griffin, FAO, GEF Unit, Senior Coordinator

Jens Erik Lyngby, UNEP, Cambodia, Senior
Technical Adviser

Jonia Joseph Noel, UNDP, Haiti, Technical Project
Assistant

Jude Alain Louis, Ministry of Economics and
Finance, Directorate of Economic Studies,
Government of Haiti, Economist

Juergen Hierold, UNIDO, GEF Coordinator and Division Chief, Environment Partnerships Division

Julie Parquette, Oxfam, Haiti, Representative

Kaarina Immonen, UNDP, Lao PDR, UN Resident Coordinator and UNDP Resident Representative

Karin Shepardson, World Bank, Program Manager, Executive Coordinator for GEF and MP Programs

Kelly West, UNEP, GEF Portfolio Manager

Keti Chachibai, UNDP Global Environmental Finance Unit, Bangkok, Thailand, Regional Technical Adviser

Khampadith Khammounhueng, Environment Quality Promotion Department, Ministry of Natural Resources Environment, Lao PDR, Director, and GEF Operational Focal Point

Khoem Sanith, Tuolkoki Commune Chief, Cambodia

Knut Roland Sundstrom, GEF Secretariat, Climate Change Specialist

Kuena Morebotsane, FAO-GEF Coordination Unit, Technical Officer

Laurent Granier, World Bank, Senior Environmental Specialist

Lefene Gustave, South East Office, National Office of Drinking Water and Sanitation, Haiti, Administrator

Lim Bora, Agriculture Agent, Kulen District, Cambodia

Lormil Louissant, Association des Paysans pour le Développement de Teno Grand Goâve, Grand-Goave, Haiti, Staff

Mahamat Assouyouiti, AfDB, Senior Climate Change Specialist, GEF Coordination Unit

Margaret Jones Williams, UNDP, Lao PDR, Environment Unit Manager

Marie Helene Armona, Watershed Management Committee, Levêque, Haiti, Treasurer

Mariline Diara, Government of Senegal, GEF Focal Point, Senegal

Martine Therer, UNDP, Haiti, Deputy Country Director

Mathurin Joseph Wilfrid, Champs-écoles-paysans unit of Faucher, Haiti, Representative

Maude Veyret Picot, FAO-GEF Coordination Unit, Technical Officer

Maxeau Pinchinat, Association des Irrigants de Fauché, Haiti, President

Maximilien Pardo y Fernandez, UNEP, Haiti, Country Program Coordinator

Meas Rithy, UNEP, Cambodia, Deputy Project Coordinator

Michbordy Jules, Departmental Office of Environment, Environmental Ministry in the South Department, Haiti, Assistant

Milienne Mombrun, Association des Cadres pour la Protection de l'Environnement, Haiti, Representative

Mom Samoeun, Farmers Water User Committee, Cambodia, Leader

Mong Samol, Department of Woman Affairs, Preah Vihear Province, Cambodia, Director

Morakot Vongxay, Department of International Cooperation, Lao PDR, Director for UN Division

Motsomi Maletjane, UNFCCC Secretariat, Program Officer, National Adaptation Plans and Policy, Adaptation Program

Mouhamadou Bamba Diop, FAO, Senegal,

Mr. Khamphu, DAFO, Lao PDR, Head

Mr. Phanga, PAFO, Lao PDR, Technical Staff

Rithirak Long, Ministry of Environment, Cambodia, GEF Political Focal Point, Deputy Director General, General Directorate of Environmental Protection

Mrs. Bounsauy, PAFO, Lao PDR, Technical Staff

Mrs. Guene, Government of Senegal, GEF Focal Point, Senegal

Mrs. Phonesavanh, PAFO, Lao PDR, Deputy Head of Agriculture Section

Mrs. Sarr, GEF Focal Point, Senegal

Naoko Ishii, GEF Secretariat, CEO

Napoleon Navarro, UNDP, Cambodia, Senior Policy Adviser

Natham Wilson, Organization of Farmers for the Development of Fonds des Blancs, Haiti, Beneficiary

Natharoun Ngo, UNDP, Cambodia, Head of Program Unit

Ngouy Yoeun, Agriculture Agent, Kulen District, Cambodia

Noe Fleurant, Oxfam, Haiti, Representative

Ouk Samboeung, Department of Woman Affairs, Preah Vihear Province, Cambodia, Deputy Director

Pan Sokhoeun, Farmers Water User Committee, Cambodia, Leader

Paul Jackson, Bureau Agricole Communal, Haiti, Director

Pen Pichponnareay, Department of Agriculture, Preah Vihear Province, Cambodia, Office Chief

Phearanich Hing, UNDP, Cambodia, Climate Change Policy Analyst

Phouvong Luangxaysana, Ministry of Natural Resources and Environment, Lao PDR, Director General, and UNFCCC Focal Point

Pierre Adam, Ministry of the Environment, Directorate of Climate Change, Government of Haiti, General Director

Pierre Lelievre, Watershed Management Committee, Levêque, Haiti, President

Pierre Micheline, Association des Jeunes Manoirs de Bainet, Haiti, Staff

Poeung Tryda, Department of Agriculture, Preah Vihear Province, Cambodia, Director

Pradeep Kurukulasuriya, UNDP Global Environmental Finance Unit, Bangkok, Thailand, Head of Unit

Project Coordinators, UNDP, Senegal

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Ratana Norng, UNDP, Cambodia, Program Analyst

Rawleston Moore, GEF Secretariat, Senior Climate Change Specialist and Adaptation Coordinator

Rigaud Tresor, Drinking Water Supply and Sanitation Committee, Haiti, Member

Rodney Ludger, Comité Groupe de Recherches Pour le Développement, Grand-Goave, Haiti, Staff

Rolner Colin, Departmental Office of the Environmental Ministry in the South East, Jacmel, Haiti, Project Facilitator

Romei Troissou, Ministry of Economics and Finance, Directorate of Economic Studies, Government of Haiti, Assistant Director

Sejour Charleme, Haiti, Beneficiary of private water connection

Sene Benjamin, FAO, Haiti, Communal Agronomist

Sophea Khun, FAO, Cambodia, Gender Specialist

Sreng Sophal, UNEP, Cambodia, Livelihoods Coordinator

Stacy Crevello, FAO, Cambodia, Chief Technical Adviser

Stefano Mondovi, FAO, Farmer Field Schools Team, Plant Production and Protection Division, Program Officer

Stephen Rudgard, FAO, Lao PDR, Representative

Suon Non, Department of Agriculture, Cambodia, Small-Scale Integrated Farming System, Savings and Livestock Revolving Fund Representative

Syamphone Sengchandala, Ministry of Natural Resources and Environment, Lao PDR, Director of Legislation and Coordination Division

Thavong Inthavong, Agriculture Research Centre for Climate Change, Lao PDR, Director

Thy Sum, Ministry of Environment, Cambodia, Director of Climate Change Department

Vanthong Phengvichit, NAFRI, Lao PDR, Deputy Director General

Vanxay Bouttanovong, Ministry of Natural Resources and Environment, Lao PDR, Director, Division of Climate Change Adaptation, and Project Manager

Viengxai Manivong, Department of Hydrometeorology, Ministry of Natural Resources and Environment, Lao PDR, Head of Planning and Cooperation Division

