

# Program Evaluation of the Special Climate Change Fund

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FULL REPORT





Global Environment Facility  
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# **Program Evaluation of the Special Climate Change Fund**

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# Foreword

The Special Climate Change Fund (SCCF) was established in November 2001 under the United Nations Framework Convention on Climate Change (UNFCCC) to finance activities, programs, and measures relating to climate change that complement those funded by resources allocated to the Global Environment Facility (GEF) climate change focal area and by bilateral and multilateral funding.

In June 2015, the Least Developed Countries Fund (LDCF)/SCCF Council, at its 18th meeting, approved the program evaluation of the SCCF to be conducted by the Independent Evaluation Office (IEO) of the GEF in fiscal year 2017. This program evaluation is an update of the 2011 evaluation of the SCCF and provides evaluative evidence on the progress toward SCCF objectives, as well as the major achievements and lessons learned since the SCCF's establishment in 2001 and during the past nine years of project implementation. The overall purpose of this evaluation is to provide the LDCF/SCCF Council with evaluative evidence of the Fund's relevance and emerging results. The overarching goal and subobjectives of the SCCF translate into three main evaluation questions:

- How relevant is SCCF support in light of UNFCCC Conference of the Parties (COP) guidance and decisions, and in light of the GEF adaptation programming strategy?
- How effective and efficient is the SCCF and its portfolio in reaching its objectives, based on emerging results?

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

The program evaluation found that the SCCF's niche within the global adaptation finance arena has been its accessibility for non-Annex I countries and its support for innovative adaptation projects, and that the portfolio is highly likely to deliver tangible adaptation benefits. However, the SCCF's effectiveness and efficiency have been seriously undermined by limited and unpredictable resources. The SCCF's resources have been completely inadequate to meet demand, with contributions to the Fund effectively stalled since 2014.

The evaluation was presented to the LDCF/SCCF Council at its May 2017 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 SCCF was submitted as part of the GEF reporting to the UNFCCC COP 23. Final responsibility for this report remains firmly with the Office.



Juha Uitto  
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# Acknowledgments

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 further consisted of Evaluation Officer Dennis Bours, Midlevel Consultant Ronald MacPherson, and Junior Consultant Khondoker Haider. The midlevel consultant was hired to undertake specific tasks, such as conducting a country field visit, contributing to report writing, advising on desk reviews, and conducting interviews. The junior consultant was hired to conduct desk reviews and portfolio analysis. The evaluation team was supported by Evelyn Chihuguyu, Program Assistant, on contracting; and Marie-Constance Manuella Koukoui, Senior Executive Assistant, on travel arrangements.

The team would like to thank the Global Evaluation 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 three countries: Ghana—Fredua Agyeman, GEF Operational Focal Point, and Paolo Dalla Stella, Program Specialist, United Nations Development Programme Ghana; Honduras—Rosibel Martinez, GEF Operational Focal Point; Philippines—Analiza Rebueta Teh, GEF Operational Focal Point, Elma Eleria, Department of Natural Resources and Environment, Philippines, Foreign-Assisted and Special Projects Service, and Geraldine Visitacion Bacani, Program Assistant, World Bank in the Philippines.



# Abbreviations

ADB	Asian Development Bank	MSP	medium-size project
AfDB	African Development Bank	MTF	multitrust fund
AMAT	Adaptation Monitoring and Assessment Tool	NAP	national adaptation plan
CEO	Chief Executive Officer	ODS	ozone-depleting substances
COP	Conference of the Parties	OPS5	Fifth Overall Performance Study
DRM	disaster risk management	PIF	project identification form
EBRD	European Bank for Reconstruction and Development	PMIS	Project Management Information System
FAO	Food and Agriculture Organization of the United Nations	POP	persistent organic pollutant
FSP	full-size project	PROVACCA	Promoting Value Chain Approach to Adaptation in Agriculture
GCF	Green Climate Fund	SCCF	Special Climate Change Fund
GEAP	Gender Equality Action Plan	SIDS	small island developing states
GEB	global environmental benefit	TER	terminal evaluation review
GEF	Global Environment Facility	UNDP	United Nations Development Programme
IEO	Independent Evaluation Office	UNEP	United Nations Environment Programme
IDB	Inter-American Development Bank	UNFCCC	United Nations Framework Convention on Climate Change
IFAD	International Fund for Agricultural Development	UNIDO	United Nations Industrial Development Organization
LDC	least developed country	WIBI	weather index-based insurance
LDCF	Least Developed Countries Fund		
M&E	monitoring and evaluation		

The GEF replenishment periods are as follows: pilot phase: 1991–94; GEF-1 1995–98; GEF-2: 1999–2002; GEF-3: 2003–06; GEF-4: 2006–10; GEF-5: 2010–14; GEF-6: 2014–18; GEF-7: 2018–22.

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

# 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 SCCF during fiscal year 2017. This program evaluation is intended as an update of the 2011 evaluation of the SCCF and provides evaluative evidence on the progress toward SCCF objectives, as well as the major achievements and lessons learned since the SCCF's establishment in 2001 and during the past nine years of project implementation. The overall purpose of this evaluation is to provide the LDCF/SCCF Council with evaluative evidence of the Fund's relevance and emerging results.

The SCCF was recognized in 2001 as a funding channel under the Bonn Agreements on the implementation of the Buenos Aires Plan of Action, with the approval of Decision 5/CP.6 by the Sixth Conference of the Parties (COP) of the United Nations Framework Convention on Climate Change (UNFCCC) held at The Hague and Bonn. The SCCF was then established with the approval of Decision 7/CP.7 by the Seventh COP of the UNFCCC held at Marrakesh.

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

the LDCF—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 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 achieve their objectives successfully. The 18 GEF Agencies have direct access to the SCCF for the preparation and implementation of activities financed by the Fund. As of May 31, 2016, 10 GEF Agencies were involved in SCCF operations: the African Development Bank, Asian Development Bank, European Bank for Reconstruction and Development, Food and Agriculture Organization of the United Nations, Inter-American Development Bank, International Fund for Agricultural Development, United Nations Development Programme, United Nations Environment Programme, United Nations Industrial Development Organization, and World Bank. The SCCF portfolio as of October 27, 2016, consists of 74 projects that are endorsed by the GEF Chief Executive Officer (CEO), under implementation, or completed. The United Nations Development Programme has the largest financial share of the SCCF portfolio, accounting for \$91.39 million and 31.1 percent of the total number of projects. The World Bank has the second largest share of the portfolio, with \$86.81 million and 18.9 percent of total number of projects.

As a follow-up to the 2011 evaluation of the SCCF, the main objective of this program evaluation is

to provide evaluative evidence on the progress toward SCCF objectives (including GEF strategic objectives and pillars), major achievements, and lessons learned since the Fund's establishment. As part of this evaluation's methodology, a theory of change was developed for the SCCF, combining (1) GEF's strategic objectives for adaptation; (2) the GEF adaptation program objectives, outcomes, and overarching goal; and (3) the SCCF outcome areas as identified by COP decisions for funded activity windows SCCF-A and SCCF-B. The theory of change informed the development of evaluative questions, further guided the development of related methods protocols, and was used to analyze the broader progress to impact through the aggregation of available evidence on broader-scale and longer-term results.

The overarching goal and subobjectives of the Fund translate into three main evaluation questions and a number of subquestions grouped by the core evaluation criteria. The evaluation team assessed the performance and progress of the SCCF using aggregated data gathered against these questions:

- **Relevance.** How relevant is SCCF support in light of UNFCCC COP guidance and decisions and the GEF adaptation programming strategy?
- **Effectiveness and efficiency.** How effective and efficient is the SCCF and its portfolio in reaching its objectives, based on emerging results?
- **Results and sustainability.** What are the emerging results of the SCCF and its portfolio and factors that affect the sustainability and resilience of these results?

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

addressed consistently and coherently. The team applied the portfolio-analysis protocol to 117 projects—medium-size projects (MSPs) and full-size projects (FSPs)—at various stages of implementation, and the quality-at-entry review protocol to 74 MSP/FSP projects that were either CEO endorsed, under implementation, or completed as of October 2016. Because SCCF projects are at different stages of implementation, the status of each project determined how and to what extent it was included in the SCCF program evaluation according to the core evaluation criteria.

In addition to document and project reviews, the team conducted field visits to three countries (Ghana, Honduras, and the Philippines) and interviewed key stakeholders to cross-check and validate the data collected. Finally, the evaluation team analyzed and triangulated data collected to determine trends and formulate main findings, conclusions, lessons, and recommendations. The evaluation matrix summarizes key questions, indicators or basic data, sources of information, and methodology and was used to guide the analysis and triangulation.

In its evaluation of the SCCF, the GEF Independent Evaluation Office reached the following eight conclusions:

**Conclusion 1: SCCF support has been highly relevant to UNFCCC guidance, to GEF adaptation strategic objectives, and to countries' national environmental and sustainable development goals and agendas.** The evaluation confirmed that there is a high degree of coherence between the SCCF portfolio's project objectives and the priorities and guidance provided to the Fund from the UNFCCC. The SCCF portfolio is also highly complementary to the three GEF adaptation strategic objectives of reducing vulnerability, strengthening capacities, and mainstreaming adaptation. SCCF projects were also found to be strongly country

driven and well aligned with national environmental and sustainable development policies, plans, and priorities, including, but not limited to, countries' specific climate change goals.

**Conclusion 2: The relevance of SCCF support to other, non-adaptation GEF focal areas—and to GEF's global environmental benefits—is limited.**

The extent to which SCCF projects were relevant to other (non-adaptation) GEF focal areas was limited. While almost 45 percent of projects will potentially contribute to the GEF focal area of land degradation, the apparent potential for contributing to other focal areas is far more modest. Similarly, the SCCF portfolio's likely contributions to global environmental benefits will be very limited and restricted to the global environmental benefit of sustainable land management.

**Conclusion 3: The SCCF's niche within the global adaptation finance arena has been its accessibility for non-Annex I countries and its support for innovative adaptation projects.**

The accessibility of the SCCF to non-Annex I countries was consistently identified by stakeholders as the main distinguishing factor of the Fund, with this being particularly important given the lack of other adaptation-focused grant sources for non-LDCs. The SCCF's support for innovative projects was also identified as another comparatively distinctive element of the Fund. This openness to innovation was seen to be particularly important in light of the nascent Green Climate Fund (GCF). A number of stakeholders felt that the SCCF had the potential to be the ideal incubator for countries to test and refine project concepts prior to seeking large-scale finance through the GCF.

**Conclusion 4: The SCCF portfolio is highly likely to deliver tangible adaptation benefits and catalytic effects.** The evaluation estimated that virtually all SCCF projects (98.7 percent) had either a high or a very high probability of

delivering tangible adaptation benefits; this was supported by evidence gathered during country visits, when benefits already being delivered by SCCF projects were evaluated. Virtually all projects were also found to have achieved some degree of catalytic effect, whereby SCCF work had a positive influence on activities, outputs, and outcomes beyond the immediate project.

**Conclusion 5: The ultimate catalytic effect of scaling-up often demands further investments.**

Most projects had obvious potential to achieve the ultimate catalytic goal of scaling-up, and a number of evaluations identified the institutional capacities that were developed and the political awareness that was built as two critical foundations for possible future scaling-up. But the key constraint to actual scaling-up was the post-implementation difficulty in securing sufficient resources and/or mainstreaming the work within, for example, national budgets.

**Conclusion 6: The SCCF's effectiveness and efficiency has been seriously undermined by limited and unpredictable resources.**

Despite the continued relevance of the Fund, its popularity among non-Annex I countries, and evidence that tangible adaptation results are being delivered, the SCCF's resources have been completely inadequate to meet demand, with contributions to the Fund effectively stalled since 2014. This is obviously affecting the SCCF's short-term performance, but there is a significant risk that longer-term performance is also being undermined. As a direct consequence of the limited and unpredictable resources, some GEF Agencies have confirmed that they are no longer considering or promoting the SCCF when discussing proposal developments with project partners. The time, financial cost, and political capital required to develop and build support for proposals could not be justified against the high risk of no funding being available. The SCCF resource situation can be characterized

as a vicious circle: No resources are available, so no proposals are developed, which can be interpreted by donors as limited interest or lack of demand, so donors do not provide resources.

**Conclusion 7: The gender sensitivity of the SCCF portfolio has strengthened over time, with this improvement almost certainly influenced by the GEF’s Policy on Gender Mainstreaming and the Gender Equality Action Plan.** Based on analysis of three project elements—project design, project monitoring and evaluation, and project implementation—the evaluation found that the gender sensitivity of SCCF projects has improved markedly across all three elements. For example, while 84.2 percent of SCCF projects during GEF-4 had no gender mainstreaming plan, this proportion dropped to 12.5 percent during GEF-6. Important drivers behind this improvement are almost certainly the introduction of the GEF Policy on Gender Mainstreaming during the GEF-5 cycle, and the approval of the Gender Equality Action Plan during GEF-6.

**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 that 64 of the 117 projects reviewed had an incorrect project status in the PMIS. Moreover, cross-checking

the available project data with GEF Agencies and progress reports to Council revealed further discrepancies in PMIS data.

## RECOMMENDATIONS

In its evaluation of the SCCF, the GEF Independent Evaluation Office reached the following three recommendations:

**Recommendation 1:** Reaffirming and strengthening a recommendation from the previous SCCF program evaluation in 2011, the GEF Secretariat should prioritize the development of mechanisms that ensure predictable, adequate, and sustainable financing for the Fund, given its support for and focus on innovation.

**Recommendation 2:** The GEF Secretariat should articulate and publicly communicate the SCCF’s niche within the global adaptation finance landscape, to include an explicit statement regarding the SCCF’s relation with—and complementarity to—the GCF.

**Recommendation 3:** The GEF Secretariat should ensure that PMIS data are up to date and accurate.



# 1: Introduction

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 (IEO) of the Global Environment Facility (GEF), which includes a program evaluation of the SCCF during fiscal year 2017 (GEF IEO 2015). This program evaluation is intended as an update of the 2011 evaluation of the SCCF (GEF IEO 2011b, GEF IEO 2012a) and provides evaluative evidence on the progress toward SCCF objectives, as well as the major achievements and lessons learned since the SCCF's establishment in 2001 and during the past nine years of project implementation. The overall purpose of this evaluation is to provide the LDCF/SCCF Council with evaluative evidence of the Fund's relevance and emerging results.

The SCCF was recognized in 2001 as a funding channel under the Bonn Agreements on the implementation of the Buenos Aires Plan of Action (COP-6, Part 2), with the approval of Decision 5/CP.6 by the Sixth Conference of the Parties (COP) of the United Nations Framework Convention on Climate Change (UNFCCC) held at The Hague and Bonn (UNFCCC 2001). The SCCF was then established with the approval of Decision 7/CP.7 by the Seventh COP of the UNFCCC held at Marrakesh (UNFCCC 2002). The decision states:

That a special climate change fund shall be established to finance activities, programmes and measures related to climate change that are

complementary to those funded by the resources allocated to the Global Environment Facility climate change focal area and by bilateral and multilateral funding, in the following areas:

- (a) Adaptation;
- (b) Technology transfer;
- (c) Energy, transport, industry, agriculture, forestry and waste management; and
- (d) Activities to assist developing country Parties referred to under Article 4, paragraph 8 (h) [i.e., economies dependent on income from fossil fuels] in diversifying their economies. (UNFCCC 2001, 44; UNFCCC 2002, 38)

The SCCF is mandated by parties to the UNFCCC to provide support to parties not included in Annex I of the UNFCCC. With its broad scope covering climate change adaptation as well as mitigation, the SCCF represented the only comprehensive climate change fund under the UNFCCC until the establishment of the Green Climate Fund (GCF). Subsequent guidance was provided to the GEF by COP-6 (2001), COP-7 (2001), COP-8 (2002), COP-9 (2003), COP-10 (2004), COP-12 (2006), COP-16 (2010), COP-18 (2012) and COP-21 (2015), all of which helped to further define the design of the SCCF (UNFCCC 2001, Decision 5/CP.6; UNFCCC 2002, Decision 4/CP.7, Decision 5/CP.7, and Decision 7/CP.7; UNFCCC 2003, Decision 7/CP.8; UNFCCC 2004, Decision 5/CP.9; UNFCCC 2005, Decision 1/CP.10; UNFCCC 2007, Decision 1/CP.12; UNFCCC 2011, Decision 2/CP.16 and Decision 4/CP.16; UNFCCC

2013, Decision 9/CP.18; and UNFCCC 2016, Decision 1/CP.21). An overview of UNFCCC COP guidance and decisions is provided in [annex A](#). In particular, at COP-9 and COP-12, the SCCF was requested to prioritize funding for different activities granting “top priority” to adaptation activities that focus on health, disaster risk management (DRM), technology transfer, mitigation activities in specific sectors, and activities that support economic diversification with the aim of moving away from the production, processing, export, and/or consumption of fossil fuels and associated energy-intensive products. The SCCF is structured to support activities in four windows (figure 1.1).

By the first LDCF/SCCF Council meeting in December 2006, 13 contributing participants

had pledged \$61.5 million toward the SCCF, of which \$40.6 million was received in payments (GEF 2006). Subsequently, cumulative net project allocations approved by the Council or Chief Executive Officer (CEO) amounted to \$17.1 million as of April 30, 2007, and the first SCCF projects started implementation in August 2007 (GEF 2007).

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

**FIGURE 1.1** Overview of SCCF activity windows

<b>SCCF-A: Adaptation</b>	<b>SCCF-B: Transfer of technology</b>
<p>Adaptation in the following areas:</p> <ol style="list-style-type: none"> <li>1. Water resources management</li> <li>2. Land management</li> <li>3. Agriculture</li> <li>4. Health</li> <li>5. Infrastructure development</li> <li>6. Fragile ecosystems (including mountain ecosystems)</li> <li>7. Integrated coastal zone management</li> </ol> <p style="text-align: right;">(COP-9 Decision 5/CP.9, Par.2)</p>	<ol style="list-style-type: none"> <li>1. Implementation of the results of technology needs assessments</li> <li>2. Technology information</li> <li>3. Capacity building for technology transfer</li> <li>4. Enabling environments</li> </ol> <p style="text-align: right;">(COP-9 Decision 5/CP.9, Par.3)</p>
<b>SCCF-C: Mitigation in selected sectors</b>	<b>SCCF-D: Economic diversification</b>
<p>Sectors, including:</p> <ol style="list-style-type: none"> <li>1. Energy</li> <li>2. Transport</li> <li>3. Industry</li> <li>4. Agriculture</li> <li>5. Forestry</li> <li>6. Waste management</li> </ol> <p style="text-align: right;">(COP-12 Decision 1/CP.12, Par.1)</p>	<ol style="list-style-type: none"> <li>1. Capacity building at the national level in the area of economic diversification</li> <li>2. Technical assistance with respect to the investment climate, technological diffusion, transfer and innovation, and investment promotion of less GHG-emitting, environmentally sound energy sources and more advanced fossil-fuel technologies</li> </ol> <p style="text-align: right;">(COP-12 Decision 1/CP.12, Par.2)</p>



SCCF Council can modify these procedures in response to COP guidance or to facilitate LDCF/SCCF operations to enable them to achieve their objectives.

Unlike the GEF Trust Fund, which is replenished every four years, the SCCF receives voluntary contributions with no regular replenishment schedule. Because requests for funding significantly exceed the available resources—and in response to a recommendation from the previous SCCF program evaluation—preselection criteria were developed in 2012 that focus on project or program quality, balanced distribution of funds in eligible countries, equitable regional distribution, balanced support for all priority sectors, and balanced distribution among GEF Agencies based on comparative advantage (GEF 2012b, 2012c).