Vipaka Halsacda, IRAS Project, Lao PDR, former Assistant Project Manager

Vuthy Lic, Ministry of Water Resources and Meteorology, National Management Specialist, Early Warning System

Weben's Pierre Louis Decius, Oxfam, Haiti, Representative

Wilner Louis, Association des Cadres pour la Protection de l' Environnement, Haiti, Representative

Wilson Noel, Departmental Office of the Environmental Ministry in the South East, Jacmel, Haiti, Field Technician

Yem Yan, Peam Krasoap Commune Chief, Cambodia

Yves-Andre Wainwright, UNDP, Haiti, Program Manager, Energy and Environment Unit

Yvon Guerrier, UNDP Environment Unit, Frangipane, Haiti, M&E Officer

Annex F: Core Gender Indicators

Outcome	Gender indicator	Source of verification
Project design fully integrates gender concerns	<ul style="list-style-type: none"> • Percentage of projects that have conducted gender analysis during project preparation • 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	<ul style="list-style-type: none"> • Share of women and men as direct beneficiaries of project • Share of convention-related national reports that have incorporated gender dimensions (e.g., national biodiversity strategy and action plan, NAPA, NAP, transboundary diagnostic analysis/strategic action program, etc.) 	Project implementation reports, midterm evaluation reports, terminal evaluation reports
Project M&E gives adequate attention to gender mainstreaming	<ul style="list-style-type: none"> • Percentage of M&E reports (e.g., project implementation reports, midterm evaluation reports, terminal evaluation reports) that incorporate gender equality/women's empowerment issues and assess results/progress 	Project implementation reports, midterm evaluation reports, terminal evaluation reports.

Annex G: LDCF Program Evaluation Interview Protocol

1.1 GEF Agencies (Head Office and Country Office Level)

Stakeholders: IA-HQ = Implementing Agent—Head Office; IA-CO = Implementing Agent—Country Office

“On project level” means that these questions should only be asked on a project-by-project basis and not when reflecting on an Agency’s portfolio of projects.

Project-by-project reviewing can be done when visiting a project, but could also be done with stakeholders that have led/are leading the implementation of projects, irrespective of whether they are on-site, based in the capital, or at the head office.

Question	Stakeholder
General	
Please describe your role toward/your engagement in the LDCF.	IA-HQ/CO
What are the most important climatic threats that have an immediate or near-future impact on the country/countries you are working in? Have these changed since the NAPA was developed?	IA-CO
Please describe the LDCF portfolio managed by your Agency. For example, specific focal or cross-cutting topics being sought.	IA-HQ/CO
What do you perceive to be the role and added value of the LDCF in tackling adaptation to climate change and sustainable development problems?	IA-HQ/CO
Basic project information—check details on projects.	IA-CO
Relevance	
To what extent has your Agency looked at the relevance of LDCF support in relation to the guidance and decisions of the UNFCCC?	IA-HQ
To what extent has your Agency looked at the relevance and connection of LDCF support to national (environmental and sustainable) development agendas?	IA-HQ/CO
Do you see a divergence between the guidance of the UNFCCC and national development priorities?	IA-CO
To what extent do you feel that the LDCF portfolio in your Agency is country driven compared to other activities in your Agency’s portfolio?	IA-HQ/CO

Question	Stakeholder
Effectiveness and efficiency	
To what extent has the governance of the LDCF by the GEF been transparent to you as a representative of a GEF Agency? To what extent has the guidance provided by the UNFCCC COP to the LDCF and involved parties been transparent to you as a representative of a GEF Agency? What would be your main source for information and guidance on the LDCF? The GEF Secretariat, the UNFCCC, or your own Agency?	IA-HQ/CO
How does the LDCF compare with other (co-)funding possibilities/sources of climate finance for adaptation in terms of effort and costs to prepare and implement projects?	IA- HQ/CO
What is the ratio of proposals to approved projects, in your experience, in your Agency?	IA-HQ
What do you perceive to be the main factors that have been affecting the Fund's efficiency? (How) Have these factors changed throughout the Fund's lifetime? Either for better or worse?	IA- HQ/CO
To what extent has funding predictability, or the lack thereof, affected the efficiency of the LDCF?	IA- HQ/CO
In your opinion, how effective is the LDCF, or how likely is it that the LDCF (implementation projects in your country) will be achieving its three strategic objectives? 1. Reduce the vulnerability of people, livelihoods, physical assets and natural systems, to the adverse effects of climate change 2. Strengthen institutional and technical capacities for effective climate change adaptation 3. Integrate climate change adaptation into relevant policies, plans, and associated processes	IA-HQ/CO
<i>Next question only on project level:</i>	
Is this project reducing/expected to reduce vulnerability of people, livelihoods, physical assets, and natural systems to the adverse effects of climate change? Is (will) this project strengthen(ing) institutional and technical capacities for effective climate change adaptation? How effective is this project compared to other, non-LDCF climate change adaptation activities/projects currently under way in the country (if any)? What would have happened if this project had not taken place?	IA-CO
Results and sustainability	
To what extent have the results of LDCF implementation projects been catalytic in the portfolio of your Agency/in the countries that you support?	IA-HQ/CO
How does LDCF support in your Agency relate to other GEF focal areas beyond climate change adaptation? (e.g., mitigation, biodiversity, land degradation, etc.) How does LDCF support (in your country/Agency) relate to conventions other than the UNFCCC? (Convention on Biological Diversity (CBD), UN Convention to Combat Desertification (UNCCD), Stockholm Convention on Persistent Organic Pollutants (POPs), Minamata Convention on Mercury, Montreal Protocol on Substances that Deplete the Ozone Layer, Multilateral Agreements on International Waters and Transboundary Water Systems)	IA-HQ/CO
Has your Agency carried out evaluations or studies on adaptation to climate change? If so, have these reported on LDCF-supported activities?	IA-HQ
To what extent have gender issues been integrated into your Agency's environmental portfolio?	IA-HQ/CO
Is there a gender focal point in country? If so, what has been his/her role toward the LDCF portfolio?	IA-CO