The SCCF works with the same 18 Agencies as the GEF. They comprise the original three GEF Implementing Agencies—the United Nations Development Programme (UNDP), United Nations Environment Programme (UNEP), and World Bank—plus the seven former Executing Agencies: the Asian Development Bank (ADB), African Development Bank (AfDB), European Bank for Reconstruction and Development (EBRD), Food and Agriculture Organization of the United Nations (FAO), Inter-American Development Bank (IDB), International Fund for Agricultural Development (IFAD), and United Nations Industrial Development Organization (UNIDO). These 10 entities are called the GEF Agencies. Eight newly accredited Agencies—Conservation International; the Development Bank of Latin America (CAF); the Development Bank of Southern Africa; the Foreign Economic Cooperation Office, Ministry of Environmental Protection of China; Fundo Brasileiro para a Biodiversidade; the International Union for Conservation of Nature and Natural Resources; the West African Development Bank; and the United States World Wildlife Fund—are

called GEF Project Agencies. These 18 GEF Agencies have SCCF access for the preparation and implementation of activities financed by the Fund. This report uses the term “GEF Agencies” to refer to both GEF Agencies and GEF Project Agencies.

As of May 31, 2016, 10 GEF Agencies were involved in SCCF operations: the ADB, AfDB, EBRD, FAO, IDB, IFAD, UNDP, UNEP, UNIDO, and World Bank. The SCCF portfolio as of October 27, 2016, consists of 74 projects that are CEO endorsed, under implementation, or completed.<sup>1</sup>UNDP has the largest financial share of the SCCF portfolio, \$91.39 million, or 27.4 percent of total funds approved, and 31.1 percent of the total number of projects ( $n = 74$ ). The World Bank has the second largest share of the portfolio with \$86.81 million, or 26 percent of total funds approved, and 18.9 percent of total number of projects. Of the 74 projects, 8 are medium-size projects (MSPs), while 66 are full-size projects (FSPs). According to GEF’s Project Management Information System (PMIS), cross-referenced with progress reports to the LDCF/SCCF Council, a total of \$333.45 million in project financing has been allocated for these projects, while they leveraged \$2.47 billion in cofinancing. Nine of the 74 projects are multitrust fund (MTF) projects, representing a total SCCF financing value of \$23.48 million.

The average duration of an SCCF project is four years and three months. A total of 6 MSPs and 12 FSPs, with an SCCF financing value of \$84.16

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<sup>1</sup> It should be noted that the World Bank multitrust fund project Adaptation to the Impact of Climate Change in Water Resources for the Andean Region (GEF ID 5384) was marked as canceled in the GEF’s PMIS at the cut-off date of October 27, 2016, and has been treated as canceled as part of this evaluation. The Development Bank of Latin America (CAF) took over as lead agency, and the project is currently pending CEO endorsement for the funding value of \$10.62 million, of which \$9.26 million requested is SCCF funding.

million, has been completed. These 18 completed projects leveraged \$350.85 million in cofinancing; 15 of these projects received a terminal evaluation; and 13 received terminal evaluation review (TER) ratings as reported in the annual performance reviews.

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

on its undisbursed balance (World Bank 2016). As of September 30, 2016, cumulative funding decisions by the LDCF/SCCF Council and the GEF CEO amounted to \$357.4 million (World Bank 2016).

An overview of basic figures regarding numbers of projects and budgetary allocation is presented in tables 1.1, 1.2, and 1.3. An overview of completed SCCF projects is provided in [annex B](#). More extensive tables on the SCCF portfolio composition are provided in [annex C](#).

The SCCF is one of only a limited number of multilateral funds providing funding for innovative adaptation projects, but its COP-prescribed mandate goes well beyond adaptation. Each of the multilateral funds in figure 1.2 has its specific focus or niche. For example, the niche of

**TABLE 1.1** Number of SCCF projects by fund and status

Project status	MSPs		FSPs		MSPs + FSPs		% of total
	SCCF	MTF	SCCF	MTF	SCCF	MTF	
CEO endorsed/approved	0	0	9	4	9	4	17.6
Under implementation	1	1	37	4	38	5	58.1
Project completion	6	0	12	0	18	0	24.3
Subtotal	7	1	58	8	65	9	100.0
Total <sup>a</sup>	8		66		74		

**SOURCE:** PMIS and GEF Agency project data.

**NOTE:** Cutoff date for portfolio analysis data was October 27, 2016. Project count and status might have changed since.

a. Total takes only CEO endorsed/approved, under implementation, and completed projects into account.

**TABLE 1.2** Budgetary allocation to SCCF projects by project status (million \$)

Project status	MSPs		FSPs		MSPs + FSPs		% of total
	SCCF	MTF	SCCF	MTF	SCCF	MTF	
CEO endorsed/approved	0.00	0.00	47.60	8.21	47.60	8.21	16.7
Under implementation	2.19	0.50	176.02	14.78	178.21	15.28	58.0
Project completion	6.39	0.00	77.77	0.00	84.16	0.00	25.2
Subtotal	8.59	0.50	301.38	22.98	309.97	23.48	100.0
Total <sup>a</sup>	9.09		324.37		333.45		

**SOURCE:** PMIS and GEF Agency project data.

Note: Cutoff date for portfolio analysis data was October 27 2016. Project count and status might have changed since.

a. Total takes only CEO endorsed/approved, under implementation, and completed projects into account.

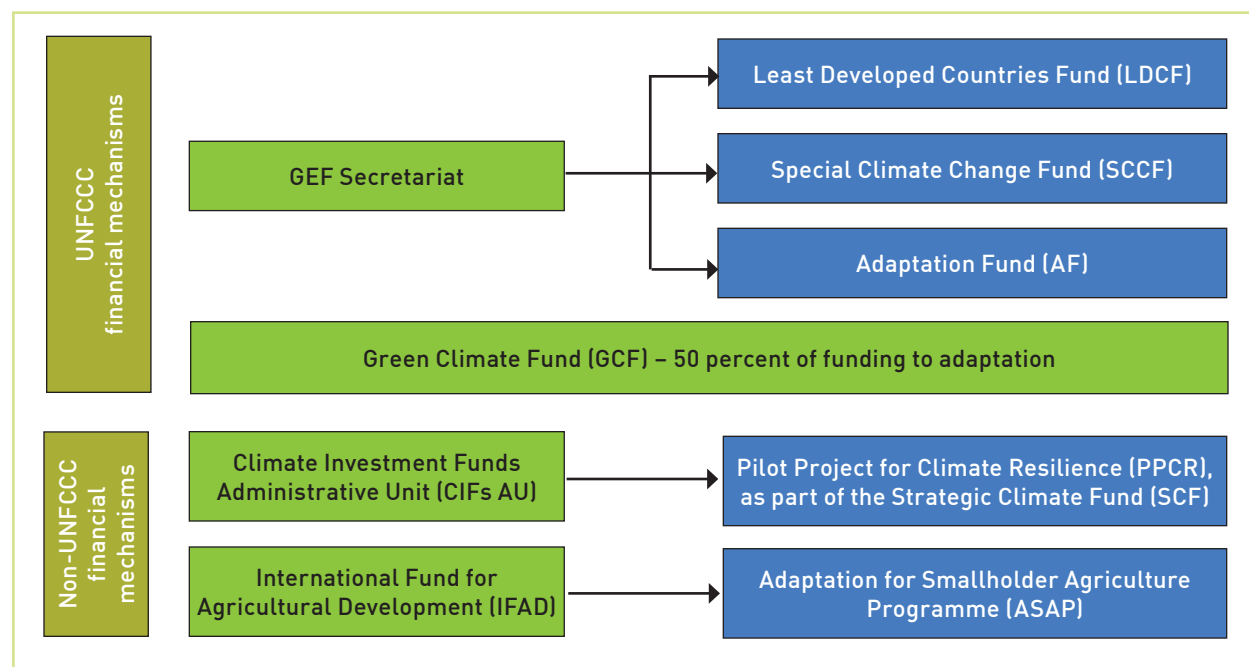
**TABLE 1.3** Budgetary allocation and cofinancing of SCCF projects by project modality (million \$)

Project modality	Trust fund	No. of projects	Funding	Cofinancing	Subtotal	Cofinancing (as % of total)
MSP	SCCF	7	8.59	23.30	31.89	73.1
	MTF	1	0.50	7.00	7.50	93.3
FSP	SCCF	58	301.38	2,064.80	2,366.19	87.3
	MTF	8	22.98	374.55	397.53	94.2
MSP + FSP	SCCF	65	309.97	2,088.10	2,398.07	87.1
	MTF	9	23.48	381.55	405.03	94.2
Total <sup>a</sup>		74	333.45	2,469.65	2,803.11	88.1

**SOURCE:** PMIS and GEF Agency project data.

**NOTE:** Cutoff date for portfolio analysis data was October 27, 2016. Project count and status might have changed since.

a. Total takes only CEO endorsed/approved, under implementation, and completed projects into account.

**FIGURE 1.2** Multilateral financial mechanisms with an adaptation focus

the Adaptation Fund has been community-based adaptation, while the GCF has taken previously financed concepts to scale in order to achieve transformational impact. The SCCF has focused more on highly innovative approaches in new and emerging adaptation areas, aiming to provide a basis for scaling-up by other financing mechanisms.

The emergence of the GCF is changing the international climate finance landscape. The GCF was proposed during the 2009 Conference of Parties (COP-15) in Copenhagen, Denmark; formally established during the 2010 COP (COP-16) in Cancun, Mexico; accepted by parties during the 2011 COP (COP-17) in Durban, South Africa; and made

operational in the summer of 2014 (Lattanzio 2014). It aims to support a paradigm shift in the global response to climate change by allocating resources to low-emission and climate-resilient projects and programs in developing countries. It does so in the form of grants, equity investments, and concessional lending. In contrast, the SCCF provides only grants (GCF 2013, 2016b). With an adaptation and mitigation mandate, a combination

of financial instruments, \$9.9 billion in signed pledges, and \$1.8 billion of that amount already received, the GCF is expected to change the landscape of international climate finance, and that might potentially change the role of the SCCF (GCF 2016a, 2016c)

## 2: Approach and methodology

In the second half of 2016, the IEO prepared an approach paper outlining the objectives and methods to be used in this program evaluation of the SCCF. This paper was circulated to key stakeholders and published online for comment and input. The approach paper and audit trail of comments and actions taken are available on the IEO [website](#).

As a follow-up to the 2011 evaluation of the SCCF, the main objective of this program evaluation is to provide evaluative evidence on the progress toward SCCF objectives, including GEF strategic objectives and pillars, major achievements, and lessons learned since the Fund's establishment.

The primary stakeholders for this evaluation are the GEF Secretariat and GEF Agency staff, and LDCF/SCCF Council members. Secondary stakeholders are staff of the GEF Scientific and Technical Advisory Panel, staff from governments and country focal points, country-level project implementers, and other GEF stakeholders and beneficiaries.<sup>1</sup> The evaluation's target audience is the LDCF/SCCF Council members, other LDCF/SCCF and GEF stakeholders, the general public, and professionals interested in climate change

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<sup>1</sup>Stakeholders are agencies, organizations, groups, or individuals who have a direct or indirect interest in the development intervention or its evaluation (OECD DAC 2010).

adaptation, technology transfer, and related development and capacity building.<sup>2</sup>

### 2.1 Theory of change

A theory of change was developed for the SCCF (figure 2.1), combining (1) GEF's strategic objectives for adaptation (box 2.1); (2) the GEF adaptation program objectives, outcomes, and overarching goal (as identified in the GEF adaptation program results framework [[annex D](#)]); and (3) the SCCF outcome areas as identified by COP decisions for funded activity windows SCCF-A and SCCF-B.<sup>3</sup>

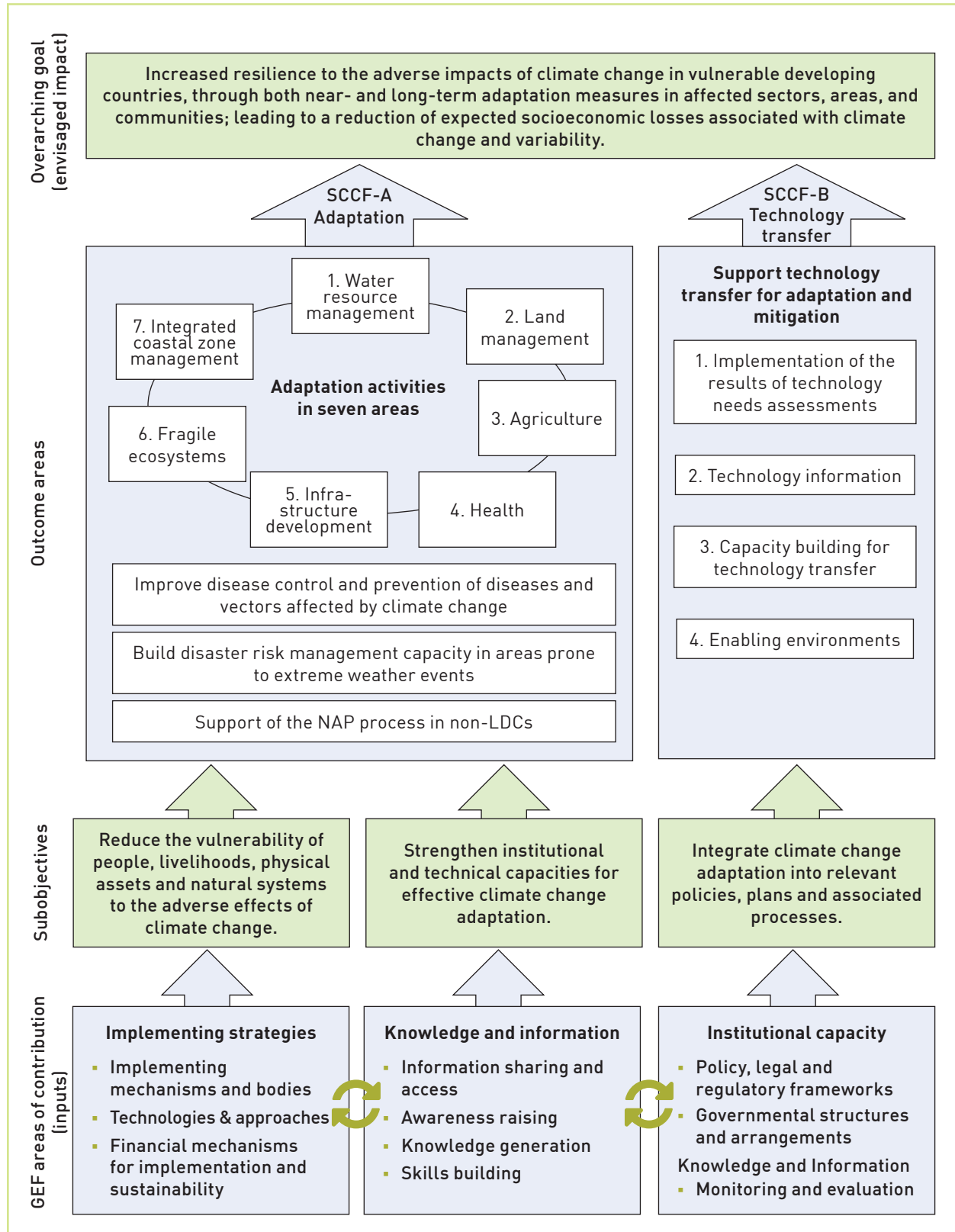
The theory of change informed the development of evaluative questions, guided the development of related methods and protocols, and was used to analyze the broader progress to impact

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<sup>2</sup>The audience is agencies, organizations, groups, or individuals who will gain experience and learn from evaluation information and findings (Yarborough et al. 2011), as well as those potentially affected by the outcome of the evaluation, are in a position to make decisions about the evaluation, and/or intend to use the evaluation process or findings to inform their decisions and actions (Patton 2008).

<sup>3</sup>The SCCF-B activity window includes components for both adaptation to climate change impacts and mitigation of greenhouse gases. SCCF-B's technology-transfer component for mitigation falls outside the scope of the GEF's strategic objectives for adaptation and results framework, as visible in [annex D](#).

FIGURE 2.1 Theory of change evaluative questions



### BOX 2.1 GEF strategic objectives and pillars

The future direction charted by the GEF Programming Strategy on Adaptation to Climate Change for the LDCF and SCCF (GEF 2014a) is captured in two strategic pillars that are intended to guide programming under the LDCF and the SCCF towards 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

The strategy has three strategic objectives (as included in the theory of change discussed below):<sup>2</sup>

- 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

These objectives and pillars are used to evaluate the Fund's performance against, and the full results framework for the GEF adaptation program (GEF 2014c) is provided in [annex D](#).

through the aggregation of available evidence on longer-term results.

## 2.2 Breadth and depth of coverage

This evaluation covers the time frame from the formal establishment of the SCCF in December 2001 up to the 21st LDCF/SCCF Council Meeting

in October 2016. The focus has been on progress since June 2011, which was the cutoff date for the earlier SCCF evaluation.

This evaluation has not examined results of adaptation activities supported by the GEF apart from those within SCCF activity windows A and B. Activity windows SCCF-C and SCCF-D were excluded from results measurement due to the absence of contributions and activities.

**Resilience.** The latest results framework for the GEF adaptation program ([annex D](#)) provides this overarching 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.<sup>4</sup>

The three objectives of the results framework feed into this goal. This evaluation has focused on identifying early evidence as to whether projects have contributed, or are likely to contribute, to increased climate change resilience.

**Gender.** The 2011 evaluation of the SCCF did not analyze or even mention gender. Consistent with the GEF's operational policies and procedures on gender mainstreaming, however, from October 2014 onward, SCCF projects have applied GEF's five core gender indicators ([annex E](#); GEF 2014d). The results-based management framework Adaptation Monitoring and Assessment Tool (AMAT) has recently been updated to include these gender indicators in accordance with the GEF's Gender Equality Action Plan (GEAP), though

<sup>4</sup> "Climate resilience refers to the outcomes of evolutionary processes of managing change in order to reduce disruptions and enhance opportunities" (IPCC 2014, 1108).

the results-based management framework and the AMAT already included gender-disaggregated indicators since the tool's introduction in October 2010 (GEF 2014c, 2010). This evaluation focused on identifying evidence regarding the use of these indicators, and on identifying early evidence as to whether this actually translates into improved gender performance across SCCF projects.

The overarching goal and subobjectives of the Fund (figure 2.1) translate into three main evaluation questions and a number of subquestions grouped by the core evaluation criteria. ([Annex G](#) presents the evaluation matrix.) The evaluation team assessed the performance and progress of the SCCF using aggregated data gathered against these questions.

**Relevance.** How relevant is SCCF support in light of UNFCCC COP guidance and decisions, and the GEF adaptation programming strategy?

- How relevant is SCCF support in relation to the guidance and decisions of the UNFCCC, informing the Fund's mandate?
- How likely is it that the adaptation components of the SCCF will be achieving the three strategic objectives of the GEF programming strategy on adaptation to climate change?
- How does SCCF support relate to other GEF focal areas?
- What is the niche of the SCCF in the global adaptation finance landscape of multilateral financial mechanisms?

**Effectiveness and efficiency.** How effective and efficient is the SCCF and its portfolio in reaching its objectives, based on emerging results?

- How likely is it that projects in the SCCF portfolio will deliver tangible adaptation benefits?
- How efficient is the Fund's project cycle?

- What are the main factors that have been affecting the Fund's efficiency?
- How have resource flows and resource predictability, or the lack thereof, affected the Fund's programming?
- How has the preselection process for priority project concepts influenced the Fund's efficiency and effectiveness?

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

- What are the emerging results produced by the SCCF to this point?
- 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 SCCF?
- To what extent are the emerging results of SCCF support sustainable?

## 2.3 Evaluation design

At the evaluation's onset, the team conducted a meta-evaluation review of recent evaluations conducted by the IEO, the evaluation offices of GEF Agencies, and others that have reviewed the SCCF and/or individual SCCF-supported projects. The team also reviewed GEF-specific documents on the SCCF and related interventions, 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 chapter 3.

A portfolio analysis protocol, including a quality-at-entry review, was developed using a survey tool to assess the projects systematically, so as



to ensure that key project-level questions were addressed consistently and coherently ([annex H](#)). The team applied the portfolio analysis protocol to 117 projects—MSPs and FSPs—at various stages of implementation. It applied the quality-at-entry review protocol to 74 projects that were endorsed by the GEF CEO, under implementation, or completed as of October 2016. Because SCCF projects are at different stages of implementation, the status of each project determined how and to what extent it was included in the SCCF evaluation according to the core evaluation criteria (table 2.1).