Question	Stakeholder
<i>Next question only on project level:</i>	
<p>Does (has) this project demonstrate(d) awareness of the set of roles, rights, responsibilities, and power relations associated with being male or female?</p> <p>Does this project recognize the economic/social/political roles, rights, entitlements, responsibilities, obligations, and power relations socially assigned to men and women, but work around existing gender differences and inequalities?</p> <p>Does (has) this project assess(ed) the implications for women and men of any planned action, including legislation, policies, or programs, in any area/all levels?</p> <p>Does this project facilitate a “critical examination” of gender norms, roles, and relationships?</p> <p>Does (has) this project strengthen(ed) or create(d) systems that support gender equity; and/or questioned and changed gender norms and dynamics?</p>	IA-CO
What is the likelihood that the objectives of LDCF implementation projects will be sustained beyond the projects’ lifetime?	IA-CO
Global environmental benefits	
<i>Global environmental benefits are very GEF specific. It could be that the focus of the interviewee is only on adaptation, and he or she would not necessarily be the best person to reflect on the six global environmental benefits. If so, better skip. There were already questions on linkages of the LDCF with other focal areas and conventions.</i>	
<p>The GEF distinguishes the following six global environmental benefits:</p> <ol style="list-style-type: none"> 1. Maintain globally significant biodiversity and the ecosystem goods and services that it provides to society. <i>(Improved management of landscapes and seascapes, with number of acres provided or otherwise identifiable)</i> 2. Sustainable land management in production systems, i.e., agriculture, rangelands, and forest landscapes. <i>(Number of acres under sustainable land management provided or otherwise identifiable)</i> 3. Promotion of collective management of transboundary water systems and implementation of the full range of policy, legal, and institutional reforms and investments contributing to sustainable use and maintenance of ecosystem services. <i>(Water-food-energy-ecosystems security and conjunctive management of surface and groundwater, or a focus on overexploited fisheries)</i> 4. Support to transformational shifts toward a low-emission and resilient development path. <i>(With an amount of tons of carbon dioxide–equivalent provided or otherwise identifiable)</i> 5. Increase in phaseout, disposal, and reduction of releases of POPs, ODS, mercury, and other chemicals of global concern. <i>(With amounts disposed, reduced, or phased out provided, or otherwise identifiable)</i> 6. Enhance capacity of countries to implement multilateral environmental agreements and mainstream multilateral environmental agreements into national and subnational policy, planning, financial, and legal frameworks. <i>(Measurable targets are integrated in development and sectoral planning, and/or functional environmental information systems are established and support decision making)</i> 	
Does the LDCF/do LDCF projects within your Agency’s portfolio/do LDCF-supported activities in your country contribute to any of these six global environmental benefits? <i>(Go through them one by one)</i>	IA-HQ/CO
Catalytic effects 1	
<i>All questions only on project level; only for completed projects, and those under implementation that are near-completion.</i>	
<p>The following catalytic effects can be distinguished:</p> <ol style="list-style-type: none"> 1. Public good: The project developed or introduced new technologies and/or approaches (CE1). 2. Demonstration: Demonstration sites and/or training was implemented to further catalyze the new technologies/ approaches (CE2). 3. Replication: Activities, demonstrations, and/or techniques are repeated within or outside the project (CE3). 4. Scaling-up: Approaches developed through the project are taken up on a regional/national scale, becoming widely accepted (CE4). 	
To what extent has the project reached these four catalytic effects? <i>(Go through them one by one)</i>	IA-CO
What factors, if any, (have) limit(ed) or enhance(d) this project’s contribution to any of these four catalytic effects? <i>(Go through them one by one)</i>	IA-CO

Question	Stakeholder
How might this project (have) better promote(d) any of these four catalytic effects? <i>(Go through them one by one)</i>	IA-CO
Catalytic effects 2	
<i>All questions only on project level; only for completed projects, and those under implementation that are nearing completion.</i>	
<p>Another way of looking at catalytic effects is through the following:</p> <ol style="list-style-type: none"> 1. Project generated significant social, economic, cultural, and human well-being co-benefits. 2. Project built on the traditional knowledge and practices of local communities. 3. The project had impact on multiple sectors and at different levels of society. 4. Project built foundations for larger-scale project(s) through analytic work, assessments, and capacity-building activities. 5. Project was instrumental in developing longer-term partnerships. 6. Project was successful in developing new cost-sharing approaches/leveraging new resources. 7. Project improved management effectiveness of adaptation-relevant (sub-)national systems. 	
To what extent do these seven catalytic effects apply to the project? <i>(Go through them one by one)</i>	IA-CO
What factors, if any, (have) limit(ed) or enhance(d) this project's contribution to any of these seven catalytic effects? <i>(Go through them one by one)</i>	IA-CO
How might this project (have) better promote(d) any of these seven catalytic effects? <i>(Go through them one by one)</i>	IA-CO
Quality at entry	
<i>All questions only on project level; only for those projects that are CEO endorsed or under implementation.</i>	
What is the overarching objective of the project?	IA-CO
Do this project's expected adaptation benefits appear likely?	IA-CO
To what extent do the expected adaptation benefits appear realistic in the current national context? Did the national context—both climatic as well as nonclimatic—change since the program was developed?	IA-CO
To what extent are the expected adaptation benefits measurable? Are there specific benefits that you could identify that are expected to be realized, but that are not necessarily measurable within the given results framework?	IA-CO
<p>Does the project take into account potential major risks to its activities and outcomes?</p> <p>Are there risks that have been identified after the project's start that are not shown in the project document when it was approved?</p> <p>Does it include sufficient risk mitigation measures to anticipated risks?</p> <p>To what extent is there the possibility to manage adaptively, if new risks would be identified and need to be managed?</p>	IA-CO

2.1 GEF Secretariat (CEO, Senior Management, and LDCF Managers)

Stakeholders: GEFS-CEO = GEF CEO; GEFS-SM = GEF senior management; GEF-LDCF = LDCF managers within the GEF Secretariat

Question	Stakeholder
General	
Please describe your role toward/your engagement in the LDCF.	All
What do you perceive to be the role and added value of the LDCF, compared to other finance sources specifically targeting climate change adaptation?	GEFS-CEO/ GEFS-SM/ GEFS-LDCF
What do you perceive to be the role and added value of the LDCF in tackling adaptation to climate change and sustainable development problems?	All
What do you perceive to be the role and added value of the LDCF in tackling adaptation to climate change and sustainable development problems?	IA-HQ/CO
Relevance	
To what extent do you look at/do you take into account (when approving projects, when donating funds) the relevance of LDCF support in relation to the guidance and decisions of the UNFCCC?	GEFS-SM/ GEFS-LDCF
The work program of the LDCs has informed the UNFCCC COP guidance and decisions toward the LDCF. To what extent do the NAPA and currently developing NAP process align with countries' needs and priorities when it comes to climate change adaptation?	GEFS-LDCF
To what extent has the GEF looked at the relevance and connection of LDCF support to national (environmental and sustainable) development agendas?	GEFS-SM/ GEFS-LDCF
To what extent do you feel that the LDCF portfolio is country driven compared to other funds managed by the GEF? What is your perception of the country's ownership of LDCF-supported initiatives?	GEFS-SM/ GEFS-LDCF
Effectiveness and efficiency	
What do you perceive to be the main factors that have been affecting the Fund's efficiency? (How) Have these factors changed throughout the Fund's lifetime? Either for better or worse?	GEFS-CEO/ GEFS-SM
To what extent has funding predictability, or the lack thereof, affected the efficiency of the LDCF? What has been the role of donors when it comes to LDCF funding predictability? What could be the role of donors in enhancing the Fund's resource predictability?	All
To what extent has the guidance provided by the UNFCCC COP to the LDCF and involved parties been transparent to you as a GEF Secretariat employee?	GEFS-LDCF
How (do you feel) does the LDCF compare with other (co-)funding possibilities/sources of climate finance for adaptation in terms of effort and costs to prepare and implement projects?	GEFS-LDCF
In your opinion, how effective is the LDCF, or how likely is it that the LDCF will be achieving "its" three strategic objectives? (ie. the LDCF/SCCF objectives toward adaptation as part of GEF's strategic vision related to climate change adaptation) 1. Reduce the vulnerability of people, livelihoods, physical assets, and natural systems to the adverse effects of climate change 2. Strengthen institutional and technical capacities for effective climate change adaptation 3. Integrate climate change adaptation into relevant policies, plans, and associated processes	All
Results and sustainability	
What would you see as justifications for the continuation of the LDCF?	All
To what extent—do you feel—is it realistic to talk about catalytic effects of an adaptation-focused climate fund, knowing that adaptation is inherently contextual?	All
To what extent does the Fund relate to other GEF focal areas beyond climate change adaptation?	All
To what extent does the Fund relate to conventions other than the UNFCCC?	All

2.2 UNFCCC Convention, LDCF/SCCF Council, Donor Country Representatives

Stakeholders: FCCC = UNFCCC representative, CM = LDCF/SCCF Council member, DON = donor country representatives convention—UNFCCC

Interviews intended to gather background information on the origins, intentions, and dynamics that underlie COP guidance on the LDCF, the development of this guidance as well as perspectives from UNFCCC Secretariat staff on how COP member states perceive the LDCF. Focus primarily on relevance dimension, with some information also pertaining to effectiveness and efficiency on the Fund level.

Question	Stakeholder
General	
Please describe your role toward/your engagement in the LDCF	FCCC/CM/DON
What do you perceive to be the role and added value of the LDCF, compared to other climate finance sources for climate change adaptation?	FCCC/CM/DON
What do you perceive to be the role and added value of the LDCF in tackling adaptation to climate change and sustainable development problems?	FCCC/CM/DON
Relevance	
To what extent do you look at/do you take into account (when approving projects, when donating funds) the relevance of LDCF support in relation to the guidance and decisions of the UNFCCC convention?	CM/DON
The work program of the LDCs has informed the UNFCCC COP guidance and decisions toward the LDCF. To what extent does the LDCF reflect countries' needs and priorities when it comes to climate change adaptation? To what extent has LDCF support contributed to countries' national (environmental and sustainable) development agendas? Do you feel that the LDCF is still mainly relevant to LDCs, or is the line between the LDCF and SCCF mandates getting thinner with increasing multitrust fund programs and NAP processes being funded out of the LDCF and SCCF?	FCCC/CM/DON
What role does the LDCF play in the allocation and efforts your country makes internationally to solve adaptation to climate change problems?	CM/DON
To what extent is the LDCF still relevant in the current climate funding debate?	FCCC/CM/DON
Effectiveness and efficiency	
What do you perceive to be the main factors that have been affecting the Fund's efficiency? (How) Have these factors changed throughout the Fund's lifetime? Either for better, or worse?	FCCC/CM/DON
To what extent has the governance of the LDCF by the GEF been transparent to you as a representative of the UNFCCC/Council member/donor?	FCCC/CM/DON
How (do you feel) does the LDCF compare with other (co-)funding possibilities/sources of climate finance for adaptation in terms of effort and costs to prepare and implement projects?	FCCC/CM/DON
In your opinion, how effective is the LDCF, or how likely is it that the LDCF will be achieving its three strategic objectives? 1. Reduce the vulnerability of people, livelihoods, physical assets and natural systems to the adverse effects of climate change 2. Strengthen institutional and technical capacities for effective climate change adaptation 3. Integrate climate change adaptation into relevant policies, plans and associated processes	FCCC/CM/DON

Question	Stakeholder
Results and sustainability	
<p>What are specific results of the LDCF you are familiar with?</p> <p>Would you see these results as specific LDCF achievements that underpin the Fund's relevance, not only in relation to past work but also toward the future?</p> <p>What would you see as justifications for the continuation of the LDCF?</p>	FCC/CM/DON
<p>To what extent—do you feel—has the Fund been catalytic?</p> <p>To what extent—do you feel—is it realistic to talk about catalytic effects of an adaptation-focused climate fund, knowing that adaptation is inherently contextual?</p>	FCC/CM/DON
<p>To what extent does the Fund relate to other GEF focal areas beyond climate change adaptation? To what extent does the Fund relate to conventions other than the UNFCCC?</p> <p><i>(Convention on Biological Diversity (CBD), UN Convention to Combat Desertification (UNCCD), Stockholm Convention on Persistent Organic Pollutants (POPs), Minamata Convention on Mercury, Montreal Protocol on Substances that Deplete the Ozone Layer, Multilateral Agreements on International Waters and Transboundary Water Systems)</i></p>	FCC/CM/DON

Annex H: Comments to and Responses on Approach Paper and Final Report

Commenter	Date comment	Document version	Comment	Reply and responding actions taken
GEF Secretariat	12 Nov '15	Approach paper 9 Nov '15	Regarding the rolling application and resource predictability of the Fund, perhaps change the question: "How has the Fund dealt with the scarcity of (financial) resources?"	Changed: "How has resource predictability, or the lack thereof, affected the Fund's programming?"
GEF Secretariat	12 Nov '15	Approach paper 9 Nov '15	Par. 23: Performance assessment isn't completely clear. Are you looking at the project level, macro fund level or both? Needs a rewrite	Par. 23 changed: "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 LDCF has operated according to the strategic objectives set, informed by the UNFCCC COP guidance and decisions received. This translates, among others, into evaluating the Fund's performance regarding the mainstreaming of adaptation into broader developmental policies, plans and programs, and assessing how NAPAs relate to other GEF focal areas beyond climate change adaptation. The latter would focus on performance related to the achievement of emerging project results against stated goals. The core evaluation criteria (relevance, effectiveness, efficiency, results and sustainability) will be applied as outlined in the previous paragraph."
GEF Secretariat	12 Nov '15	Approach paper 9 Nov '15	Data in Tables 1, 2, and 3 needs to be reviewed, to include the latest data.	Comment: This will be done collaboratively with the GEF Secretariat once the evaluation has started. The data has already been reviewed against the progress document to Council, dd. September 2015.
GEF Secretariat	12 Nov '15	Approach paper 9 Nov '15	The timeframe of the NAPAs materializing as presented in the Annex is open for discussion. Where do these dates come from?	There is a difference between the NAPA report being completed by the country and GEF agency, and it being accepted by the UNFCCC. This will be further explored as part of the evaluation.

Commenter	Date comment	Document version	Comment	Reply and responding actions taken
Peer Reviewer	12 Nov '15	Approach paper 9 Nov '15	Take into account UNDP 2009 evaluation of their LDCF work.	New paragraph added (12): "The UNDP Evaluation Office carried out an independent evaluation of UNDP's work with the LDCF/SCCF resources, published in 2009. The evaluation found that there was justifiable dissatisfaction in the countries concerning the lengthy time periods and complex procedures required to move from the NAPAs to concrete projects. There were also differing expectations amongst the different actors; some countries thought that as soon as the NAPA is completed resources for the follow-up activities would be made available. On the other hand, from the side of the UNDP the NAPAs look more like wish lists and real project identification still needs to be completed"
Peer Reviewer	16 Nov '15	Approach paper 9 Nov '15	Include the theory of change for the program.	Theory of change now included before the specific questions. It is linked to the Box of the GEF objectives and strategic pillars.
GEF Secretariat	17 Nov '15	Approach paper 9 Nov '15	Par. 1: Change the "from LDCF implementation administration of more than 15 years", given implementation has not taken place over 15 years.	Changed: "The evaluation will also provide evidence on lessons learned from the moment of its establishment as dedicated adaptation fund up to date."
GEF Secretariat	17 Nov '15	Approach paper 9 Nov '15	Par. 7: medium- and long-term adaptation needs,	Changed: "...and implement <i>activities that focus on medium- and long-term adaptation needs</i> ,"
GEF Secretariat	17 Nov '15	Approach paper 9 Nov '15	Par. 19: See comment par. 1.	Changed: "...major achievements and lessons learned since the Fund's establishment in 2001."
GEF Secretariat	17 Nov '15	Approach paper 9 Nov '15	Par. 25 Gender: The first RBM for LDCF and SCCF – Adaptation Monitoring and Tracking Tool - was launched in 2010, and included gender-disaggregated indicators, where applicable. Also "It might be too early to find evidence as to whether this translates into improved performance of NAPA implementation projects", perhaps conclusions are possible.	Changed: "The Results-Based Management (RBM) Framework Adaptation Monitoring and Assessment Tool (AMAT) have 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. The focus will be on evidence regarding the use of these indicators and guidance provided, and early evidence as to whether this translates into improved performance of NAPA implementation projects."
GEF Secretariat	17 Nov '15	Approach paper 9 Nov '15	Par. 25 Resilience: "which often translates into longer term perspectives." Is this necessarily true?	Comment: Yes, it is true. Especially given we do not say 'always', but 'often'.
GEF Secretariat	18 Nov '15	Approach paper 9 Nov '15	Par. 1: The decision to establish the fund was adopted in late 2001 and the first administrative steps were approved by the Council in the spring of 2002, so it will be closer to 14 years.	See response and adjustment on earlier Par. 1 comment. The new way in which it is described does not reflect a time period, e.g. 14 or 15 years.
GEF Secretariat	18 Nov '15	Approach paper 9 Nov '15	There is a separate governing body for the LDCF and the SCCF – the LDCF/SCCF Council.	The new par. 3 reflects this.