The evaluation team developed a database of all SCCF 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 PMIS and verified by the GEF Agencies. The SCCF project database and information from the portfolio analysis protocol allowed for aggregation at the portfolio level, enabling evaluation of the SCCF as a whole.

All available project documentation—including project preparation grant requests, project identification forms (PIFs), requests for CEO endorsement/approval, project documents, LDCF/SCCF AMAT and tracking tools for other focal areas, project implementation reports, midterm reviews, terminal evaluations, and

TERs—was reviewed during the evaluation. The evaluation’s findings on sustainability are primarily based on data for 13 projects that have been completed and for which a terminal evaluation has been submitted and a TER rating was completed.

In addition to the document and project reviews, the team conducted field visits to three countries—Ghana, Honduras, and the Philippines—and interviewed key stakeholders to cross-check and validate the data collected. These countries were selected to cover multiple regions and to visit an appropriate mix of SCCF-supported projects. The field visits were a critical component of the evaluation, as they provided in-depth, field-verified inputs to the findings and recommendations.

Staff of the GEF Secretariat, the GEF Agencies, the UNFCCC Secretariat, civil society organizations and government officials, project implementers, beneficiaries, and other country-level stakeholders were interviewed. A full list of the people consulted is presented in [annex F](#).

Finally, the evaluation team analyzed and triangulated data collected to determine trends and formulate main findings, conclusions, lessons, and recommendations. The evaluation matrix ([annex G](#)) summarizes the key questions, indicators or basic data, sources of information, and methodology, and was used to guide the analysis and triangulation.

**TABLE 2.1** Inclusion of SCCF projects according to project status

Status	Core criteria		
	Relevance	Effectiveness/efficiency	Results and sustainability
Completed	Full	Full	Full
Under implementation	Full	Likelihood	Not applicable
CEO endorsed, but not under implementation	Expected	Not applicable	Not applicable

## 2.4 Limitations

The evaluation was subject to limitations due to the level of maturity and small size of the SCCF portfolio. It was not possible to conduct an all-encompassing analysis of the impacts and results of the portfolio at this stage, given that only a limited number of projects have reached their midterm, and only 13 projects have been completed for which a terminal evaluation has been submitted and a TER rating has been completed.

Another limitation was that, because of time constraints, only a small number of projects could be visited. The evaluation also faced problems obtaining up-to-date information on the status of SCCF projects due to the GEF PMIS not being regularly updated. PMIS data were compared with LDCF/SCCF Council progress reports, and GEF Agencies were requested to verify project data before project reviewing.

## 3: Meta-evaluation review

The UNDP Evaluation Office carried out an independent evaluation of UNDP's work with LDCF/SCCF resources, published in 2009 (UNDP 2009). The evaluation found that average time elapsed between PIF approval and CEO endorsement/approval of projects was approximately 13 months, well within the 22-month maximum permitted time frame for FSP preparation that starts at PIF approval. The evaluation concluded that, due to "the freezing of SCCF funding, the [project cycle] has been on hold for several years... and PIFs made previously may become obsolete and need to be redefined, should new funding become available" (UNDP 2009, 26). It should be noted that currently there is no hard pipeline of SCCF projects. Once projects are submitted and assessed for technical merit by the GEF Secretariat in collaboration with the GEF Scientific and Technical Advisory Panel, they are either approved or not approved. Funding proposals that were not approved are not queued into a pipeline, as is the case for the LDCF. The evaluation's recommendations were not well targeted; rather, they concerned "several organizations and actors, at various levels." It was not always clear whether individual recommendations were aimed at the LDCF or SCCF specifically.

The 2011 evaluation of the GEF Strategic Priority for Adaptation pilot program aimed to provide lessons learned from implementation of the first climate change adaptation strategy supported by the GEF (GEF IEO 2011a). One of the evaluation's

recommendations stated that the GEF should continue to provide explicit incentives to mainstream resilience and adaptation to climate change into the GEF focal areas as a means of reducing risks to the GEF portfolio. The expanding of synergies with other GEF focal areas is one of the two strategic pillars of the GEF programming strategy on climate change adaptation for the LDCF and the SCCF (GEF 2014a).

The IEO conducted an evaluation of the SCCF in 2011 (the predecessor to this evaluation). The Office aimed to answer the overarching question, What are the key lessons that can be drawn from the implementation of the SCCF 10 years after its inception? (GEF IEO 2012a). During the evaluation, it became clear that, because of the early stages of implementation of most SCCF projects, conclusive evidence on results was sparse. Of the 35 SCCF projects reviewed, 15 were under implementation, while two were completed. The evaluation included 12 conclusions and two recommendations, which can be found in [annex I](#). The conclusions focused on relevance of the SCCF and funded activity windows, the role of innovation and learning in the SCCF, the impact of the unpredictability of funding availability, and branding of SCCF projects. The first recommendation appealed to donors to fund the SCCF adequately and predictably, preferably through a replenishment process. The second recommendation was aimed at the GEF Secretariat: to ensure transparency of the project preselection

process, to disseminate good practice properly, and to ensure improvements in the visibility of the SCCF as funding source. The GEF Secretariat agreed with most conclusions and fully endorsed the evaluation's recommendations (GEF 2011b). The Council requested the Secretariat to prepare proposals to ensure transparency of the project preselection process, dissemination of good practices through existing channels, and visibility of the Fund by requiring projects to identify their funding sources (GEF 2011c). Transparency of the preselection process was covered by the GEF's preselection criteria follow-up, while other elements of work were tracked in the management action record as part of the IEO's progress report and work program for the LDCF and SCCF (GEF 2012b; GEF IEO 2013c).

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 2013a). The evaluation concluded that, in most cases, the GEF-5 focal areas do not draw on a systematic identification of the envisaged causal relationships between different elements of the relevant strategy. However, causal links between GEF activities and the chains of causality toward the achievement of expected results are implicit in the GEF focal area strategies. Technical Paper 7 of the evaluation focused on climate change adaptation under the LDCF and SCCF (GEF IEO 2012b). The paper makes the causal linkages for GEF adaptation activities more explicit, and it 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 (GEF IEO 2012c).

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

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

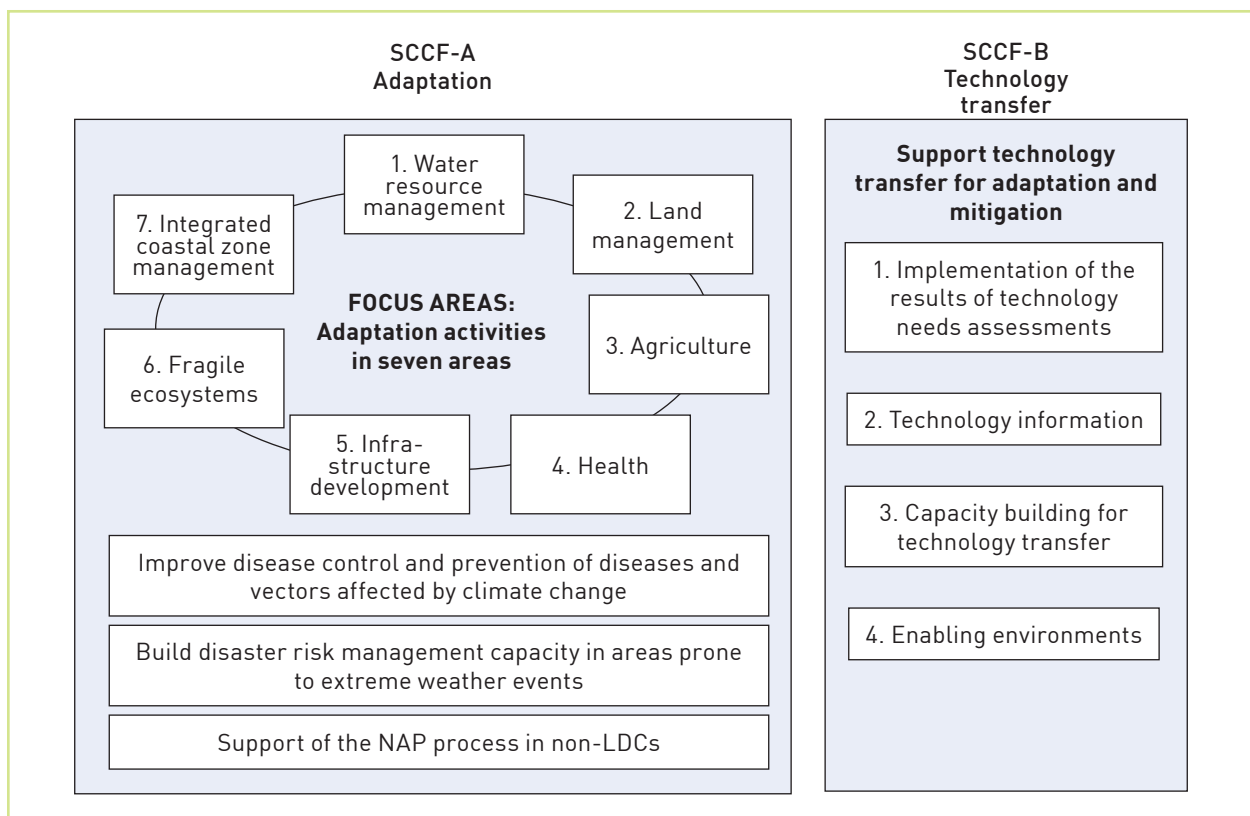
# 4: Analysis of the SCCF portfolio

This chapter presents an overview of the SCCF portfolio. Initially, the SCCF financed adaptation activities in seven areas, technology transfer, climate-related disease control, and DRM. The SCCF-C activity window on sector-specific climate change mitigation and the SCCF-D activity window on economic diversification were added in 2006, but neither window was ever funded. The support of activities for the preparation of the

national adaptation plan (NAP) process for interested non-LDC developing country parties was added in 2012 (figure 4.1).

In February 2006, the first project was approved by the CEO under the SCCF. In March 2015, a global FSP was approved by the CEO, aiming to advance the NAP process in non-LDCs. Given that there is only one NAP-focused project, this

FIGURE 4.1 SCCF Outcome areas for activity windows A and B



project has been included as an integral part of the SCCF project portfolio and not treated as a separate category.

#### 4.1 Portfolio composition

An overview of the SCCF portfolio by number of projects and funding is presented in table 4.1. An extensive overview of the portfolio composition is provided in [annex C](#). As of the end of October 2016, the project portfolio consists of 74 projects that are either CEO endorsed, under implementation, or completed. Nine of the 74 projects are categorized as MTF projects and four are categorized as multifocal area projects. The 74 projects received a total of \$333.45 million from the SCCF and \$2.47 billion in cofinancing. The portfolio consists largely of FSPs, which account for 89

percent of the projects and 97 percent of the total SCCF financing.

#### 4.2 SCCF portfolio by GEF replenishment period

When the SCCF began during GEF-3 (2003–07), it funded more MSPs than FSPs. During GEF-4 (2007–10), the number of projects funded and the average project funding increased. The GEF-5 phase (2010–14) had the most SCCF activities funded, including 2 MSPs and 39 FSPs, amounting to a total of \$184.63 million, or 55 percent of total SCCF funding. Financing of SCCF projects has slowed during GEF-6 (2014–18) and, as of October 2016, has amounted to only \$43.44 million. No MSPs were funded under GEF-6 (table 4.2).

**TABLE 4.1** Number of and budgetary allocation for SCCF projects by project modality

Project modality	No. of projects	Budgetary allocation (million \$)			Cofinancing (as % of total)
		SCCF	Cofinancing	Total	
MSP	8	9.09	30.30	39.39	76.9
FSP	66	324.37	2,439.35	2,763.72	88.3
Total	74	333.45	2,469.65	2,803.11	88.1

**SOURCE:** PMIS and GEF Agency project data.

**NOTE:** Cutoff date for portfolio analysis data was October 27, 2016. Project count, status, and value might have changed since. Only CEO endorsed/approved, under implementation, and completed projects are taken into account.

**TABLE 4.2** Number of and budgetary allocation for SCCF projects by GEF replenishment period

Replenishment period	No. of projects	FSPs (as % of no. of projects)	Budgetary allocation (million \$)				% of total
			MSPs	FSPs	Total	Average project size	
GEF-3	6	33.3	4.29	11.54	15.84	2.64	4.7
GEF-4	19	89.5	2.10	87.45	89.55	4.71	26.9
GEF-5	41	95.1	2.69	181.94	184.63	4.50	55.4
GEF-6	8	100.0	0.00	43.44	43.44	5.43	13.0
Total	74	89.2	9.09	324.37	333.45	4.51	100.0

**SOURCE:** PMIS and GEF Agency project data.

**NOTE:** Cutoff date for portfolio analysis data was October 27, 2016. Project count, status, and value might have changed since. Only CEO endorsed/approved, under implementation, and completed projects are taken into account.

### 4.3 SCCF projects and funding by Agency and region

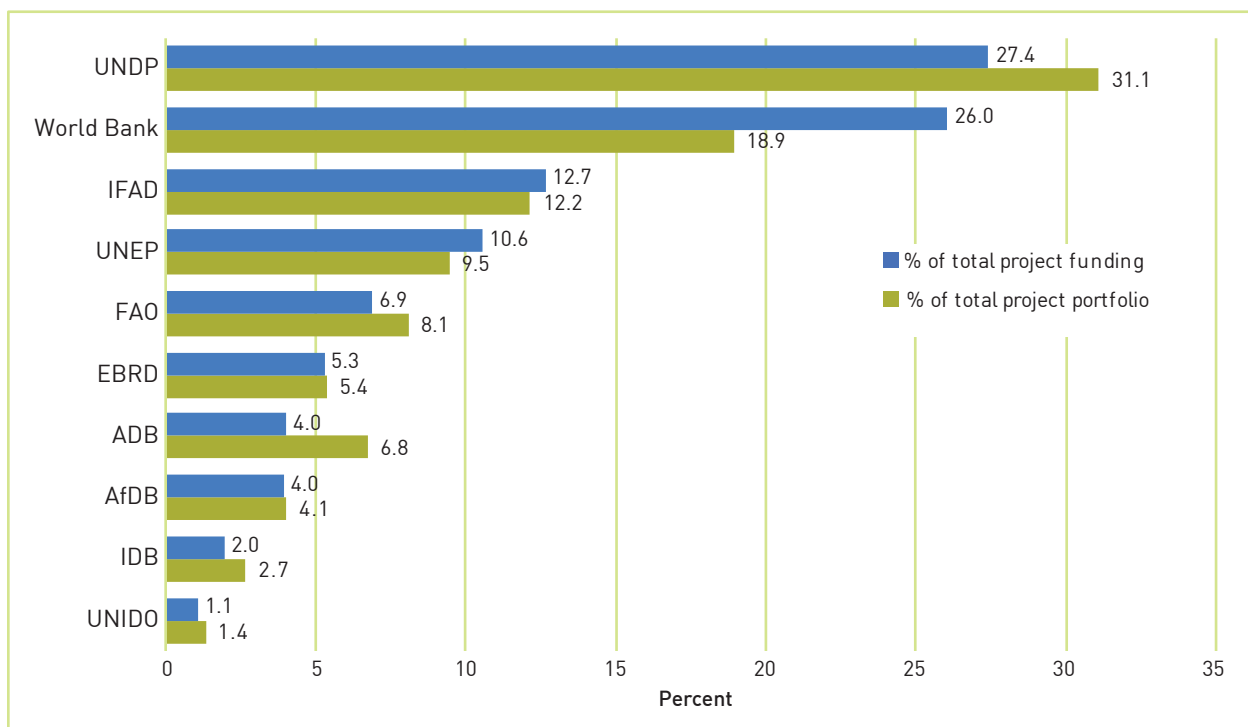
UNDP is the GEF Agency for the largest number of SCCF projects that are CEO endorsed, currently under implementation, or completed—23 (31.1 percent), 18 of which are FSPs. The World Bank is the GEF Agency for 14 projects, IFAD for 9, UNEP for 7, FAO for 6, and ADB for 5 (18.9, 12.2, 9.5, 8.1, and 6.8 percent, respectively; figure 4.2). EBRD is the GEF Agency for four projects, AfDB for three, and IDB for two projects. UNIDO has one project that is CEO endorsed. UNDP, the World Bank, and IFAD are also the GEF Agencies with the largest SCCF funding shares—\$91.39 million, \$86.81 million, and \$42.18 million, respectively.

A large percentage of the SCCF portfolio is implemented through UN Agencies, which together

account for 62.2 percent of SCCF projects and 58.6 percent of SCCF funding (\$195.56 million). ADB and IDB have smaller projects—an average funding size of \$2.70 million and \$3.32 million, respectively, compared to \$6.20 million for the average World Bank project and \$5.03 million for the average UNEP project. The average size of a UNDP project is \$3.97 million. Five of the eight MSPs in the portfolio are implemented through UNDP. UNEP supported two MSPs, and ADB was the GEF Agency for one MSP. The average project size for MSPs was \$1.14 million.

Multilateral development banks generate larger amounts of cofinancing (\$1.41 billion), as opposed to UN Agencies (\$1.05 billion). The World Bank's SCCF projects leverage the largest amount, at 29.2 percent of all cofinancing, followed by UNDP with 25.2 percent. Figure 4.3 shows the

FIGURE 4.2 Distribution of SCCF financing and projects by GEF Agency



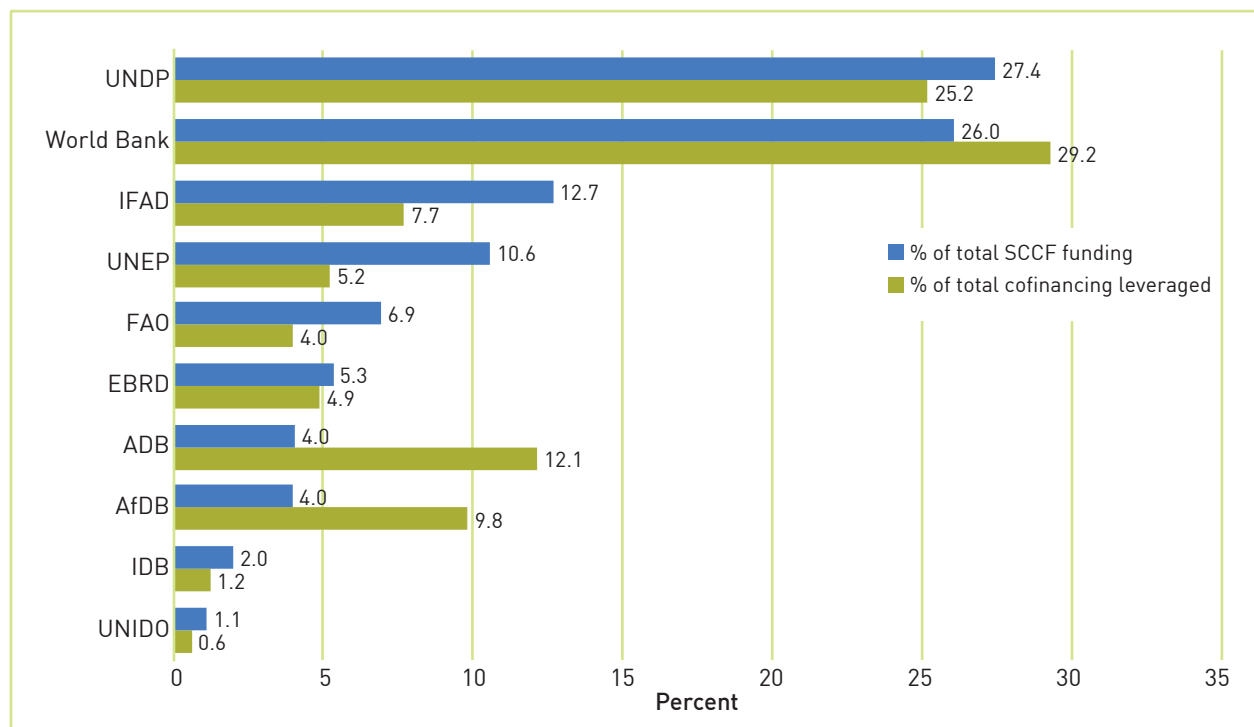
SOURCE: PMIS and GEF Agency project data.

distribution of the total amount of \$2.47 billion in cofinancing leveraged by the GEF Agencies. Figure 4.4 shows cofinance share as a percentage of project budget by GEF Agency. (For example, if a project's SCCF grant value is \$2 million and cofinance is \$18 million, then the cofinance share as a percentage of project budget is 90 percent.) ADB leverages the most cofinancing as a percentage of project budget, while AfDB and the World Bank leverage the next average largest cofinancing amounts by project, 94.8 percent and 89.3 percent, respectively.