Commenter	Date comment	Document version	Comment	Reply and responding actions taken
GEF Secretariat	18 Nov '15	Approach paper 9 Nov '15	Par. 7: "NAPs provide a process for LDCs to plan and implement : identify and address "medium- and long-term adaptation needs". From 1/CP 16	Adjusted to "Formulate and implement" from Decision 1/CP.16, pars. 15, Decision 12/CP.18, par. 1
GEF Secretariat	18 Nov '15	Approach paper 9 Nov '15	Par. 2: The role of the LDCF is broader than adaptation, it was established to support the special needs of the LDCs under the Convention. The original mandate was to support the implementation of the LDC work program, of which NAPAs are just one element. NAPAs came later, as part of the Cancun Adaptation Framework and the guidance to the GEF was provided in 5/CP.17.	Very valid point. The broader role is reflected upon in the box that discusses UNFCCC COP guidance and decisions. Adjustment made to Par. 2: The LDCF is mandated by parties to the UNFCCC to, <i>among others</i> , provide... Also, the box on UNFCCC COP guidance and decisions has been moved to Par 2 and linked to it in the text.
GEF Secretariat	18 Nov '15	Approach paper 9 Nov '15	Par. 3: "The GEF acts as an operating entity of the UNFCCC's LDCF financial mechanism": Please review the terminology here. The GEF is an operating entity of the financial mechanism of the UNFCCC. This role dates to COP 2 where the MoU between the Council and the COP was adopted. When the LDCF was established at COP 7 the GEF was entrusted with the operation of the fund.	Par. 3 adjusted: "The GEF acts as an operating entity of the financial mechanism of the UNFCCC and was entrusted with the (financial) operation of the LDCF."
GEF Secretariat	18 Nov '15	Approach paper 9 Nov '15	Par. 7: This is important: urgent and immediate does not mean short-term.	The UNFCCC talks about short-term outputs and potential long-term outcomes of NAPAs. Paragraphs 6 and 7 will be adjusted to reflect this.
GEF Secretariat	18 Nov '15	Approach paper 9 Nov '15	Par. 9: "...the implementation of elements of the LDC work program other than NAPAs and NAPs." NAPs are not part of the work program.	Agreed. Changed to: "other than NAPAs, namely the effective participation in climate change negotiations, and access to and use of climate information."
GEF Secretariat	18 Nov '15	Approach paper 9 Nov '15	Par. 19: "...and lessons learned from LDCF implementation <i>administration</i> "of more than 15 years (14)".	Changed: "...major achievements and lessons learned since the Fund's establishment in 2001."
GEF Secretariat	18 Nov '15	Approach paper 9 Nov '15	Table 1 (After Par. 10): Please compare with para 11 below and the latest progress report. The approvals here exceed total cumulative pledges to the fund by more than \$100 million. I suggest you use the figures in the aforementioned progress report (dated Sept 22, 2015). I can also review your data against what I have, but that may take more time.	The figures were already corrected with the data from the latest progress report to Council. We will further verify the data once the evaluation gets on its way.
GEF Secretariat	18 Nov '15	Approach paper 9 Nov '15	Tables 2 and 3 (After Par. 10): I need more time to review these. I suspect that the large number of cancelled and dropped projects includes projects that were in fact dropped before ever receiving Council approval. I am not sure those projects, or the pending ones, are necessarily relevant here.	Whether they are relevant depends on whether they had financial implications. In PIMS it looks as if a number of dropped projects do have financial implications, or at least in PIMS it shows that way. This will be later verified, and might also explain the 100 M USD difference in Table 1.

Commenter	Date comment	Document version	Comment	Reply and responding actions taken
GEF Secretariat	18 Nov '15	Approach paper 9 Nov '15	Par. 22 (Q1): "How relevant is LDCF support in the light of UNFCCC COP guidance and decisions, <u>GEF adaptation programming strategy,...</u> " We should think carefully whether it is appropriate to assess the relevance of LDCF support since inception against a programming strategy that has only been in place for 18 months.	Noted.
GEF Secretariat	18 Nov '15	Approach paper 9 Nov '15	Par. 23 "Assessing performance". As discussed, please note the use of "performance" in the context of e.g. AMRs.	Par. 23 was changed to reflect this.
GEF Secretariat	18 Nov '15	Approach paper 9 Nov '15	Par. 22 (Relevance): "To what extent has the LDCF contributed to resilience in the GEF portfolio through Multi Trust Fund (MTF) projects?" The framing of this question is not entirely clear. Are we simply looking at the extent to which LDCF funds are being deployed through MTF projects; or are we assessing those MTF projects to see whether they are contributing towards resilience in the GEF portfolio? Either way, I think it is important to recognize that while the programming strategy emphasizes the potential for synergies across different GEF-managed funds and focal areas, enhancing the resilience of the GEF portfolio is not an objective of the LDCF per se.	The latest LDCF and SCCF results framework, part of the GEF adaptation strategy, states the overarching goal as: "Increase resilience to the adverse impacts of climate change in vulnerable developing countries [...]" The three objectives of the results framework feed into this goal. The contribution to resilience is as such more than an objective it is the overarching goal of the adaptation portfolio of the GEF, which consists of the LDCF for the LDCs. The specific question on MTF projects has been taken out of the evaluative questions, now captured as part of the question "How does LDCF support relate to other GEF focal areas beyond climate change adaptation?"
GEF Secretariat	18 Nov '15	Approach paper 9 Nov '15	Par. 22 (Effectiveness): "How effective is the LDCF in reducing the vulnerability of people, livelihoods, physical assets and natural systems to the adverse effects of climate change?" and "... in supporting the strengthening of ... capacities for effective climate change adaptation?" Effectiveness can be assessed only for projects that have been completed or that are under implementation. Does the current programming strategy represent the best point of departure? While these objectives can be applied to earlier projects, perhaps similar ones can be drawn from COP decisions or from analysis based on the NAPAs?	An updated analysis of the NAPAs will also be part of the evaluation. The NAPA step-by-step implementation guide from the LEG contains a list of criteria to be used to guide the assessment of adaptation projects. A number of these link directly or indirectly to vulnerability reduction. The same guide provides an overview of the elements of the LDC work program, which includes the strengthening of institutional and technical capacities. The evaluation will reflect the fact that these elements are part of both the current programming strategy and the LDC work program.
GEF Secretariat	18 Nov '15	Approach paper 9 Nov '15	Par. 25 "The difference between adaptation and resilience lays in the latter's focus on capacities to not only cope, but also maintain the capacity for adaptation, learning and transformation, which often translates into longer term perspectives." It may be useful to place IPCC's definitions of resilience and adaptation side by side. The former refers to a system quality – the latter are adjustments in systems that can strengthen the resilience. The two concepts are not interchangeable, nor are they associated with specific time frames.	Noted.

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GEF Secretariat	19 Nov '15	Approach paper 9 Nov '15	I do have a concern with the Evaluation Questions and Coverage, in particular to what extent has the LDCF has contributed to resilience in the portfolio through MTF projects. The LDCF was not designed to do this. This is not the mandate of the LDCF, so I think this is not the type of question which should be asked as it relates to the LDCF. We should really focusing on whether the LDCF is fulfilling its mandate, which is outlined in the guidance which has be received from the COP, rather than issues which are not really in that guidance. How is the fund performing on financing the NAPA priorities, etc.? The LDCF may have MTF projects but this is not its core mandate.	The LEG guide on NAPA implementation indicates that "The two main options are to either pursue funding from the GEF for a single project [...] or, to design a strategy for implementing the whole NAPA. This would be done by designing an integrated or a programmatic approach that would address all of the priority needs [...]" When reading the LEG guide part on co-financing it becomes clear that the use of MTF projects is perhaps not the Fund's core mandate, but equally it makes sense as one of the options currently being pursued. But concerns are noted and MTF projects will not be regarded as being the core mandate of the Fund.
GEF Secretariat	19 Nov '15	Approach paper 9 Nov '15	The second issue relates to the strategic objectives in the current strategy and projects currently under implementation. I think you need to be careful here because many of the projects under implementation were approved using the strategy in GEF 5. So this has to be taken into consideration	Noted. See reply on earlier concerns regarding "Par. 22 (Effectiveness)."
Peer Reviewer	3 Dec '15	Approach paper 23 Nov '15	Par 10 on the LDCF and SCCF results framework: One asks himself why an annex on gender indicators is suddenly mentioned here?	The LDCF and SCCF results framework discussed in Par. 10 provides an overview of output and outcome indicators, but projects also need to report on the set of gender indicators from October 2014 onwards. This has now been clarified.
Peer Reviewer	3 Dec '15	Approach paper 23 Nov '15	On the use of the term "NAPA implementation projects": I wonder on the use of this terminology. Why not simply "priority projects"?	The term "NAPA implementation project" is part of the official UNFCCC COP language regarding LDCF decisions and guidance. It is not a linguistic choice from the side of the evaluators.
Peer Reviewer	3 Dec '15	Approach paper 23 Nov '15	Par 12 on the 2009 UNDP evaluation of their work for the LDCF and SCCF: What did this evaluation recommend?	The evaluation was not very clear as to who was targeted with the recommendations, stating that these "concern several organizations and actors, at various levels."
Peer Reviewer	3 Dec '15	Approach paper 23 Nov '15	Par 23: Although the SPA is not funded by the LDCF, this evaluative piece might be useful. I would add a paragraph on it in the previous section on evaluative evidence. It would also justify its use in designing the TOC.	Noted. The SPA has been added. Though Technical Paper 7 of the FAS was in the end use in designing the TOC. This has been adjusted in the accompanying text.
Peer Reviewer	3 Dec '15	Approach paper 23 Nov '15	Par 24: Shouldn't the TOC also be used to identify the questions?	Noted. The introduction to the questions has been rephrased to reflect the use of the TOC.
Peer Reviewer	3 Dec '15	Approach paper 23 Nov '15	Par 24 on the strategic objectives: I would concisely mention them.	They are mentioned in Box 2, just before the evaluative question.
Peer Reviewer	3 Dec '15	Approach paper 23 Nov '15	Par 24 on the Fund's efficiency: I would have this sub-question first, and based on the answer go look at the factors, in particular fund predictability (the other two sub-questions)	The sequence of questions has been changed to reflect the logic of first asking about the Fund's efficiency and only thereafter asking about the factors influencing that efficiency.

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Peer Reviewer	3 Dec '15	Approach paper 23 Nov '15	Par 24 on results and sustainability: I have read some scattered mention on gender here and there in the paper (which could maybe be expanded a bit more), but I don't understand how gender fits in the catalytic effect. I miss to see a strong logical link between these two.	The specific sentence referred to does not try to make the link between gender and catalytic effect. The questions should not be read as the first one (on catalytic effects) being the main question and the next ones being sub-questions.
Peer Reviewer	3 Dec '15	Approach paper 23 Nov '15	Par 27 on gender: I would move this under the paragraph on the 2009 evaluation, and recall it concisely here.	Noted.
Peer Reviewer	3 Dec '15	Approach paper 23 Nov '15	Par 28 on recommendations: Why not also [provide recommendations] on the future activities? Council might well be interested in this	At current there are only 11 NAPA implementation projects completed and 39 under implementation of the portfolio of 162 projects. We would like to provide recommendations towards the future, but it needs to be seen whether the current state of implementation renders evaluative evidence that is strong enough to form the foundation for future-focused recommendations.
Peer Reviewer	3 Dec '15	Approach paper 23 Nov '15	Par 32 on limitations: What about using Andy Rowe's RIE methodology? I wrote him after the webinar and as soon as I get the guidance document he promised I will share it with you	Noted. An interesting idea. Though given the rather tight timeline it needs to be seen whether adopting a novel approach – with its own learning curve – would be wise. We do see strong value in the use of the rapid impact evaluation approach once guidance has been developed.
Peer Reviewer	3 Dec '15	Approach paper 23 Nov '15	Par 33 on the state of PMIS: To address this limitation you can do the update with the help of the GEF Agencies as we use to do in CPEs and other evaluations.	Noted.
Peer Reviewer	3 Dec '15	Approach paper 23 Nov '15	Par 36 on presentation of evaluative results: Why not a 20-pages infographic summary as we did with the SGP evaluation instead?	This might be considered, though depends on the financial resources available/needed for the development of infographic materials.
CSO Network	10 Dec '15	Approach paper 23 Nov '15	In the process of achieving overarching goals in a multi – trust or multi-focal area projects; we believe that the following five 'R's of project cycle will be a good benchmark for quality assurance. - Reduce - Reuse - Recycle - Redistribute - Revive. According to the report we observed that 'Field Visits' and 'Data Collection' from the locals are two major limitations encountered. We believe CSOs involvement in these activities would improve the efficiency at this stage of evaluation.	Noted.
GEF Agency	14 Dec '15	Approach paper 23 Nov '15	Par 9 on replenishment: It could be helpful to show what funding was like annually, how it fluctuated and whether the uncertainty had any effect on work at the national level.	This will certainly be looked into as part of the final evaluation.