Figure 4.5 disaggregates the SCCF portfolio by region in terms of number of projects and amount of funding. The data include five global projects, with a combined SCCF allocation of \$26.16 million. While the distribution by region is not equal, the figure shows that projects in the SCCF portfolio are not particularly concentrated

in any one region. The African region has the biggest share of projects, whether measured in terms of number of projects (22, or 29.7 percent of the total number of projects) or funding share (\$90.36 million, or 27.1 percent of total funding). About 26 percent of the projects are in Asia and the Pacific, both in terms of number of projects and funding. In the Latin America and Caribbean region, the portfolio comprises 16 projects with a funding share of \$77.54 million (or 23.3 percent of total funding). There is only one small island developing states (SIDS) project currently under implementation, in Antigua and Barbuda (GEF ID 5523) with a grant value of \$5.58 million. It is not clear why there have not been more SIDS accessing SCCF funding; of the current 57 SIDS, only 9 are LDCs, and the SCCF can be accessed by both LDCs and non-LDCs alike.

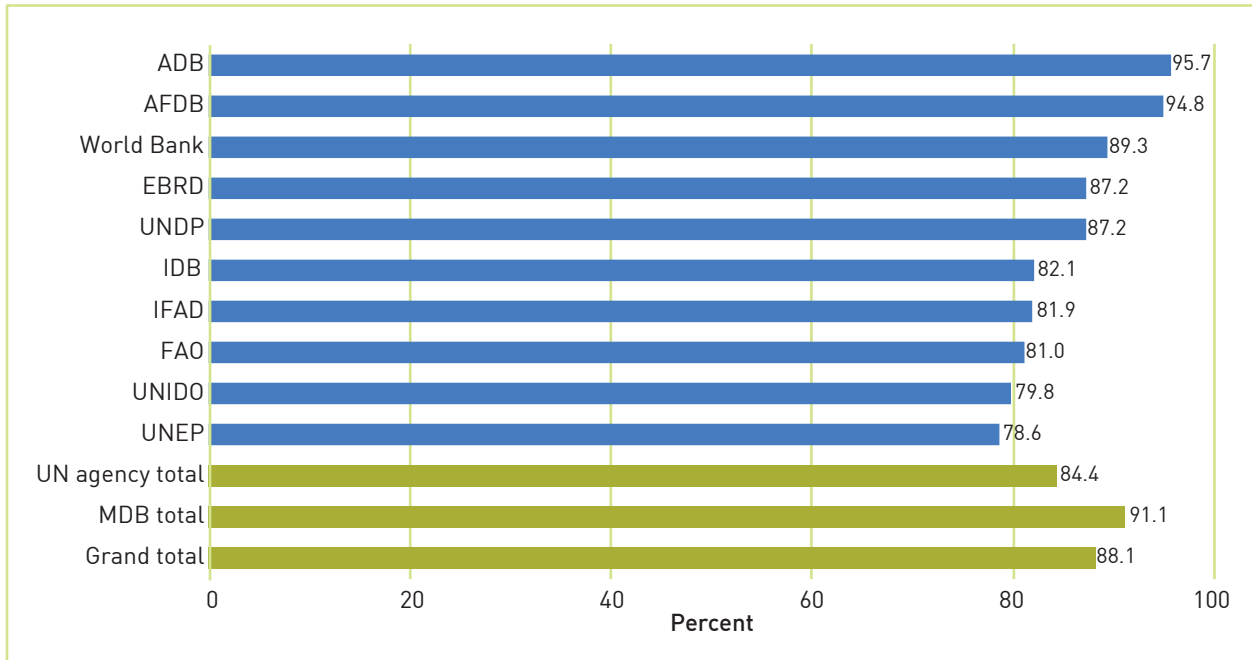
**FIGURE 4.3** Distribution of SCCF financing and cofinancing leveraged by GEF Agency



SOURCE: PMIS and GEF Agency project data.



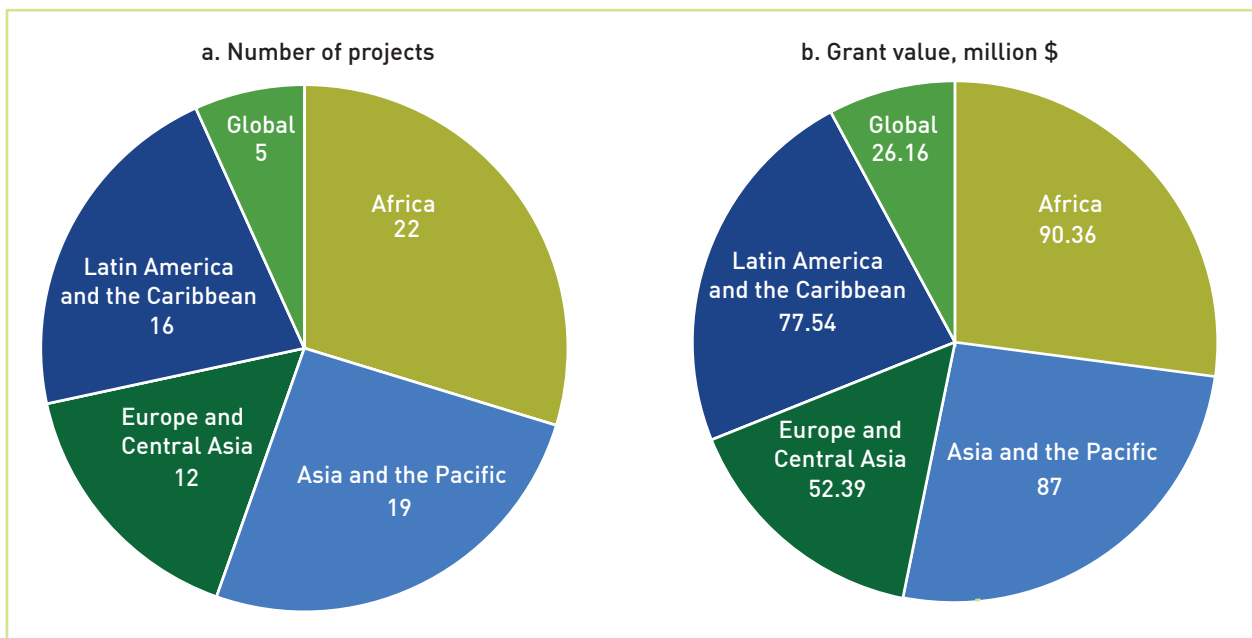
**FIGURE 4.4** Cofinance share as percentage of project budget by GEF Agency



**SOURCE:** PMIS and GEF Agency project data.

**NOTE:** MDB = multilateral development bank.

**FIGURE 4.5** Number and grant value of SCCF projects by region



**SOURCE:** PMIS and GEF Agency project data.

#### 4.4 SCCF project and portfolio status

The SCCF portfolio has no projects pending CEO approval or endorsement. Eighteen projects (24.3 percent of projects) have been completed; of them, 6 were MSPs and 12 were FSPs. Of these 18 projects, 15 have completed the terminal evaluation and 13 also received their TER ratings. The majority of SCCF projects are under implementation—43 projects, accounting for \$193.48 million, or 58 percent of the CEO endorsed portfolio (table 4.3).

Forty-three projects of the entire portfolio of 117 projects have been canceled, dropped, or rejected. While it is unclear whether funding disbursements were made, the PMIS shows an aggregate amount of \$548,542 for project preparation grants and \$7.53 million in agency fees for the project preparation grant and PIF stages of these canceled, dropped, and rejected projects.

**TABLE 4.3** Budgetary allocation by project status

Project status	Budgetary allocation (million \$)			% of total
	MSPs	FSPs	Total	
CEO endorsed	0.00	55.80	55.80	16.7
Under implementation	2.69	190.79	193.48	58.0
Project completion	6.39	77.77	84.16	25.2
Total	9.09	324.37	333.45	100.0

**SOURCE:** PMIS and GEF Agency project data.

**NOTE:** Cutoff date for portfolio analysis data was October 27, 2016. Project count, status, and value might have changed since. Total includes only CEO endorsed/approved, under implementation, and completed projects.

# 5: Relevance of SCCF support

This chapter focuses on the relevance of SCCF support in light of UNFCCC COP guidance and decisions, and the GEF’s adaptation strategy. The following evaluation questions are addressed:

- How relevant is SCCF support in relation to the guidance and decisions of the UNFCCC, informing the Fund’s mandate?
- How likely is it that the adaptation components of the SCCF will be achieving the three strategic objectives of the GEF programming strategy on adaptation to climate change?
- How does SCCF support relate to other GEF focal areas?
- What is the niche of the SCCF in the global adaptation finance landscape of multilateral financial mechanisms?

The evaluation systematically reviewed the degree of alignment between projects financed by the SCCF (74 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 SCCF projects to make contributions toward GEF focal areas other than climate change.

The SCCF has supported activities that, for the most part, are highly relevant to UNFCCC decisions, GEF objectives, and GEF pillars.

SCCF-funded activities are invariably focused on quite specific elements of UNFCCC guidance, given that SCCF outcome areas under each SCCF activity window are explicitly defined—for example, disease control, DRM, or the NAP process. All projects align to some degree with all three GEF adaptation strategic objectives, and close to 84 percent do so from a large to an extremely large extent. The extent of synergies with other GEF focal areas is less promising; 40.5 percent of projects *only* support the climate change focal area, although almost 45 percent of projects potentially offer support in the area of land degradation. The apparent potential for support to other focal areas is far more modest.

## 5.1 SCCF relevance in relation to UNFCCC COP guidance and decisions

Eight guidance and decisions focus areas were condensed from the full overview of UNFCCC COP guidance and decisions toward the SCCF, presented in [annex A](#). These eight focus areas are as follows:

- **SCCF-A:** Adaptation activities in one or more of the seven areas<sup>1</sup>

<sup>1</sup> (1) Water resource management, (2) land management, (3) agriculture, (4) health, (5) infrastructure development, (6) fragile ecosystems, and (7) integrated coastal zone management.

- **SCCF-A:** Improve disease control and prevention of diseases and vectors affected by climate change
- **SCCF-A:** Build DRM capacity in areas prone to extreme weather events
- **SCCF-A:** Support of the NAP process in non-LDCs
- **SCCF-B:** Implementation of the results of technology needs assessments
- **SCCF-B:** Technology information to support technology transfer
- **SCCF-B:** Capacity building for technology transfer
- **SCCF-B:** Support of enabling environment for technology transfer

The extent to which project align with these eight focus areas was analyzed as part of the portfolio analysis. Of the 74 projects analyzed, 63 projects were registered in the PMIS as part of the SCCF-A activity window and 11 as part of SCCF-B. SCCF-A projects rarely contribute to SCCF-B outcome areas. SCCF-A projects align with UNFCCC COP guidance and decisions for specific SCCF-A outcome areas, and SCCF-B project align with

guidance for specific SCCF-B outcome areas (table 5.1).

All projects under the SCCF-A activity window align with guidance and decisions on the outcome area “adaptation activities in seven areas.” Given that other areas under SCCF-A—health, DRM, and the NAP process—are highly specific in focus, there are no contributions between these outcome areas; they contribute to the outcome area “adaptation activities in seven areas” and align with respective guidance but not to one another. This is visible in figure 5.1. For example, with two health-focused projects in the SCCF portfolio, the guidance on improving disease control and prevention of diseases and vectors affected by climate change does not apply to the other 61 projects (96.8 percent of the SCCF-A activity window). In the case of guidance on the NAP process, there is only one NAP-focused project and five projects for which the guidance and decisions on the NAP process in non-LDCs are relevant to some extent; the NAP-focused guidance does not apply to the remaining 57 projects under the SCCF-A activity window.

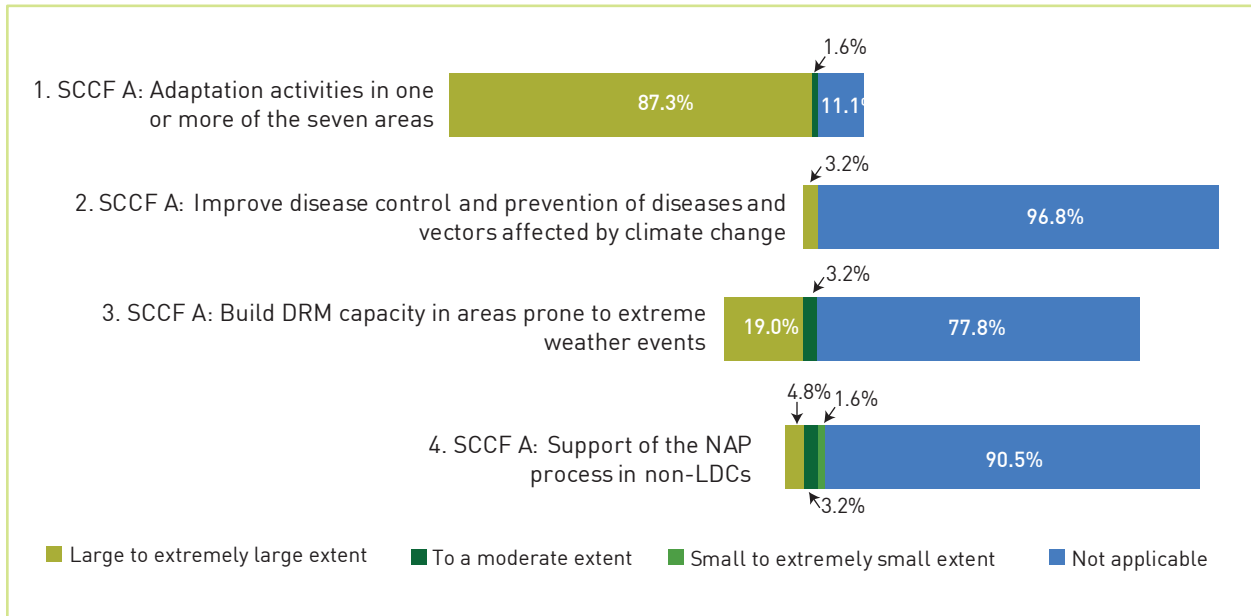
There is a stronger level of coherence between SCCF-B outcome areas and related UNFCCC COP guidance and decisions, especially for the

**TABLE 5.1** Alignment of SCCF projects with outcome area guidance and applicable decisions

SCCF outcome area guidance and decisions that apply	Projects	
	Number	Percentage
SCCF-A Focus areas	63	85.1
SCCF-A Health	2	2.7
SCCF-A DRM	11	14.9
SCCF-A NAP process	3	4.1
SCCF-B Implementation of technology needs assessment results	4	5.4
SCCF-B Technology information	11	14.9
SCCF-B Technology transfer capacity building	11	14.9
SCCF-B Enabling environments	13	17.6

**NOTE:**  $n = 74$ . Multiple answers were possible.

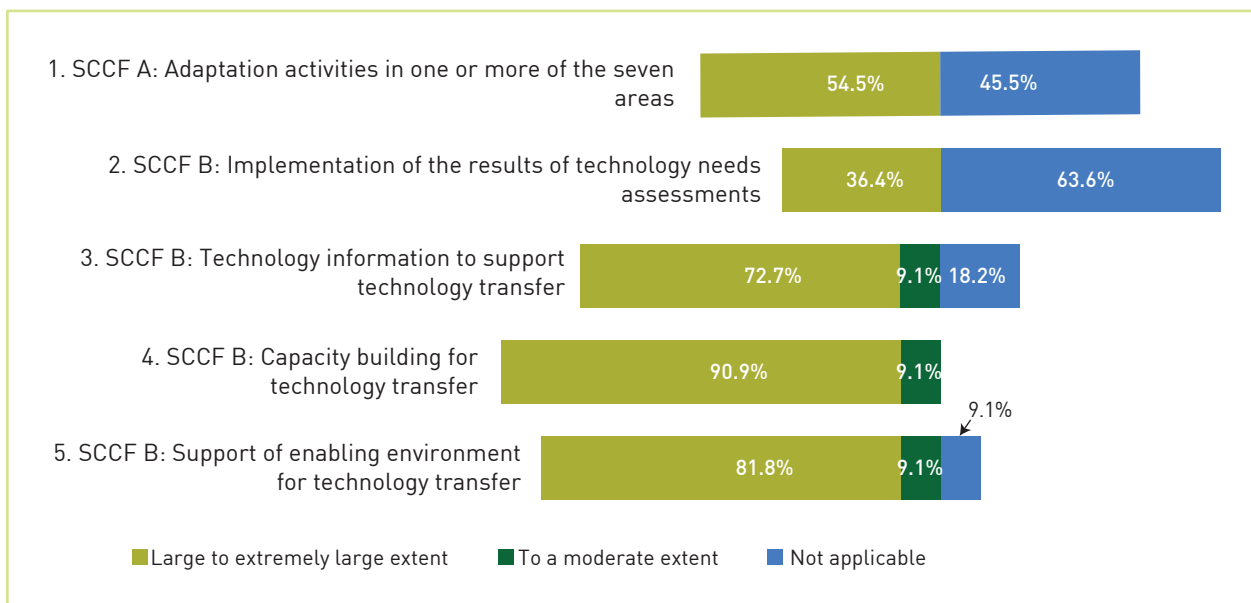
**FIGURE 5.1** SCCF-A projects' alignment with SCCF-A-focused guidance and decisions



outcome areas on technology information, capacity building, and support of enabling environments for technology transfer. Six of the 11 projects under the SCCF-B activity window also align with

and are relevant to guidance and decisions on the SCCF-A outcome area “adaptation activities in seven areas” (figure 5.2).

**FIGURE 5.2** SCCF-B projects' alignment with SCCF-A and SCCF-B-focused guidance and decisions



## 5.2 SCCF relevance in relation to national environmental and sustainable development goals

The SCCF's relevance to countries' national environmental and sustainable development goals was not analyzed as part of the portfolio analysis, given that UNFCCC COP guidance and decisions for the SCCF do not specify this as a requirement for projects. However, analysis of this alignment was part of the analysis for field visits to Ghana, Honduras, and the Philippines. Note that a country's national environmental goals include but are not limited to specific climate change goals.

The field visit to Ghana showed that both SCCF projects in Ghana are strongly country driven and tightly aligned with national environmental and sustainable development goals. The SCCF health project Integrating Climate Change into the Management of Priority Health Risks (GEF ID 3218) is referenced within Ghana's national climate change master plan, and the SCCF project Promoting Value Chain Approach to Adaptation in Agriculture (PROVACCA) (GEF ID 4368) contributes to several priority actions in the country's climate change master plan,

The Honduras project, Competitiveness and Sustainable Rural Development Project in the South Western Border Corridor (PROLENCA-GEF) (GEF ID 4657), was assessed as being extremely relevant to national agendas, given its focus on the agri-food sector. This is the main economic sector within Honduras, yet it is one of the most vulnerable to the effects of climate change. Consequently, the project's objective of increasing resilience across agricultural production chains was seen as highly appropriate and timely.