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GEF Agency	14 Dec '15	Approach paper 23 Nov '15	Par 14 on the 2009 joint evaluation: What was the gist of the recommendations? Summarizing it would help if this GEF IOE LDCF evaluation seeks to build on or proceed from the DANIDA study.	The recommendations were quite extensive. Those recommendations of the 2009 joint evaluation that are currently still relevant will be revisited as part of this evaluation.
GEF Agency	14 Dec '15	Approach paper 23 Nov '15	Par 24 evaluative questions: Is there an aim to also "follow-up" or draw on the earlier evaluations of the LDCF described above? It could be clearer here as to whether or not this is the intent, and if it is, you may wish to revisit the questions.	Noted. Past evaluation will certainly inform this evaluation, but the word 'update' should not be read as it being an update of any specific past evaluation, more a question as to; where do we stand right now, x years after the mentioned earlier evaluations?
GEF Agency	14 Dec '15	Approach paper 23 Nov '15	Par 24: Since many of the projects are, according to the tables above, either under endorsement/approval or implementation, much of the analysis may need to be based on the design of the projects. I wonder though if there are other interesting findings you can draw from the design of the interventions. One useful question to consider could be "to what extent have the NAPAs developed been of quality?" Since they are to be the foundation for subsequent adaptation activities in the countries, it could be worth looking into this. I'm not sure if this would be captured in one of the evaluation questions; perhaps it is.	A review of NAPAs has taken place in the past. This review will be updated with the information of the 10 NAPAs completed since that moment in time. This is further explained in Par 30.
GEF Agency	14 Dec '15	Approach paper 23 Nov '15	Par 24: Also, the draft mentions earlier that many of the NAPAs focus on the agricultural sector. It would be interesting to see from an analysis of the project designs what kind of interventions are being implemented/sought.	Noted.
GEF Agency	14 Dec '15	Approach paper 23 Nov '15	Par 27 on public involvement: Perhaps this could be done through a survey or series of telephone interviews in focus countries. Additionally, how might the study get at the issue of gender mainstreaming apart from the information-gathering approaches outlined below? Would organizations focusing on gender in selected countries be worth interviewing?	Noted.
GEF Agency	14 Dec '15	Approach paper 23 Nov '15	Par 30 on field visits: I understand the evaluation budget is rather limited. It could be challenging though to come up with a basis to choose only a few countries. Perhaps conduct some interviews with national-level stakeholders in a secondary set of countries that will not be examined quite as much in-depth. Out of the visited and "secondary" countries, it could be interesting to examine some in terms of their experience with the LDCF in moving from NAPA development to longer-term actions. Additionally, a few surveys could be used, particularly if an area of focus is to look at civic engagement.	Noted. Regarding the move from NAPA development to longer-term actions. The latter would be captured in the NAPs, but these are only currently developing. It is an interesting question, which we will be taking into account, but it might turn out to be a little too early to find an answer to it at this point in time.

Commenter	Date comment	Document version	Comment	Reply and responding actions taken
GEF Agency	5 May '16	Final report 27 April '16	<p><i>"Observations during field missions to Haiti and Lao PDR suggested that extensive replication and upscaling generally may not occur during project implementation."</i></p> <p>This is might be true, however, climate resistant local rice varieties that have been field-tested during the project, have shown positive yield results and the multiplication of these seeds have been observed through farmer- to-farmer multiplication mechanisms at a considerable scale. This information has been provided to the evaluator through the interviews and PIRs. For example, project monitoring recorded that seasonal profits from the project supported rice production increased by 78% and distribution of resistant rice varieties has reached over 100 ha of farm land in the targeted provinces. This is a clear evidence of replication! If the report is concerned with replication of a full methodology of resilient farming (and not only climate resistant rice), it did not happen.</p> <p>Indeed a full-scale adoption of a project tested <i>integrated farming systems</i> at a desirable scale could not happen during the time of project implementation and neither was this the aim or scope of the project.</p>	<p>Noted. Yes, replication was discussed earlier in the same paragraph; this sentence refers to <i>extensive</i> replication and upscaling beyond the target province.</p> <p>Changed to:</p> <p><i>"Observations during field visits to Haiti and Lao PDR suggested that extensive replication and upscaling beyond projects' target districts or provinces generally may not occur during project implementation."</i></p>
GEF Agency	May '16	Final report 27 April '16	<p>On the sentence:</p> <p><i>"Data on Lao PDR is cautiously optimistic about the sustainability of project outcomes, but states it will largely depend on successfully transferring project ownership to local stakeholders."</i></p> <p>This sentence is not quite clear. Not sure how the data can be optimistic or how the data can state that it will depend on transferring project ownership.</p>	<p>Rewritten to:</p> <p><i>"Results from the data of the Lao PDR field visit are cautiously optimistic about the sustainability of project outcomes, but state it will largely depend on successfully transferring project ownership to local stakeholders."</i></p>
GEF Agency	5 May '16	Final report 27 April '16	<p><i>"Conclusion 10: There are discrepancies in project data from the GEF Secretariat's Project Management Information System (PMIS)."</i></p> <p>Is PMIS the same as PIMS?</p>	<p>Yes, the term PMIS is used within the GEF Secretariat. It is possible that GEF Agencies use the term PIMS instead for their specific systems.</p>

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GEF STAP	5 May '16	Final report 27 April '16	Overall, I found that there was a lack on in-depth analysis presented in this evaluation, which the evaluators argue is justified by a lack of data. However, there are a number of lessons which can be learnt from the LDCF, and it is an opportunity for the GEF to lead the way in terms of adaptation funding. For instance, it would have been important to address the way climate risks are assessed in projects, how they influenced the development of project objectives, and how they may affect long-term project sustainability. In my view, the vulnerability reduction objective of the LDCF is the only one where there is an opportunity to create strong baselines supported by science, yet this is seldom done. This is where the risk of maladaptation is greatest as well, and should be investigated in a more rigorous way than it is currently done in this evaluation. Finally, it is felt that lessons could have been learnt on how projects have been differentiating between adaptation and development, if at all.	Noted.
GEF STAP	5 May '16	Final report 27 April '16	On p. 4: Has the ceiling per LDC not been recently changed to \$40 million?	Based on the latest information available to the evaluation team it is still set at \$30 million.
GEF STAP	5 May '16	Final report 27 April '16	On p.6, Box1: Check grammar of last 2 sentences. Unclear.	Box 1 shows the guidance and decisions of the UNFCCC. The formulation is as is provided in the FCCC Council Documents.
GEF STAP	5 May '16	Final report 27 April '16	On p.18-19: Figures 6 and 7 are somewhat misleading. The more relevant analysis which could be made is that the numbers presented are proportional to the geographical distribution of the 48 LDCs.	Added: "In the Latin America and Caribbean (LAC) region the portfolio includes five projects in Haiti, the only LDC in the LAC region. [...] With 36 African and 14 Asian LDCs, the numbers presented are proportional to the geographical distribution of the 51 LDCs.
GEF STAP	5 May '16	Final report 27 April '16	Generally: replace the term "extremely largely aligned", it is confusing. Replace with original term of "aligned to an extremely large extent"	Noted.
GEF STAP	5 May '16	Final report 27 April '16	Tables 6, 7, 9, 10: Revise the presentation of these tables. Remove the bottom row with the total, and replace with column or title with inclusion of sample size (e.g. n=51).	The sample size, N, has been added in the text for all figures and tables where it applies.