The two SCCF projects in the Philippines are highly country driven and connected to the country's national agenda for development and the Philippines National Climate Change Adaptation

Plan. Development of weather index-based insurance (WIBI) mechanisms is one of the key indicators of the national adaptation plan. The WIBI Mindanao project, Scaling Up Risk Transfer Mechanisms for Climate Vulnerable Agriculture-based Communities in Mindanao (GEF ID 4967), focuses specifically on climate risk transfer mechanisms and productivity enhancement measures. According to the lead Agency, the Philippine Climate Change Adaptation Project (PhilCCAP) (GEF ID 3243) feeds data into the country's NAP process. Country ownership of and interest in the two SCCF projects are strong. For example, the WIBI Mindanao project has a considerably higher demand from farmers and other stakeholders to participate than available funding allows. SCCF projects in the Philippines are highly relevant to national environmental and sustainable development goals, well aligned with national adaptation needs and priorities, and strongly aligned to GEF's adaptation strategic objectives.

## 5.3 SCCF Relevance in Relation to the GEF Adaptation Strategy

The evaluation found that the degree of alignment between projects and the GEF strategic pillars for adaptation was not consistent. Almost 95 percent of projects were aligned from a large to an extremely large extent with the first GEF strategic pillar—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.” However, almost 40 percent of projects did not align with the second GEF strategic pillar on synergies with other GEF focal areas. When excluding MTF projects from this calculation (which, by their nature, are expected to explore synergies between multiple

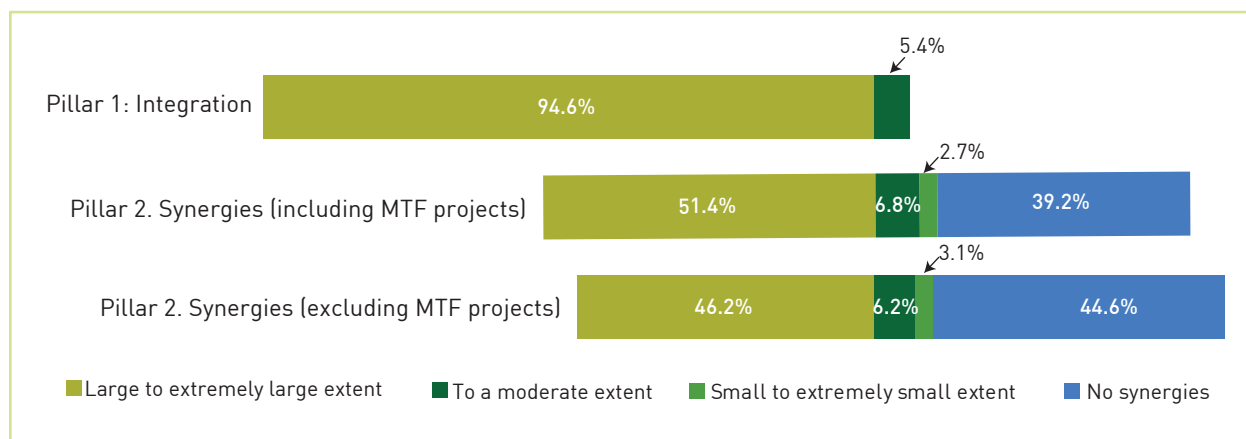
focal areas), the figure gets close to 45 percent of projects having no synergies with other focal areas (figure 5.3).

An additional measure of the relevance of SCCF-funded activities considered by the evaluation was the extent to which SCCF projects supported other (non-climate change) GEF focal areas. The data correspond with the data on alignment with the second GEF adaptation strategic pillar; 40.5 percent of projects *only* support the climate change focal area. While almost 45 percent of projects potentially offer support in the area of land degradation, the apparent potential for support to other focal areas is far more modest.

Close to 19 percent of projects appear likely to provide support in the ozone-depleting substance (ODS) focal area. The potential support for biodiversity is 16.2 percent, and support for the international waters focal area is 5.4 percent (table 5.2).

The analysis of alignment between projects and the GEF strategic objectives for adaptation provided a more consistent picture; all projects align to some degree with all three GEF adaptation strategic objectives. Close to 84 percent of the projects align from a large to an extremely large extent with all three strategic objectives (figure 5.4).

**FIGURE 5.3** Alignment with GEF adaptation strategic pillars

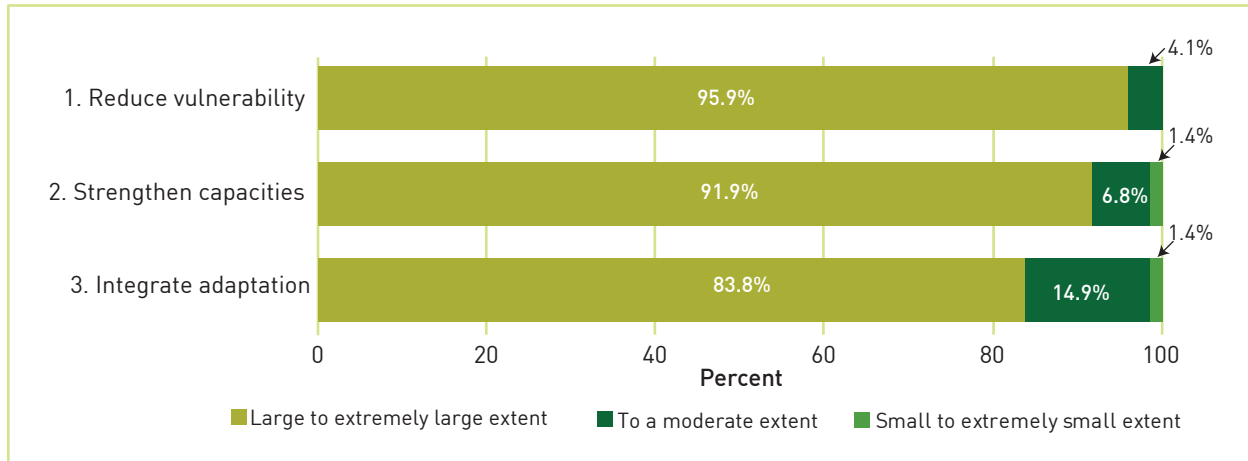


**TABLE 5.2** Other focal areas to which SCCF projects potentially contribute

Focal area	Projects	
	Number	Percentage
Biodiversity	12	16.2
Land degradation	33	44.6
International waters	4	5.4
Mercury	0	0.0
ODS	14	18.9
Persistent organic pollutants	0	0.0
No other focal areas other than climate change apply	30	40.5

**NOTE:**  $n = 74$ . Multiple answers were possible.

**FIGURE 5.4** Alignment with GEF adaptation strategic objectives



The field visit to Ghana showed that both SCCF projects in Ghana are heavily focused on the three GEF adaptation strategic objectives. Vulnerability reduction focuses on reducing individual and institutional vulnerabilities to climate change, with the PROVACCA project (GEF ID 4368) also working to reduce the vulnerability of natural systems to climate change. Both projects are making tangible, effective contributions to building capacities for adaptation. The Ghana health project (GEF ID 3218) developed climate change–related health indicators for a national health monitoring system, and both projects are in a position to influence future adaptation policy and activity. The two SCCF projects in the Philippines visited as part of the country field visits are also strongly aligned to GEF’s adaptation strategic objectives, especially on vulnerability reduction and the strengthening of institutional and technical capacities. The PhilCCAP project (GEF ID 3243) estimates that 20 percent of households surveyed in the targeted areas have adopted coping strategies, new technologies, or improved farming practices to cope better with climate variability and change. Farmers who were interviewed, and who participated in the WIBI Mindanao project (GEF ID 4967), reported that they were applying

climate-smart agricultural practices and had access to information on weather forecasting. Both projects have had some influence on integrating climate change adaptation into relevant policies, plans, and associated processes.

Although the Honduran PROLENCA-GEF project (GEF ID 4657) is at an early stage of implementation, the project’s design is similarly well aligned to GEF’s adaptation objectives. It is likely that the project will contribute to all three GEF objectives.

## 5.4 Stakeholders’ perceptions on the SCCF’s niche in the global adaptation finance landscape

During country field visits and interviews, GEF Agencies consistently identified one of the SCCF’s main distinguishing factors to be its accessibility for non-LDC non-Annex I countries. LDCs have a broader pool of adaptation-focused resources to draw on, including the LDCF and other, more “traditional” development resources. By definition, those resources are invariably not accessible to non-LDCs, even when a country’s economic status may be only marginally stronger than that of LDCs. Stakeholders felt that the SCCF represented one of the only mechanisms for non-LDCs



to secure adaptation-focused grant funding. GEF Agencies also consistently reported that demand for such financing for non-LDC developing economies far outstripped the supply of resources, whether from SCCF or elsewhere.

GEF Agencies also identified the SCCF's support for innovative projects to be a comparatively distinctive element of the Fund. Its openness to innovation was seen to be particularly important in light of the nascent GCF. A number of GEF Agencies felt that the SCCF had the potential to be the ideal incubator for countries to test and refine project concepts, prior to seeking large-scale finance through the GCF. Conversely, some felt that the *absence* of an SCCF (or equivalent) incubation facility would increase systemic risk

across the adaptation finance landscape, with an increased number of immature, unproven, and/or risky projects accessing—and potentially securing—larger-scale GCF resources.

While GEF Agencies consistently identified the SCCF's niche as being the accessibility of resources for non-LDC non-Annex I countries and the Fund's focus on innovation, project-level stakeholders (implementing partners and GEF Agency country offices) were less clear as to the SCCF's distinctiveness. Indeed, the SCCF was often not even recognized by project-level stakeholders as a discrete source of funding that could be distinguished from other GEF resources.

# 6: Effectiveness and efficiency of the SCCF

This chapter addresses SCCF effectiveness and efficiency, through the following evaluation questions:

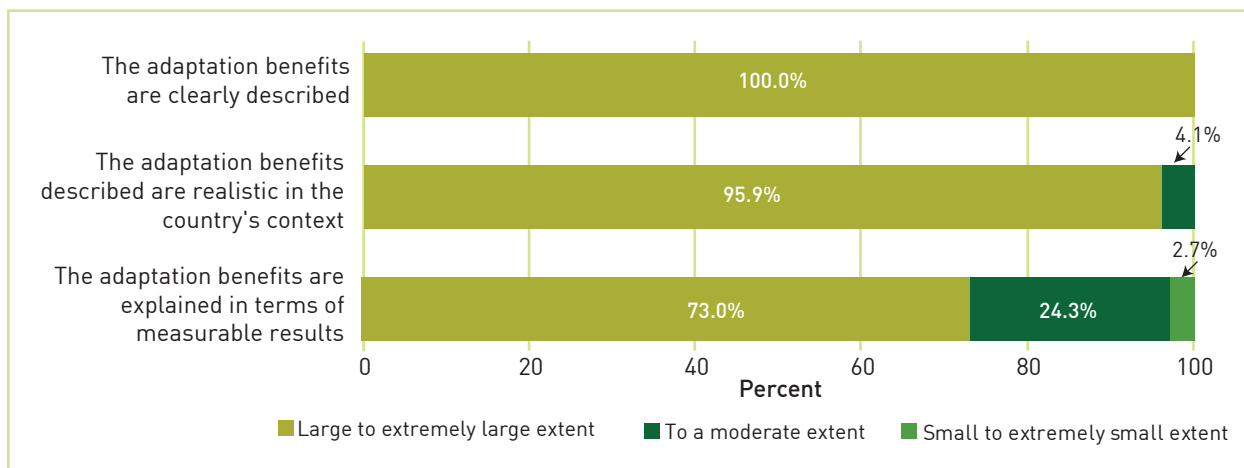
- How likely is it that projects in the SCCF portfolio will deliver tangible adaptation benefits?
- How efficient is the Fund's project cycle?
- What are the main factors that have been affecting the Fund's efficiency?
- How have resource flows and resource predictability, or the lack thereof, affected the Fund's programming?
- How has the preselection process for priority project concepts influenced the Fund's efficiency and effectiveness?

## 6.1 Effectiveness of delivering tangible adaptation benefits

The evaluation process included a quality-at-entry review, whereby analysis was undertaken on the pre-implementation, project design documentation of all SCCF projects that were either CEO endorsed/approved or under implementation ( $n = 74$ ). This review was used to estimate the probability that SCCF projects would effectively deliver tangible adaptation benefits.

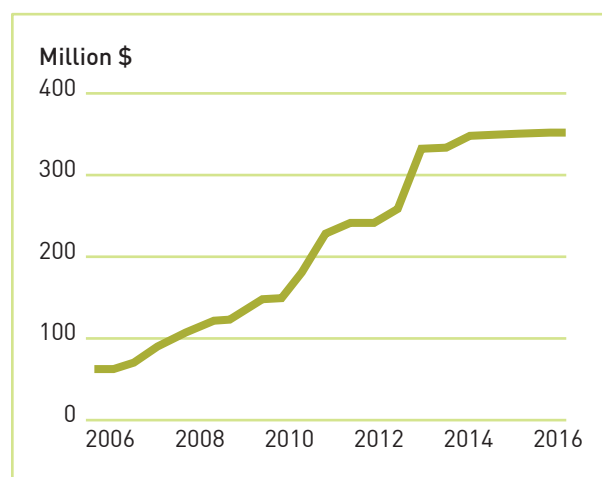
The review found that every project clearly described its potential adaptation benefits; moreover, virtually all projects (95.9 percent) also described adaptation benefits that were realistic within the context of each country's direct and indirect pressures, and drivers of change (figure 6.1).

FIGURE 6.1 Quality-at-entry review for delivering tangible adaptation benefits



However, a considerably lower proportion of projects (73 percent) articulated these potential adaptation benefits as specific, measurable results—for example, by explicitly linking the adaptation benefits to the project’s AMAT or the project’s results frameworks (figure 6.2).

**FIGURE 6.2** SCCF cumulative pledges and outstanding and contributions finalized



**SOURCE:** Biannual SCCF financial reports prepared by the World Bank Group as Trustee.

The quality-at-entry review also assessed each project’s approach to risk analysis and risk mitigation (table 6.1). While every project undertook some form of risk analysis, only 71.6 percent of these analyses were assessed to be sufficient, taking into account an adequate variety of climatic and nonclimatic risks, and identifying associated impacts and probabilities. All projects provided

**TABLE 6.1** Project risk analysis

Assessment	Projects	
	No.	%
Yes, sufficiently	53	71.6
Yes, but not sufficiently	17	23.0
Yes, but with serious omissions	4	5.4
No	0	0.0
Total	74	100.0

risk mitigation strategies, with 86.5 percent of projects assessed as having mitigation strategies that adequately addressed all or most of the identified risks (table 6.2).

**TABLE 6.2** Project risk mitigation strategies

Assessment	Projects	
	No.	%
Yes, for all or most risks	64	86.5
Yes, for some risks	10	13.5
No	0	0.0
Total	74	100.0

Considering all these factors together (definition, contextual appropriateness and results-orientation of potential adaptation benefits; project risk analysis, and risk mitigation), the quality-at-entry review estimated that most projects (67.6 percent) have a very high probability of delivering tangible adaptation benefits. Those projects estimated as having a high probability (31.1 percent) could typically have benefited from clearer, more results-focused adaptation benefits, and/or stronger risk strategies. Out of the 74 projects reviewed, only one project was assessed as having a low probability of delivering tangible adaptation benefits (table 6.3).

**TABLE 6.3** Probability of delivering tangible adaptation benefits

Assessment	Projects	
	No.	%
Very high	50	67.6
High	23	31.1
Low	1	1.4
Very low	0	0.0
Total	74	100.0

GEF Agencies, project teams, and other stakeholders interviewed also felt that the SCCF was likely to deliver—and, in some instances, was already delivering—tangible adaptation benefits. The most common observation was that the three GEF adaptation strategic objectives (reducing vulnerabilities, strengthening capacities, mainstreaming adaptation) were inherently important to *any* adaptation-focused intervention, regardless of whether it was an SCCF-supported intervention. SCCF projects are required to meet at least one of these objectives, thereby serving to solidify the adaptation focus of those projects.

The SCCF's emphasis on country ownership was also identified by interviewed stakeholders as an important foundation for effectiveness. Given that adaptation is often highly context-specific, national ownership of project development was seen to be essential for ensuring that the most important adaptation priorities were identified and the most appropriate responses were delivered.

Evidence of individual SCCF projects delivering adaptation benefits were identified in countries visited during the evaluation. In Ghana, the health project (GEF ID 3218) undertook extensive research to improve the national knowledge base on climate change–related health risks. This knowledge subsequently informed planning and responses within the three targeted districts. The project's teleconsultation component also reduced vulnerabilities. Through this work, mobile phone links were established between community facilities and the central, district-level facilities. This link allowed previously isolated patients and community nurses to consult directly with centrally located doctors and midwives. This service was particularly valuable during rainy seasons, which have become more pronounced and have in turn made travel to remote areas more challenging. The project's terminal

evaluation confirmed that—across all three participating districts—the teleconsultation system saved lives through timely advice given to people, in particular women.

In the Philippines, the WIBI Mindanao project (GEF ID 4967) has contributed to stronger institutional, technical, and community capacities for effective climate change adaptation. The project conducted training through Farmer Field Schools, including a rice crop manager/WIBI component for 83 percent of 600 farmers and 20 farmer's organizations targeted. Farmers who were interviewed reported that they were applying climate-smart agricultural practices and had access to information on weather forecasting. The project has also conducted training on community-based DRM to deal with extreme events, including mock drills to test the information flow during emergencies and evacuation routes.

## 6.2 Efficiency of the Fund

As part of the evaluation of SCCF efficiency, the project portfolio analysis measured the existence and extent of delays during project approval and implementation. Delay lengths were calculated by comparing expected/planned project timeline dates with actual dates. Of the reviewed projects ( $n = 74$ ), 35.1 percent experienced delays (table 6.4). Within that subset of projects, the average delay was 14 months (table 6.5), although there was a notable difference between MSPs (average delay of 8 months) and FSPs (average delay of 16 months). Moreover, the great majority of delayed projects (84.2 percent) were associated with the GEF-4 cycle. Given that GEF-4 was the first cycle through which SCCF funding was disbursed, it is perhaps unsurprising that delays were more prevalent in those early years, as countries, GEF Agencies, and the GEF Secretariat were all new to the SCCF mechanism. At the same time, many SCCF projects associated

**TABLE 6.4** Identification of delays in SCCF projects

Assessment	Projects	
	No.	%
Yes	26	35.1
No	48	64.9
Total	74	100.0

**TABLE 6.5** Delays by project modality, in months

Project modality	Minimum	Maximum	Average
MSP	4	12	8
FSP	2	36	16
Total	2	36	14

with GEF-5 and GEF-6 are still at an early stage of implementation, so it is plausible that delays attributable to these later GEF cycles have yet to materialize.

SCCF projects were found to attract a very high proportion of cofinancing. As per [table 4.1](#), cofinancing accounted for 88.1 percent of the average SCCF project's budget. The high proportion of cofinancing can partly be explained by a common GEF Agency approach, whereby SCCF money is not used to support a discrete, stand-alone project; rather, it finances the introduction or mainstreaming of adaptation across an existing, larger project.

Additional SCCF-related efficiency factors were identified and assessed through interviews with key stakeholders and country field visits. Two closely related negative factors were consistently raised by interviewees: the lack of SCCF resources and the unpredictability of those resources. Although there has been an increase in contributions over time (figure 6.2),<sup>1</sup>

<sup>1</sup> Based on data from the half-yearly SCCF financial reports prepared by the World Bank Group as Trustee.

non-Annex I countries' demand for funding far exceeds the cumulative pledges.

The GEF has reported that during the period October 2014 to April 2015 "the funds available in the SCCF could meet just over ten per cent of the demand captured in the priority project concepts submitted to the Secretariat for technical review and Work Program entry" (GEF 2015). Since then, the SCCF has received only \$2.29 million in pledges, according to the Financial Report prepared by the Trustee (World Bank 2016). This is not anywhere close to the \$100 million to \$125 million in SCCF resources required to fulfill the results of the work program envisaged in the Council-endorsed GEF Programming Strategy on Adaptation to Climate Change (GEF 2016).

Several GEF Agencies indicated that they were reluctant to develop or to encourage partners to develop project concepts due to the limited and unpredictable resources, with some Agencies confirming that they had stopped considering or promoting the SCCF altogether when discussing proposal developments with project partners. The time, financial cost, and political capital required to develop and build support for proposals could not be justified against the high risk of no funding being available. Some Agencies characterized the SCCF resource situation as a vicious circle: No resources are available, so no proposals are developed, which can be interpreted by donors as limited interest or lack of demand, so donors do not provide resources. However, it is vital to note that GEF Agencies routinely stated that demand within non-Annex I countries for SCCF resources continues to be very high, and that alternative financing options for innovative, adaptation-focused projects are very limited, particularly for non-LDCs.

Limited resources—and the corresponding reluctance of GEF Agencies to invest in proposal

development—may also be affecting the SCCF’s system-wide efficiency in other ways. Some stakeholders interviewed noted that when SCCF resources do become available, GEF Agencies probably will not have many, if any, project proposals that are sufficiently mature. The time required to develop or strengthen proposals may slow down the rate of SCCF resource disbursement, which in turn may negatively affect the Fund’s efficiency even more.

Resource unpredictability was also found to affect the willingness of GEF Agencies to use SCCF resources within MTF projects. GEF Agencies reported that, typically, it would not be possible to include SCCF-supported activities within an MTF project, given that any SCCF funding delays would invariably have a negative impact on a broader project’s progress and efficiency.

Notwithstanding the resource-related problems, GEF Agencies were generally positive about the efficiency of the SCCF proposal development, feedback, and approval process. The approval process of the SCCF was often assessed as more efficient and cost-effective than comparable facilities, such as the Adaptation Fund and, in particular, the GCF. Specifically, GEF Agencies generally felt that the SCCF proposal development and approval process required fewer staff hours and was also more efficient given staff’s familiarity with the broader GEF processes that also apply to the SCCF.

Interviews indicated that, once SCCF projects had been approved and resources secured, project implementation and monitoring processes were comparable to other GEF-supported projects. This was positive for efficiency, as implementation

protocols and processes were already familiar to any project teams that had prior GEF experience. Aside from this, the evaluation did not identify any other positive or negative project implementation efficiency factors that were particularly distinctive or directly attributable to the SCCF.

### **6.3 The preselection process for priority project concepts**

In direct response to a recommendation from the previous program evaluation of the SCCF (2011), the GEF Secretariat introduced a preselection process for priority project concepts. The preselection process aims to increase the transparency of SCCF resource allocation and to ensure that the value of projects entering the approval process matches the available funds (box 6.1).

GEF Agencies that had used the preselection approach reported that it had helped with their internal resource allocation and decision-making processes when it came to potential proposal developments. However, given the recent SCCF resource limitations, few GEF Agencies have actually submitted SCCF project concepts since the preselection process was introduced in 2012. Moreover, those Agencies that had used the process did not feel that the transparency of decision making within the GEF Secretariat had improved. A number of Agencies perceived a lack of consistency across funding decisions and were critical about the absence of substantive feedback provided by the GEF Secretariat to unsuccessful proposals.

### BOX 6.1 Preselection process for priority project concepts

The preselection process (GEF 2012b) attempts to ensure the following aspects of the SCCF portfolio:

- **Project or program quality.** The SCCF proposal must, during the prescreening stage, show promise in terms of technical quality and appear to meet or able to meet, with reasonable modifications, the primary selection criteria.
- **Balanced distribution of funds in the eligible countries.** In each new work program, the SCCF strives to support projects and programs in those vulnerable non-Annex I countries which have not yet accessed the SCCF funds and in regions and sub-regions that have previously accessed a relatively lower share of SCCF resources.
- **Equitable regional distribution.** SCCF attempts to achieve a regional balance in its portfolio, where all regions are supported proportionally to the number of vulnerable countries that exist within.
- **Balanced support for all priority sectors.** Although SCCF has supported projects in most of the priority sectors/outcome areas, there are variances in coverage and consistency, and some gaps remain. In preparation of a new work program attention will be given to support projects and programs in sectors which have hitherto received relatively lower coverage.
- **Balanced distribution among GEF Agencies based on comparative advantage.** Depending on the specificities of a given project and the work program as a whole, and consistent with the comparative advantages of the GEF Agencies.

# 7: Gender equality and women's empowerment objectives

This chapter explores gender dimensions across the SCCF, addressing the following evaluation question: 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 SCCF? Gender mainstreaming is particularly important for the SCCF, given the Fund's adaptation focus. SCCF projects are almost always designed to influence the lives and/or livelihoods of people directly. Therefore, gender is expected to be deeply relevant across all the work conducted.

## 7.1 Background: gender and the SCCF

The GEF's Policy on Gender Mainstreaming (GEF 2012a) articulates the GEF's commitment to strengthening the GEF's and its partner Agencies' promotion of gender equality across GEF operations. The supporting Gender Equality Action Plan (GEF 2014d), operationalizes the policy, aiming to advance both (1) the GEF's goal for attaining global environmental benefits (GEBs) and (2) gender equality and women's empowerment. Recognizing the diversity of gender policies and strategies across GEF Agencies, the GEAP outlines high-level principles and standards that each GEF Agency policy should meet. Assuming those minimum standards are met, the GEAP does not require Agencies to develop a GEF- or LDCF/SCCF-specific gender policy; rather, the

GEAP asks GEF Agencies to ensure that the GEF Agency's own gender policies and strategies are routinely applied to any GEF- and LDCF/SCCF-funded projects.

The 2011 SCCF program evaluation did not analyze gender dimensions, largely due to the absence of a GEF gender policy or framework at that time. Subsequent to that evaluation, the Policy on Gender Mainstreaming was adopted in 2011 during GEF-5, with the GEAP approved in 2014 during GEF-6. Consistent with that framework, from October 2014 onward, SCCF projects have applied GEF's five core gender indicators ([annex E](#)), which in turn are used to measure three gender-related outcomes:

- Project design fully integrates gender concerns.
- Project monitoring and evaluation (M&E) gives adequate attention to gender mainstreaming.
- Project implementation ensures gender-equitable participation in and benefit from project activities.

The evaluation considered progress toward these three outcomes across the SCCF portfolio, looking in particular at the extent to which gender had been mainstreamed within original strategies and plans (project design), the application of gender-responsive results frameworks (project M&E), and a broader assessment of overall



gender mainstreaming, including during actual project implementation.

The evaluation's assessment of gender mainstreaming was grounded in the definitions cited in the GEAP—namely, 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 [and that] mainstreaming involves ensuring that gender perspectives and attention to the goal of gender equality are central to all activities. (GEF 2014d, 7)

While this provided the basis for assessment, the evaluation applied a less stringent definition, whereby a project was considered gender mainstreamed if it applied gender perspectives and attention to the goal of gender equality within *most* activities, rather than *all* activities.

## 7.2 Gender mainstreaming strategy or plan

The portfolio analysis assessed the extent to which project design documentation included a gender mainstreaming strategy or plan. The overall total indicates that a large proportion of SCCF projects—almost 46 percent—have no gender mainstreaming strategy or plan. However, it is vital to note that the proportion reduces

markedly as time progresses. For example, while 84.2 percent of SCCF projects had no gender mainstreaming plan during GEF-4, the proportion drops to 29.3 percent for GEF-5 and is down to 12.5 percent for GEF-6 (table 7.1). Important drivers behind this improvement are almost certainly the introduction of the GEF Policy on Gender Mainstreaming during the GEF-5 cycle and the approval of the GEAP during GEF-6.

## 7.3 Gender-responsive results framework

The portfolio analysis also considered the extent to which gender was reflected within project results frameworks and/or M&E strategies and processes, including indicators. The pattern is similar to that found for gender mainstreaming strategies and plans; while the portfolio-wide proportion of SCCF projects without gender-responsive results frameworks is relatively high (over 35 percent), this improves markedly as time progresses. In particular, the proportion of projects that do not have gender-responsive results frameworks is considerably lower for GEF-5 (14.6 percent) and GEF-6 (12.5 percent) (table 7.2). Again, this improvement is attributable, at least in part, to the introduction of GEF's Policy on Gender Mainstreaming during the GEF-5 cycle and the approval of the GEAP during GEF-6. A similar trend is observed for the larger project portfolio analyzed for the Sixth Comprehensive Evaluation of the GEF, or OPS6 (GEF IEO 2017).

**TABLE 7.1** SCCF project inclusion of a gender mainstreaming strategy or plan, by GEF replenishment period

Status of strategy/plan	GEF-3		GEF-4		GEF-5		GEF-6		Total	
	No.	%	No.	%	No.	%	No.	%	No.	%
Yes, developed and included	1	16.7	2	10.5	3	7.3	2	25.0	8	10.8
No, but development implied	0	0.0	1	5.3	26	63.4	5	62.5	32	43.2
No	5	83.3	16	84.2	12	29.3	1	12.5	34	45.9
Total	6	100.0	19	100.0	41	100.0	8	100.0	74	100.0

**TABLE 7.2** SCCF project inclusion of a gender-responsive results framework, including gender-disaggregated indicators, by GEF replenishment period

Status of framework/indicators	GEF-3		GEF-4		GEF-5		GEF-6		Total	
	No.	%	No.	%	No.	%	No.	%	No.	%
Yes, developed and included	0	0.0	5	26.3	26	63.4	7	87.5	38	51.4
No, but development implied	0	0.0	1	5.3	9	22	0	0.0	10	13.5
No	6	100.0	13	68.4	6	14.6	1	12.5	26	35.1
Total	6	100.0	19	100.0	41	100.0	8	100.0	74	100.0

## 7.4 Gender mainstreaming

The final part of the gender analysis focused on the ultimate goal of gender mainstreaming. For this analysis, the evaluation team made use of a new gender rating that was initially developed as part of the 2016 LDCF program evaluation. The gender ratings used to assess the SCCF portfolio of projects are as follows:

- **Not gender relevant.** Gender plays no role in the planned intervention.
- **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 assessment 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 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 beyond the project's scope.

The gender ratings are further explained in [annex H](#), as part of the portfolio review protocol.

No projects within the entire SCCF portfolio were identified as not gender relevant; gender therefore played or plays a role in *all* SCCF interventions. Conversely, no projects were identified as gender transformative; from a gender perspective, there are no exceptional performers within the SCCF portfolio, going beyond being gender mainstreamed. However, a majority of projects—over 65 percent—were assessed as either gender sensitive or gender mainstreamed.

Continuing the same pattern identified within the evaluation's other gender-related analyses, gender mainstreaming performance has improved

over time. Again, this improvement is most apparent within the GEF-5 and GEF-6 cycles (table 7.3 and figure 7.1).

The evaluation team used a weighted gender rating score to make comparisons between sets of projects. The score gives one point for a gender-aware project, two points for gender sensitive, three points for gender mainstreamed, and four points for each gender-transformative project. The sum of these is then divided by

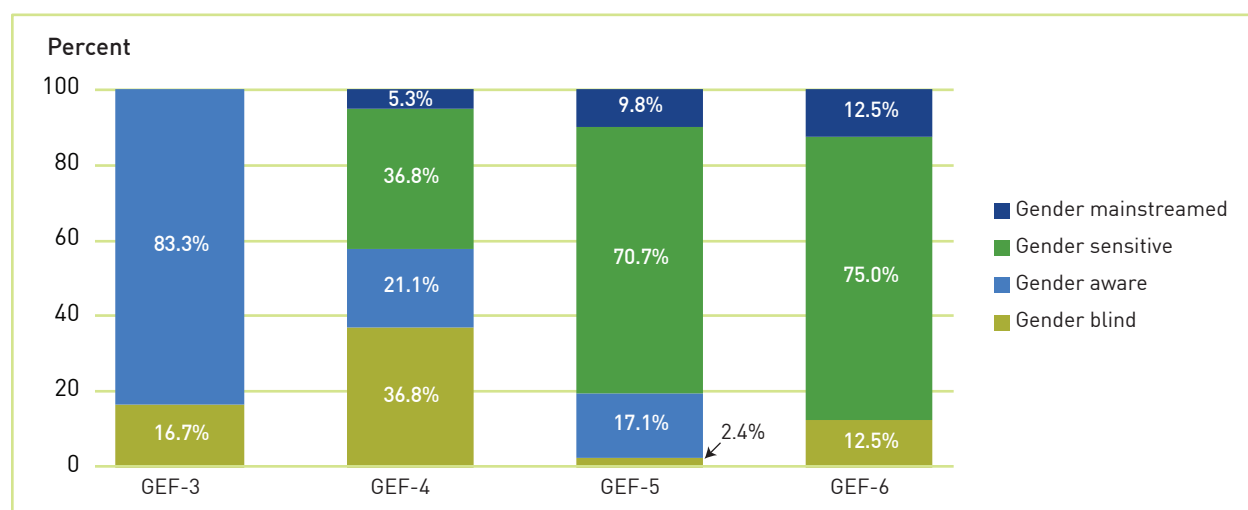
the total number of projects, yielding a weighted gender rating score between zero and four, with zero being gender blind, four being gender transformative, and a value of three being gender mainstreamed (equation 7.1).

Given that similar gender data are available from the program evaluation of the LDCF (GEF IEO 2016) and the OPS6 gender substudy (GEF IEO 2017), it is possible to compare the score between funds. When excluding LDCF/SCCF data from the

**TABLE 7.3** Overall assessment of SCCF projects' inclusion of gender component, by GEF replenishment period

Gender rating	GEF-3		GEF-4		GEF-5		GEF-6		Total	
	No.	%	No.	%	No.	%	No.	%	No.	%
Gender blind	1	16.7	7	36.8	1	2.4	1	12.5	10	13.5
Gender aware	5	83.3	4	21.1	7	17.1	0	0	16	21.6
Gender sensitive	0	0	7	36.8	29	70.7	6	75	42	56.8
Gender mainstreamed	0	0	1	5.3	4	9.8	1	12.5	6	8.1
Total	6	100.0	19	100.0	41	100.0	8	100.0	74	100.0

**FIGURE 7.1** Gender rating by GEF replenishment period



**EQUATION 7.1**

$$\text{Weighted gender rating score} = \frac{\text{No. of gender-aware projects} + \left( \text{No. of gender-sensitive projects} \times 2 \right) + \left( \text{No. of gender-mainstreamed projects} \times 3 \right) + \left( \text{No. of gender-transformative projects} \times 4 \right)}{\text{Total number of projects}}$$

OPS6 gender substudy's quality-at-entry analysis, the weighted gender rating score for GEF-6 is 1.62. The quality-at-entry score from the LDCF and SCCF data sets—as part of the LDCF and SCCF program evaluations of 2016 and 2017—is 1.77 and 1.82, respectively. This shows that the adaptation-focused sets of projects under the LDCF and SCCF score slightly higher than the GEF Trust Fund projects part of the OPS6 cohort.

Country field visits were used to validate the gender ratings derived through the portfolio analysis. The initial ratings were found to be mostly accurate, although the Ghanaian PROVACCA project (GEF ID 4368), currently under implementation, was found to be gender mainstreamed rather than gender sensitive.

The same project also serves to illustrate typical characteristics of a gender mainstreamed project within the context of the SCCF. A gender definition and guiding principles for the project were developed; a gender specialist is part of the core project team; and several direct actions have been undertaken to ensure gender sensitivity. These include gender sensitivity training for all implementation team members, and ensuring that women, youth, and vulnerable people are not excluded from community-level capacity development (with, for example, women-only training and consultation sessions delivered where necessary). The project's approach and activities are geared toward ensuring the broad participation of women, particularly during decision-making processes. The participation of women is especially strong within the project's producer group-focused activities, given that women dominate this part of the cassava production value chain in Ghana. There are initial signs that some gender-related results have been delivered. Unprompted, one male farmer participant stated (to paraphrase) that the project has increased men's respect for women, that men now

recognize the value women can bring to farming, and that it has been a real eye-opener. While this kind of result was commonly reported by project implementation team members, it was striking to hear the same assertion being made directly and spontaneously by a project beneficiary.

Other SCCF projects assessed during country visits illustrate typical characteristics of gender-aware and gender-sensitive interventions. The PhilCCAP project in the Philippines (GEF ID 3243) was rated gender aware. While an initial social assessment informed the project's design (and this assessment looked at potential impacts across a large cross section of social groups), there was no subsequent analysis of or reporting on gender dimensions. Moreover, no gender focal point was appointed to the project team.

Also in the Philippines, the WIBI Mindanao project (GEF ID 4967) was rated gender sensitive. This project benefited from an initial gender assessment, which consistently applied gender-disaggregated and gender-sensitive data to inform and develop project design. Subsequently, clear steps were taken to address gender-related problems proactively. For example, project partners were appointed explicitly on the basis of their prior experience in using women's empowerment and gender equity approaches. However, it is too early in the project to assess the actual or even potential results from a gender perspective.

The PROLENCA-GEF project in Honduras (GEF ID 4657) that started implementation recently was also rated gender sensitive. The project is currently developing a gender strategy as called for in the project design. This strategy will consider the different gender roles, responsibilities, and rights at the level of production chains in the context of the rural and indigenous cultures of the population living in the project site areas. The start-up workshop held in March 2017 with

key stakeholders established criteria to identify barriers faced by vulnerable groups, especially indigenous peoples, and to define activities to reduce their vulnerability. It is expected that these actions will ensure that women's participation will be integrated into project activities. A gender specialist will assist the project team with the development and implementation of the gender strategy.

Across all projects assessed during country visits, there was limited awareness among SCCF project implementation teams of either the GEF's Policy on Gender Mainstreaming or the GEAP. However, it is not clear whether this lack of

awareness had any detrimental effect on gender performance. After all, and as discussed above, the GEF Policy on Gender Mainstreaming and GEAP requirements are that GEF Agencies have a robust gender policy and that they systematically apply that policy within all GEF-related work. So by applying their own robust gender policies, GEF Agencies and implementation partners are inherently adhering to the GEF's Policy on Gender Mainstreaming and the GEAP.

# 8: Emerging results and their sustainability

This chapter explores the extent to which tangible results have been delivered through SCCF support. This includes an analysis of the SCCF portfolio of completed projects' catalytic effects and an assessment of the portfolio's contributions to GEBs beyond the SCCF's primary focus of climate change adaptation. Factors that could affect the sustainability of emerging results are also discussed. The following evaluation questions are addressed:

- What are the emerging results produced by the SCCF to this point?
- To what extent are the emerging results of SCCF support sustainable?

The results assessment was informed mainly by the evaluation's portfolio analysis of completed projects, but country visits and key stakeholder interviews helped to validate and deepen the portfolio-level results analysis.

## 8.1 Catalytic effects of the SCCF

Two different sets of potential catalytic effects were analyzed. The first analysis considered SCCF projects against a broadly linear sequence of four catalytic effects that influential projects could be expected to follow:

- **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 first analysis focused on 15 completed projects for which terminal evaluations were available (table 8.1). Virtually all projects were found to have achieved, at least to a moderate extent, the first two effects on the catalytic chain—namely, production of a public good and demonstration. Farmer-focused projects were the most typical. For example, drought-resistant crop varieties were introduced and demonstrated to new farmers and communities. Performance was not as strong against the latter two catalytic steps, replication and scaling-up. Nevertheless, two-thirds of projects did deliver replication to at least a moderate extent, and over half of projects demonstrated a degree of scaling-up—again, to at least a moderate extent (figure 8.1).