Commenter	Date comment	Document version	Comment	Reply and responding actions taken
GEF STAP	5 May '16	Final report 27 April '16	On p.29: National stakeholders perceived that there are “longer droughts and more extreme high temperatures and rainfall events”. This statement, if useful, should be accompanied by a form of “disclaimer” clarifying that in fact, these are perceptions, and not climate observations (e.g. droughts could be agricultural or socio-economic, and not meteorological). Several studies have shown that people’s perceptions of changes in the climate are often not correlated with reality (Osbahar et al. 2011; Simelton et al. 2013; Lebel 2014). Hence, it is possible that a greater awareness of climate change linked to mainstreamed discourses is influencing national stakeholders’ perceptions as to the increased importance of the LDCF. That is not to say that such events are not occurring, but climate change is only just becoming perceptible to the average person (Hansen et al., 2012), and other factors such as land degradation can be affecting climate change perceptions.	Noted. We actually do not make the statement that this is a perception of national stakeholders. Rewritten to: “In the subsequent decade the need for adaptation efforts has been repeatedly highlighted; longer droughts and more extreme temperatures and rainfall are examples of climatic events LDCs have to cope with and such events further emphasize the need for and relevance of LDCF support.” Studies like the Economic Commission of Africa report on drought and desertification, the review of droughts on the African continent by Masih et. al, and for example the work of Aiguo Dai on droughts under global warming support this statement.
GEF STAP	5 May '16	Final report 27 April '16	The analysis done on the “Effectiveness in Achieving Objectives” section seemed to be lacking depth. Specifically, I am still unclear how the reduction in vulnerability was assessed, and what were the findings. If the stakeholders interviewed are involved in the projects, or benefit financially in any way from the projects, how likely is it that they will answer “no” when asked about the likelihood of the project being effective in achieving its objective (i.e. Figure 10 – 96% of stakeholders responded they believed it likely to reach LDCF objective 1 from a large to very large extent). The method used to evaluate the effectiveness in achieving objectives therefore risks introducing significant bias in the analysis.	Noted. The main part of the analysis was the portfolio analysis protocol. Interviews were used for data triangulation. None of the Figures are said to be stakeholder observations or interview data. The Annex further explains portfolio analysis protocol and related data.
GEF STAP	5 May '16	Final report 27 April '16	Paragraph 66: “90% of the projects takes into account potential major risks and includes sufficient risk mitigation”. Yes, perhaps this is true for the lifetime of the project, but this is certainly not true of climate risks which affect the timeframe of expected benefits. My experience in reviewing dozens of LDCF PIFs and LDCF project documents is that they hardly ever use climate information, and if they do it is often erroneous or incomplete. This will certainly affect achieving the LDCF’s Objective 1.	Noted. The evaluation looks at the performance of the LDCF portfolio of projects. With currently 13 projects completed it is too early to include an assessment of the Fund’s impact beyond the projects’ lifetime. Par. 66 is as such a quality at entry review.
GEF STAP	5 May '16	Final report 27 April '16	Table 15: I’m curious to know how the M&E rankings were done. I went through the 11 LDCF TEs available on PMIS, and those rankings were generally different from the ones presented in Table 15 (e.g. TEs were more likely to give HS rankings across the board...).	The IEO performance team who develops the Annual Performance Reports does a full review of TE’s, which is explained in the Annex. The result can be an adjustment in ratings, which is explained in Terminal Evaluation Review (TER) documents.

Commenter	Date comment	Document version	Comment	Reply and responding actions taken
GEF STAP	5 May '16	Final report 27 April '16	Paragraph 87: change term “transformational shifts” to either “low emission path” or “climate change mitigation”. Otherwise confusing/erroneous.	Noted.
GEF STAP	5 May '16	Final report 27 April '16	Paragraph 96: Stating big numbers such as 98% of NAPA implementation projects had a high to very high probability of delivering tangible adaptation benefits (at entry) makes me uneasy. It makes it sound as though all projects are extremely successful in the LDCF, while it is quite obvious that the real reason why the numbers are so high are the timing of the data collection (i.e. at entry/CEO endorsement!)... I am not sure how much value such data sources have for the evaluation of the LDCF.	Noted. The document states this to be a quality at entry check and not an analysis of completed projects. In the conclusion it is also stated to have <i>the potential</i> to be significant. Future LDCF evaluation updates will show whether that potential has been reached.
GEF STAP	5 May '16	Final report 27 April '16	I am surprised that climate change itself was not found to be a factor in the sustainability of projects. I suspect that this relates to the way LDCF projects are initially designed (i.e. poorly supported by scientific evidence, and often with climate change being a secondary concern to development priorities), and the lack of long-term monitoring strategies/data? One striking example I can recall from a recent PIF was a project requesting LDCF funds to purchase lifejackets and emergency flares for fishermen. While certainly useful under the country's current context, these products are unlikely to be sustainable climate change adaptation options.	Noted.
GEF STAP	5 May '16	Final report 27 April '16	Paragraph 100: Almost 30% of projects completed received a moderately unlikely rating for sustainability of the outcomes. Why is this type of information not more prominently displayed and analyzed in the evaluation? Because of a lack of data/completed projects?	The next paragraph states that “A cohort of thirteen completed projects (MSP/FSP), eleven of them with terminal evaluations (TEs) and terminal evaluation reviews (TERs), is too small to draw Fund-wide conclusions.” The Quality at Entry review assessed 116 projects under implementation. The portfolio analysis consisted of 217 council approved projects.
GEF STAP	5 May '16	Final report 27 April '16	On p.53: I am extremely surprised to see only three recommendations here. I might have expected to see something about M&E or even on strengthening the quality of incoming projects. I understand, however, that if only project evaluations were used as data rather than the actual project documents, the results of this evaluation may be biased.	The portfolio analysis consisted of 217 council approved projects, but conclusions and recommendations are towards the functioning of the LDCF portfolio of projects as a whole.

Annex I: Management Response and Council Decision

This annex presents the GEF management response to and the LDCF/SCCF Council decision on the working document version of this report, which was presented to the LDCF/SCCF Council in June 2016 as GEF/LDCF.SCCF.20/ME/02. Minor editorial corrections have been made.

I.1 Management Response

The Secretariat welcomes the Program Evaluation of the Least Developed Countries Fund prepared by the GEF Independent Evaluation Office. The report provides an analysis of the LDCF portfolio, discusses the effectiveness and efficiency of the LDCF, and highlights the emerging results and potential sustainability of the LDCF projects.

The Secretariat appreciates the findings of the report and agrees with the GEF IEO that enhancing financial predictability can improve the effectiveness of the LDCF. The Secretariat notes that the means to address this need falls within the purview of the donors of the Fund.

In line with the GEF Gender Equality Action Plan, the Secretariat will continue to work to ensure that LDCF projects mainstream gender, noting that gender performance of the LDCF portfolio has improved considerably. As part of the overall upgrade of the GEF project management information systems, the Secretariat will also endeavor to correct, verify, and update the relevant LDCF project data.

I.2 Council Decision

The LDCF/SCCF Council, having reviewed Document GEF/LDCF.SCCF.20/ME/02, Program Evaluation of the Least Developed Countries Fund, and GEF/LDCF.SCCF/20/ME/03, Management Response to the Program Evaluation of the Least Developed Countries Fund, took note of the conclusions of the evaluation and endorsed the recommendations, taking into account the management response.

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