TABLE 8.1 Overview of completed SCCF projects

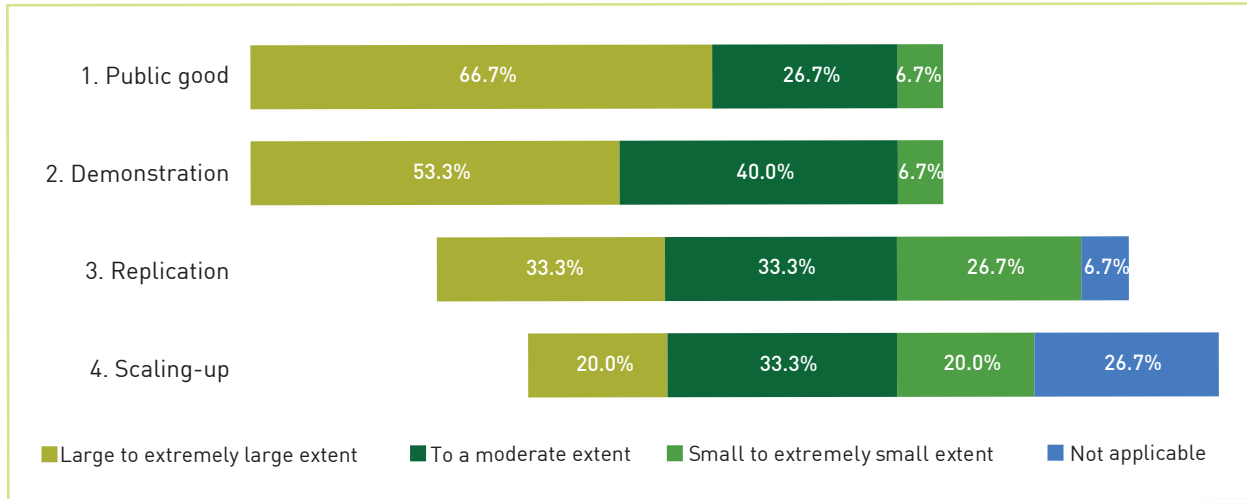
GEF ID	GEF Agency	Title	Country	Year completed	GEF funding (mil. \$) <sup>a</sup>	Rating <sup>b</sup>		
						Outcomes	Sustainability	Benefit delivery
2553	WHO	Piloting Climate Change Adaptation to Protect Human Health	Global	2015	4.97	MS	MU	VH
2832	UNDP	Mainstreaming Climate Change in Integrated Water Resource Management in Pangani River Basin	Tanzania	2011	1.00	MS	ML	H
2902	World Bank	Adaptation to the Impact of Rapid Glacier Retreat in the Tropical Andes	Regional	2014	8.08	MS	ML	VH
2931	UNDP	Adaptation to Climate Change through Effective Water Governance	Ecuador	2015	3.35	MS	L	H
3101	UNDP	Pacific Adaptation to Climate Change Project (PACC)	Regional	2014	13.48	MS	ML	H
3154	UNDP	Coping with Drought and Climate Change	Ethiopia	2013	1.00	S	MU	H
3155	UNDP	Coping with Drought and Climate Change	Mozambique	2013	0.96	MS	ML	VH
3156	UNDP	Coping with Drought and Climate Change	Zimbabwe	2012	0.98	S	ML	VH
3218	UNDP	Integrating Climate Change into the Management of Priority Health Risks	Ghana	2016	1.72	TER rating not yet available		
3227	World Bank	Conservancy Adaptation	Guyana	2013	3.80	MS	ML	VH
3249	UNDP	Adaptation to Climate Change in Arid Lands (KACCALI)	Kenya	2014	6.79	MS	ML	H
3265	World Bank	Mainstreaming Adaptation to Climate Change into Water Resources Management and Rural Development	China	2012	5.32	S	L	H
3299	UNDP	Strengthening the Capacity of Vulnerable Coastal Communities to Address the Risk of Climate Change and Extreme Weather Events	Thailand	2014	0.91	MS	ML	H
3679	UNEP	Economic Analysis of Adaptation Options	Global	2010	1.00	MU	MU	L
3967	World Bank	Integrating Climate Change in Development Planning and Disaster Prevention to Increase Resilience of Agricultural and Water Sectors	Morocco	2015	4.55	TER rating not yet available		

SOURCE: PMIS and GEF Agency project data.

a. GEF funding amount excludes agency fees. If available, at completion values are used; otherwise, values at endorsement are used.

b. Outcomes are rated by the GEF IEO and the GEF Agencies on a six-point scale: HS = highly satisfactory, S = satisfactory, MS = moderately satisfactory, MU = moderately unsatisfactory, U = unsatisfactory, and HU = highly unsatisfactory. Sustainability of outcomes are rated on a four-point scale: L = likely, ML = moderately likely, MU = moderately unlikely, and U = unlikely. The probability (quality at entry) that a project will deliver tangible adaptation benefits in line with set objectives is rated on a four-point scale: VH = very high, H = high, L = low, and VL = very low.

FIGURE 8.1 Catalytic effects of completed projects



The findings on the catalytic chain were supported by country visits and stakeholder interviews, which validated the general finding that it becomes more challenging to achieve catalytic effects as a project moves up the catalytic chain. A frequent observation by project implementation teams and GEF Agencies was that most projects certainly had obvious *potential* to achieve the ultimate catalytic goal of scaling-up, but that the key constraint was the post-implementation difficulty in securing sufficient resources and/or mainstreaming the work within, for example, national budgets. Examples of replication effects were perhaps most prevalent within agriculture-focused projects, with farmer-to-farmer learning and exchange cited in two separate terminal evaluations of the Coping with Drought and Climate Change projects (Ethiopia, GEF ID 3154; Mozambique, GEF ID 3155). Though still under implementation, the Ghanaian PROVACCA project (GEF ID 4368), visited during the Ghana field visit, is already demonstrating similar agricultural replication effects between direct project beneficiaries and farmers/communities that are not formally participating in the project.

Scaling-up was the least evident catalytic effect, with terminal evaluations tending to discuss the *potential* for scaling-up. In this context, a number of evaluations identified the institutional capacities that were developed and the political awareness that was built as two critical foundations for possible future scaling-up of SCCF investments.

The World Bank's regional project, Adaptation to the Impact of Rapid Glacier Retreat in the Tropical Andes (GEF ID 2902), performed well on scaling-up. The perception of the benefits of some adaptation activities implemented in Ecuador—for example, the adaptive cattle management—has been so positive and immediate that replication is already taking place. It is expected that it will soon influence local and regional policy and investment decisions. The activities in Papallacta, Ecuador, have served as a basis upon which the Environment Ministry is building a larger adaptation program. Also, the project has contributed to the formulation of strategies and investment activities of the water utility company through the development of the Adaptive Management Plan for the Pita-Puengasi water supply system.



In Bolivia, two investment projects, identified as immediate actions to ensure water supply in the medium term for La Paz and El Alto, have been developed by the project. In Peru, adaptation activities and scientific modeling have informed investment decisions. For instance, the municipality of Santa Teresa has developed a project on food safety based on the results of the studies of agro-biodiversity and agro-climatology under the project. Based on the experience in Santa Teresa, the local governments of Echarate and Maranura, in the province of La Convencion in Cusco, are developing adaptation projects with their own resources. The World Bank project in China, Mainstreaming Adaptation to Climate Change into Water Resources Management and Rural Development (GEF ID 3265), provides another example of a project that performed well on scaling-up. The State Office and Provincial Offices of Comprehensive Agricultural Development (SOCAD/POCADs) are committed to scaling up project success in their major ongoing national comprehensive agriculture development programs. Good practices and lessons learned are also being scaled up through the provincial comprehensive agriculture development program and a World Bank-financed follow-on project, the China-Integrated Modern Agriculture Development Project (IAIL4), which will take place in six more provinces. Some of the technical and institutional innovations introduced under the project are being adopted in policy, planning, and investment for climate change adaptation into the State Office of Comprehensive Agricultural Development's national comprehensive agriculture development investment program. Both the Andean region project and the project in China received outcome ratings in the satisfactory range and sustainability ratings in the likely range.

The completed projects in table 8.1 also received quality-at-entry reviews, only taking into account

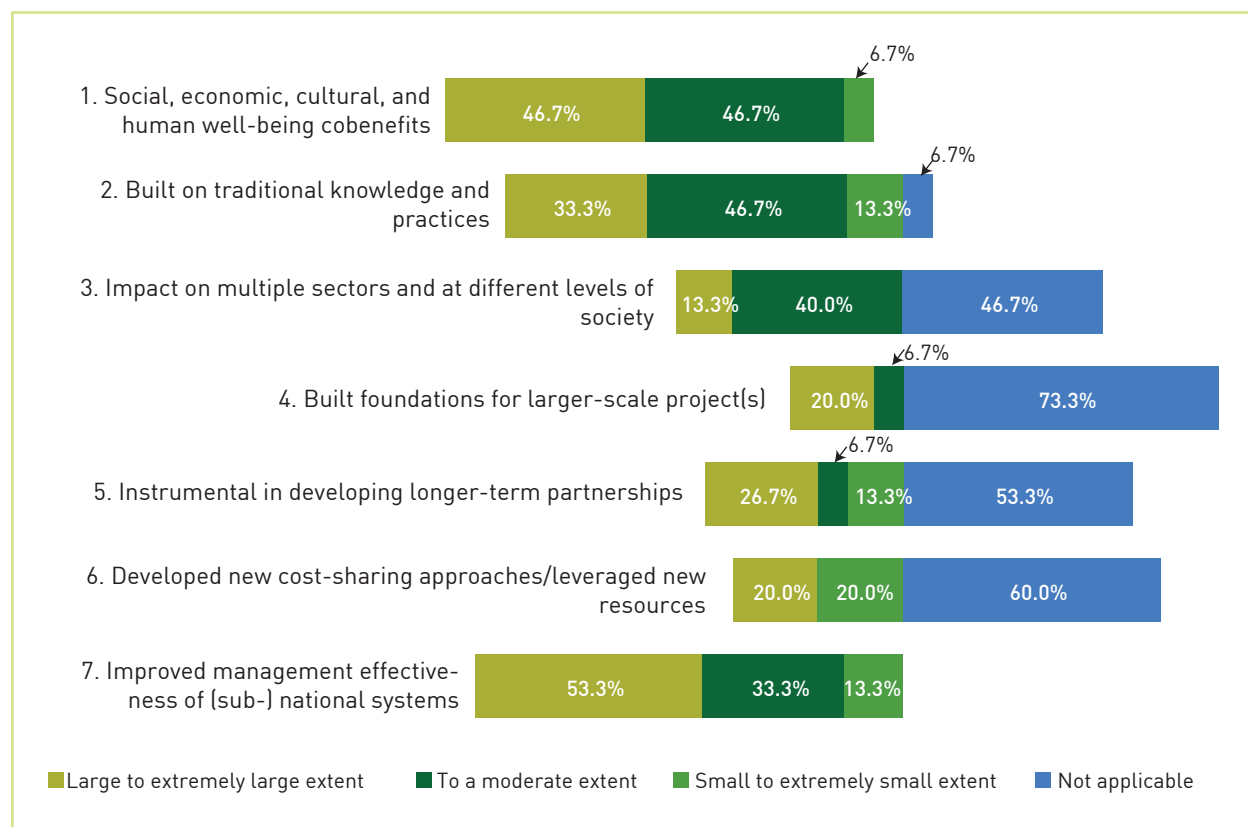
the project documentation available at CEO endorsement. Those projects that received a high or very high rating on their probability (at entry) to deliver tangible adaptation benefits in line with set objectives also received an outcome rating in the satisfactory range upon completion.

The same 15 completed projects were also assessed against a second set of potential catalytic effects, comprised of the following seven indicators relating to development results and program management processes as identified by stakeholders and noted in terminal evaluations:

- Social, economic, cultural, and human well-being cobenefits
- Built on traditional knowledge and practices
- Impact on multiple sectors and at different levels of society
- Built foundations for larger-scale project(s)
- Instrumental in developing longer-term partnerships
- Developed new cost-sharing approaches/leveraged new resources
- Improved management effectiveness of (sub-)national systems.

While the SCCF portfolio delivered at least some catalytic effects against all seven indicators, results were considerably more pronounced against three indicators—namely, social, economic, cultural, and human well-being cobenefits; built on traditional knowledge and practices; and improved management effectiveness of (sub-)national systems (figure 8.2). The relative strength of contribution against these three catalytic effects can largely be explained by the SCCF's focus on adaptation. The three effects are more adaptation-relevant and focused than the other effects, so it follows that SCCF

FIGURE 8.2 Catalytic effects of completed projects, as identified by stakeholders



interventions would be more aligned to those indicators.

## 8.2 SCCF support in relation to global environmental benefits

One of the pillars of the GEF Programming Strategy on Adaptation is the expansion of synergies between climate change adaptation and other GEF focal areas. In support of this strategic pillar, adaptation-focused interventions that are financed under the SCCF should also aim to contribute to GEBs (GEF 2014b). While contributions to GEBs are desirable for all SCCF projects, this becomes a *requirement* for MTF and multifocal area projects. However, there were only nine MTF SCCF projects and only four multifocal area SCCF projects. To obtain a broader assessment,

the evaluation consequently analyzed the entire SCCF portfolio (74 projects), identifying the extent to which projects were likely to contribute to any of the following six GEBs:

- Maintain globally significant biodiversity and the ecosystem goods and services that it provides to society
- Sustainable land management in production systems— that is, agriculture, rangelands, and forest landscapes
- 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

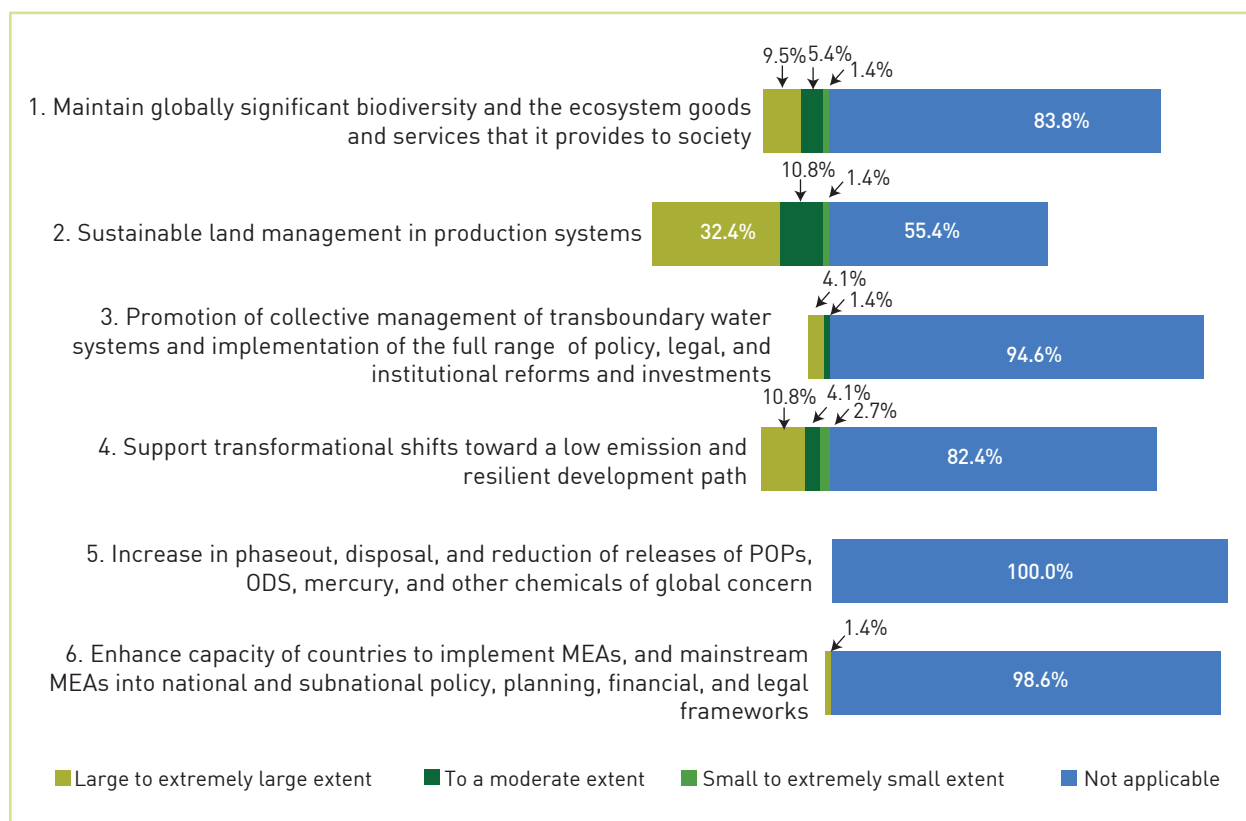
- Support transformational shifts toward a low-emission and resilient development path
- Increase in phaseout, disposal, and reduction of releases of persistent organic pollutants (POPs), ODS, mercury, and other chemicals of global concern
- Enhance capacity of countries to implement multilateral environmental agreements, and mainstream these agreements into national and subnational policy, planning, financial, and legal frameworks

The analysis indicates that the SCCF portfolio's likely contributions to GEBs will be very limited. This is perhaps not surprising, given that GEB contributions are not mandatory for the majority of SCCF projects. Where contributions are

apparent or likely, these will be delivered mainly through the sustainable land management GEB (figure 8.3). Again, this is perhaps unsurprising, as sustainable land management is arguably the GEB that has the greatest, clearest relevance to adaptation.

When reviewing the extent to which SCCF projects supported other (non-climate change) GEF focal areas, the analysis showed that close to 19 percent of projects appear likely to provide support in the ODS focal area (table 5.2). This appears to be at odds with the lack of support to the phaseout, disposal, and reduction of releases of POPs, ODS, mercury, and other chemicals of global concern (figure 8.3). The projects identified as supporting the ODS focal area did so by developing enabling conditions, tools, and environment

**FIGURE 8.3** Potential contribution of SCCF projects to global environmental benefits



for the sound management of harmful chemicals and wastes but did not directly focus on reducing the prevalence of harmful chemicals and waste.

A broader point around the relationship between the SCCF and GEBs was often raised during the course of the evaluation. During interview discussions on GEB-related results, a number of stakeholders cautioned against linking the SCCF's adaptation-focused interventions to GEBs. Adaptation support was often required—and was often *of most need*—in project settings and geographic locations that do not necessarily offer *any* opportunity for delivering other, non-adaptation-related GEBs. Consequently, some stakeholders felt that if projects were ever *required* to deliver GEBs, there would be a significant risk that some high-priority adaptation work would “lose” its eligibility for funding.

### 8.3 Sustainability of emerging results

In line with the GEF IEO's annual performance reports, sustainability is defined as the likelihood that a project's initially planned outcomes (as articulated in the project design documentation) will continue after project implementation. For this evaluation, the portfolio analysis' assessment of sustainability was based on all completed SCCF projects that had terminal evaluations and for which TER ratings were available ( $n = 13$ ). The assessment took into account four risk factors (financial, sociopolitical, institutional frameworks and governance, and environmental), then derived a rating for each project whereby the likely sustainability of a project's outcomes was graded against a four-point scale (unlikely, moderately unlikely, moderately likely, and likely).

The ratings were largely positive; no projects were assessed as having outcomes that were unlikely to be sustainable, and only three projects were rated as moderately unlikely (table 8.1). Across those projects rated moderately unlikely to have sustainable outcomes, a common theme was the lack or weakness of sustainability-focused planning within the original design documentation.

Despite a highly diverse set of projects and activities, terminal evaluations and performance reviews were reasonably consistent when it came to identifying the likely success factors for sustainability. The most common factor was the strength of national frameworks and institutions, and the extent to which these structures were already geared toward climate change and adaptation. The existence of national climate change policies and departments was critical, but the most frequently identified determinant of sustainability was, of course, the extent of financial and human resources that would be made available to an SCCF-supported intervention, post-implementation.

A second commonly identified factor was the extent to which SCCF project interventions, outputs, and outcomes were grounded within existing local contexts. Sustainability was assessed to be far more likely if interventions were based around existing, familiar technologies, institutions, and practices. Such approaches, after all, align with the very definition of *adaptation*: adapting existing processes and structures, rather than introducing completely new systems and processes.

# 9: Conclusions and recommendations

## 9.1 Conclusions

In its evaluation of the SCCF, the IEO reached the following eight conclusions:

**Conclusion 1: SCCF support has been highly relevant to UNFCCC guidance, to GEF adaptation strategic objectives, and to countries' national environmental and sustainable development goals and agendas.** The evaluation confirmed that there is a high degree of coherence between the SCCF portfolio's project objectives and the priorities and guidance provided to the Fund from the UNFCCC. The SCCF portfolio is also highly complementary to the three GEF adaptation strategic objectives of reducing vulnerability, strengthening capacities, and mainstreaming adaptation. SCCF projects were also found to be strongly country driven, and well aligned with national environmental and sustainable development policies, plans, and priorities, including, but not limited to, countries' specific climate change goals.

**Conclusion 2: The relevance of SCCF support to other, non-adaptation GEF focal areas—and to GEF's GEBs—is limited.** The extent to which SCCF projects were relevant to other (non-adaptation) GEF focal areas was limited. While almost 45 percent of projects will potentially contribute to the GEF focal area of land degradation, the apparent potential for contributing to other focal areas is far more modest. Similarly, the SCCF portfolio's likely contributions to GEBs will be

very limited and restricted to the GEB of sustainable land management.

**Conclusion 3: The SCCF's niche within the global adaptation finance arena has been its accessibility for non-Annex I countries and its support for innovative adaptation projects.** The accessibility of the SCCF to non-Annex I countries was consistently identified by stakeholders as the main distinguishing factor of the Fund, with this being particularly important given the lack of other adaptation-focused grant sources for non-LDCs. The SCCF's support for innovative projects was also identified as another comparatively distinctive element of the Fund. This openness to innovation was seen to be particularly important in light of the nascent GCF; a number of stakeholders felt that the SCCF had the potential to be the ideal incubator for countries to test and refine project concepts prior to seeking large-scale finance through the GCF.

**Conclusion 4: The SCCF portfolio is highly likely to deliver tangible adaptation benefits and catalytic effects.** The evaluation estimated that virtually all SCCF projects (98.7 percent) had either a high or a very high probability of delivering tangible adaptation benefits; this was supported by evidence gathered during country visits, when benefits already being delivered by SCCF projects were evaluated. Virtually all projects were also found to have achieved some degree of catalytic effect, whereby SCCF work

had a positive influence on activities, outputs, and outcomes beyond the immediate project.

**Conclusion 5: The ultimate catalytic effect of scaling-up often demands further investments.**

Most projects had obvious potential to achieve the ultimate catalytic goal of scaling-up, and a number of evaluations identified the institutional capacities that were developed and the political awareness that was built as two critical foundations for possible future scaling-up. But the key constraint to actual scaling-up was the post-implementation difficulty in securing sufficient resources and/or mainstreaming the work within, for example, national budgets.

**Conclusion 6: The SCCF's effectiveness and efficiency have been seriously undermined by limited and unpredictable resources.**

Despite the continued relevance of the Fund, its popularity among non-Annex I countries, and evidence that tangible adaptation results are being delivered, the SCCF's resources have been completely inadequate to meet demand, with contributions to the Fund effectively stalled since 2014. This is obviously affecting the SCCF's short-term performance, but there is a significant risk that longer-term performance is also being undermined. As a direct consequence of the limited and unpredictable resources, some GEF Agencies have confirmed that they are no longer considering or promoting the SCCF when discussing proposal developments with project partners. The time, financial cost, and political capital required to develop and build support for proposals could not be justified against the high risk of no funding being available. The SCCF resource situation can be characterized as a vicious circle: No resources are available, so no proposals are developed, which can be interpreted by donors as limited interest or lack of demand, so donors do not provide resources.

**Conclusion 7: The gender sensitivity of the SCCF portfolio has strengthened over time, with this improvement almost certainly influenced by the GEF's Policy on Gender Mainstreaming and the GEAP.**

Based on analysis of three project elements—project design, project M&E, and project implementation—the evaluation found that the gender sensitivity of SCCF projects has improved markedly across all three elements. For example, while 84.2 percent of SCCF projects during GEF-4 had no gender mainstreaming plan, this proportion dropped to 12.5 percent during GEF-6. Important drivers behind this improvement are almost certainly the introduction of the GEF Policy on Gender Mainstreaming during the GEF-5 cycle and the approval of the GEAP during GEF-6.

**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 that 64 of the 117 projects reviewed had an incorrect project status in the PMIS. Moreover, cross-checking the available project data with GEF Agencies and progress reports to Council revealed further discrepancies in PMIS data.

## 9.2 Recommendations

In its evaluation of the SCCF, the IEO reached the following three recommendations:

**Recommendation 1.** Reaffirming and strengthening a recommendation from the previous SCCF program evaluation in 2011, the GEF Secretariat should prioritize the development of mechanisms that ensure predictable, adequate, and sustainable financing for the Fund, given its support for and focus on innovation.

**Recommendation 2.** The GEF Secretariat should articulate and publicly communicate the SCCF's

niche within the global adaptation finance landscape, to include an explicit statement regarding the SCCF's relation with—and complementarity to—the GCF.

**Recommendation 3.** The GEF Secretariat should ensure that PMIS data are up to date and accurate.





# Annex A: UNFCCC COP guidance and decisions

Decision/guidance	Subject
<b>COP-6 (II): Bonn, Germany, July 16–27, 2001 (FCCC/CP/2001/5)</b>	
Decision 5/ CP.6: Annex, I. Funding under the Convention	<p>The Conference of the Parties agrees:</p> <p>3. That:</p> <p>a. There is a need for funding, including funding that is new and additional to contributions that are allocated to the Global Environment Facility climate change focal area and to multilateral and bilateral funding, for the implementation of the Convention;</p> <p>b. Predictable and adequate levels of funding shall be made available to Parties not included in Annex I;</p>
Decision 5/ CP.6: Annex, I. Funding under the Convention— Special Climate Change Fund	<p>The Conference of the Parties agrees:</p> <p>Par. 1. That a special climate change fund shall be established to finance activities, programmes and measures related to climate change, that are complementary to those funded by the resources allocated to the Global Environment Facility climate change focal area and by bilateral and multilateral funding, in the following areas:</p> <p>a. Adaptation;</p> <p>b. Technology transfer;</p> <p>c. Energy, transport, industry, agriculture, forestry and waste management; and</p> <p>d. Activities to assist developing country Parties referred to under Article 4, paragraph 8 (h), in diversifying their economies.</p> <p>Par. 2. That the Parties included in Annex II and other Parties included in Annex I that are in a position to do so shall be invited to contribute to the fund, which shall be operated by an entity which operates the financial mechanism, under the guidance of the Conference of the Parties;</p> <p>Par. 3. To invite the entity referred to in par. 2 above to make the necessary arrangements for this purpose.</p>
<b>COP-7: Marrakesh, Morocco, October 29–November 10, 2001 (FCCC/CP/2001/13/Add.1)</b>	
Decision 4/CP.7: Development and transfer of technologies (Decisions 4/ CP.4 and 9/CP.5)	<p>The Conference of the Parties, ...</p> <p>Par. 3. Requests the Global Environment Facility, as an operating entity of the financial mechanism of the Convention, to provide financial support for the implementation of the annexed framework (i.e., the framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention,...by increasing and improving the transfer of and access to environmentally sound technologies (ESTs) and know-how) through its climate change focal area and the special climate change fund established under decision 7/CP.7.</p>

Decision/guidance		Subject
Decision 5/CP.7: I. Adverse effects of climate change	<p>Par. 8. Decides that the implementation of the following activities shall be supported through the special climate change fund (in accordance with decision 7/CP.7) and/or the adaptation fund (in accordance with decision 10/CP.7), and other bilateral and multilateral sources:</p> <p>a. Starting to implement adaptation activities promptly where sufficient information is available to warrant such activities, inter alia, in the areas of water resources management, land management, agriculture, health, infrastructure development, fragile ecosystems, including mountainous ecosystems, and integrated coastal zone management;</p>	SCCF funding priorities
	<p>b. Improving the monitoring of diseases and vectors affected by climate change, and related forecasting and early-warning systems, and in this context improving disease control and prevention;</p>	SCCF—Health
	<p>c. Supporting capacity building, including institutional capacity, for preventive measures, planning, preparedness and management of disasters relating to climate change, including contingency planning, in particular, for droughts and floods in areas prone to extreme weather events;</p> <p>d. Strengthening existing and, where needed, establishing national and regional centres and information networks for rapid response to extreme weather events, utilizing information technology as much as possible;</p>	SCCF—DRM
Decision 5/CP.7: III. Impact of the implementation of response measures	<p>Par. 19. Decides that the implementation of the activities included in paragraphs 25 to 32 below shall be supported through the Global Environment Facility (in accordance with decision 6/CP.7), the special climate change fund (in accordance with decision 7/CP.7), and other bilateral and multilateral sources;</p>	Funding priorities—General
Decision 7/CP.7: Funding under the Convention	<p>Par. 2. Decides also that a special climate change fund shall be established to finance activities, programmes and measures, relating to climate change, that are complementary to those funded by the resources allocated to the climate change focal area of Global Environment Facility and by bilateral and multilateral funding, in the following areas:</p> <p>a. Adaptation, in accordance with paragraph 8 of decision 5/CP.7;</p> <p>b. Transfer of technologies, in accordance with decision 4/CP.7;</p> <p>c. Energy, transport, industry, agriculture, forestry and waste management;</p> <p>d. Activities to assist developing country Parties referred to under Article 4, paragraph 8(h), in diversifying their economies, in accordance with decision 5/CP.7;</p>	SCCF funding priorities
	<p>Par. 4. Invites the entity referred to in paragraph 3 above to make the necessary arrangements for this purpose and report thereon to the Conference of the Parties at its eighth session for appropriate action;</p>	SCCF general
<b>COP-8: New Delhi, India, October 23–November 1, 2002 (FCCC/CP/2002/7/Add.1)</b>		
Decision 7/CP.8: Initial guidance to an entity entrusted with the operation of the financial mechanism of the Convention, for the operation of the Special Climate Change Fund	<p>The Conference of the Parties,...</p> <p>Par. 1. Decides that, for the operation of the Special Climate Change Fund, the Global Environment Facility, as an entity entrusted with the operation of the financial mechanism of the Convention, should:</p> <p>a. Promote complementarity of funding between the Special Climate Change Fund and other funds with which the operating entity is entrusted;</p> <p>b. Ensure financial separation of the Special Climate Change Fund from other funds with which the operating entity is entrusted;</p> <p>c. Ensure transparency in the operation of the Special Climate Change Fund;</p> <p>d. Adopt streamlined procedures for the operation of the Special Climate Change Fund while ensuring sound financial management;</p>	SCCF funding principles

Decision/guidance		Subject
Decision 7/CP.8: Initial guidance to an entity entrusted with the operation of the financial mechanism of the Convention, for the operation of the Special Climate Change Fund	<p>Par. 2. Decides to further define the prioritized activities, programmes and measures to be funded out of the Special Climate Change Fund in areas enumerated in paragraph 2 of decision 7/CP.7 by undertaking the activities described below:</p> <p>a. Initiating a process now with a view to providing further guidance to the Global Environment Facility, this process to consist of:</p> <ol style="list-style-type: none"> <li>i. Requesting Parties to submit to the secretariat, by 15 February 2003, views on activities, programmes and measures referred to in paragraph 2 of decision 7/CP.7;</li> <li>ii. Requesting the Expert Group on Technology Transfer and the Least Developed Countries Expert Group to submit to the secretariat, as soon as possible, views, relevant to their mandates, on activities, programmes and measures referred to in paragraph 2 of decision 7/CP.7;</li> <li>iii. Requesting the secretariat to prepare for consideration by the Subsidiary Body for Implementation, at its eighteenth session, a report summarizing and analyzing the above-mentioned submissions;</li> </ol> <p>b. Upon completion of such a process, a decision at its ninth session will provide guidance to the Global Environment Facility in order for the Global Environment Facility to operationalize the fund without delay thereafter.</p>	SCCF funding priorities
<b>COP-9: Milan, Italy, December 1–12, 2003 (FCCC/CP/2003/6/Add.1)</b>		
Decision 5/CP.9: Further guidance to an entity entrusted with the operation of the financial mechanism of the Convention, for the operation of the Special Climate Change Fund	<p>The Conference of the Parties,...Par. 1. Decides that:</p> <p>a. The Special Climate Change Fund should serve as a catalyst to leverage additional resources from bilateral and other multilateral sources;</p> <p>b. Activities to be funded should be country driven, cost-effective and integrated into national sustainable development and poverty-reduction strategies;</p>	SCCF funding principles
	<p>c. Adaptation activities to address the adverse impacts of climate change shall have top priority for funding;</p>	SCCF—Adaptation overall
	<p>d. Technology transfer and its associated capacity-building activities shall also be essential areas to receive funding from the Special Climate Change Fund;</p>	SCCF—Technology transfer
	<p>Par. 2. Decides also that the implementation of adaptation activities shall be supported through the Special Climate Change Fund, taking into account national communications or national adaptation programmes of action, and other relevant information provided by the applicant Party, and include:</p> <p>a. Implementation of adaptation activities where sufficient information is available to warrant such activities, inter alia, in the areas of water resources management, land management, agriculture, health, infrastructure development, fragile ecosystems, including mountain ecosystems, and integrated coastal zone management;</p>	SCCF—Adaptation overall
	<p>b. Improving the monitoring of diseases and vectors affected by climate change, and related forecasting and early-warning systems, and in this context improving disease control and prevention;</p>	SCCF—Health
	<p>c. Supporting capacity building, including institutional capacity, for preventive measures, planning, preparedness and management of disasters relating to climate change, including contingency planning, in particular, for droughts and floods in areas prone to extreme weather events;</p> <p>d. Strengthening existing and, where needed, establishing national and regional centres and information networks for rapid response to extreme weather events, utilizing information technology as much as possible;</p>	SCCF—DRM

Decision/guidance		Subject
Decision 5/CP.9: Further guidance to an entity entrusted with the operation of the financial mechanism of the Convention, for the operation of the Special Climate Change Fund	<p>Par. 3. Decides further that resources from the Special Climate Change Fund shall be used to fund technology transfer activities, programmes and measures that are complementary to those currently funded by the Global Environment Facility taking into account national communications or any other relevant documents in accordance with decision 4/CP.7 and its annex containing the framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention, in the following priority areas:</p> <ul style="list-style-type: none"> <li>a. Implementation of the results of technology needs assessments;</li> <li>b. Technology information;</li> <li>c. Capacity building for technology transfer;</li> <li>d. Enabling environments;</li> </ul>	SCCF— Technology transfer
	<p>Par. 4. Decides further that activities under paragraph 2 (c) and (d) in decision 7/CP.7 are also to be funded by the Special Climate Change Fund and to this effect invites Parties to submit to the secretariat, by 15 September 2004, further views on activities, programmes and measures in these areas for further consideration by the Subsidiary Body for Implementation, at its twenty-first session, in order for the Conference of the Parties to take a decision on this matter at its tenth session;</p>	SCCF funding priorities
	<p>Par. 5. Requests the entity entrusted with the operation of the fund to arrange expedited access to the Special Climate Change Fund in keeping with current practices of the Global Environment Facility, taking into account the need for adequate resources to implement eligible activities, programmes and measures;</p>	SCCF— Resource approval and disbursement
	<p>Par. 6. Invites the entity entrusted with the operation of the Special Climate Change Fund to make the necessary arrangements to mobilize resources to make the fund operational without delay;</p>	SCCF— Resource mobilization
	<p>Par. 7. Requests the entity referred to in paragraph 5 above to include in its report to the Conference of the Parties, at its tenth session, the specific steps it has undertaken to implement this decision;</p>	SCCF— Reporting
<b>COP-10: Buenos Aires, Argentina, December 6–18, 2004 [FCC/CP/2004/10/Add.1]</b>		
Decision 1/CP.10: Buenos Aires programme of work on adaptation and response measures	<p>The Conference of the Parties, ...</p> <p>Par. 3. Urges Parties included in Annex II to the Convention (Annex II Parties) to contribute to the Special Climate Change Fund and other multilateral and bilateral sources, to support, as a top priority, adaptation activities to address the adverse impacts of climate change;</p>	SCCF— Financial resources
<b>COP-12: Nairobi, Kenya, November 6–17, 2006 [FCCC/CP/2006/5/Add.1]</b>		
Decision 1/CP.12: Further guidance to an entity entrusted with the operation of the financial mechanism of the Convention, for the operation of the Special Climate Change Fund	<p>The Conference of the Parties, ...</p> <p>Par. 1. Decides that the Special Climate Change Fund shall be used to finance activities, programmes and measures relating to climate change in the areas set out in decision 7/CP.7, paragraph 2 (c), that are complementary to those funded by the resources allocated to the climate change focal area of the Global Environment Facility and by bilateral and multilateral funding, particularly in the following priority areas:</p> <ul style="list-style-type: none"> <li>a. Energy efficiency, energy savings, renewable energy and less-greenhouse-gas-emitting advanced fossil-fuel technologies;</li> <li>b. Innovation including through research and development relating to energy efficiency and savings in the transport and industry sectors;</li> <li>c. Climate-friendly agricultural technologies and practices, including traditional agricultural methods;</li> <li>d. Afforestation, reforestation and use of marginal land;</li> <li>e. Solid and liquid waste management for the recovery of methane;</li> </ul>	SCCF— Sectors (SCCF-C)

Decision/guidance	Subject
Decision 1/ CP.12: Further guidance to an entity entrusted with the operation of the financial mechanism of the Convention, for the operation of the Special Climate Change Fund	<p>Par. 2. Decides that the Special Climate Change Fund shall be used to finance activities, programmes and measures relating to climate change in the areas set out in decision 7/CP.7, paragraph 2 (d), that are complementary to those funded by the resources allocated to the climate change focal area of the Global Environment Facility and by other bilateral and multilateral funding initially in the following areas:</p> <ul style="list-style-type: none"> <li>a. Capacity building at the national level in the areas of:</li> <li>b. Economic diversification;</li> <li>c. Energy efficiency in countries whose economies are highly dependent on consumption of fossil fuels and associated energy-intensive products;</li> <li>d. Support through technical assistance the creation of favourable conditions for investment in sectors where such investment could contribute to economic diversification;</li> <li>e. Support through technical assistance the diffusion and transfer of less-greenhouse-gas emitting advanced fossil-fuel technologies;</li> <li>f. Support through technical assistance innovative national advanced fuel technologies;</li> <li>g. Support through technical assistance the promotion of investments in less-greenhouse gas-emitting, environmentally sound energy sources, including natural gas, according to the national circumstances of Parties;</li> </ul> <p>Par. 3. Decides to assess, at its fifteenth session, the status of implementation of paragraph 2 above, with a view to considering further guidance on how the fund shall support concrete implementation projects in accordance with paragraphs 22–29 of decision 5/CP.7;</p> <p>Par. 4. Decides that the operational principles and criteria of the Special Climate Change Fund and the manner in which they are carried out in the operation of the Special Climate Change Fund will apply only to Global Environment Facility activities financed under the Special Climate Change Fund;</p>
<b>COP-16: Cancun, Mexico, November 29–December 10, 2010 (FCCC/CP/2010/7/Add.2)</b>	
Decision 2/ CP.16: Fourth review of the financial mechanism	<p>Par. 5. Decides that the Global Environment Facility should continue to provide and enhance support for the implementation of adaptation activities, including the implementation of national adaptation programmes of action, through the Least Developed Countries Fund and the Special Climate Change Fund;</p>
	<p>Par. 6. Requests the Global Environment Facility, in its regular report to the Conference of the Parties, to include information on the steps it has taken to implement the guidance provided in paragraphs 3, 4 and 5 above;</p>
Decision 4/ CP.16: Assessment of the Special Climate Change Fund	<p>The Conference of the Parties, ...</p> <p>Decides to conclude the assessment of the status of implementation of paragraph 2 of decision 1/CP.12 and to request the entity entrusted with the operation of the Special Climate Change Fund to include in its report to the Conference of the Parties at its seventeenth session information on the implementation of paragraph 2 (a–d) of decision 7/CP.7.</p>
Decision 9/ CP.18: Report of the Global Environment Facility to the Conference of the Parties and additional guidance to the Global Environment Facility	<p>The Conference of the Parties, ...</p> <p>Par. 1. Requests the Global Environment Facility, as an operating entity of the financial mechanism of the Convention:</p> <p>(c) Through the Special Climate Change Fund, to consider how to enable activities for the preparation of the national adaptation plan process for interested developing country Parties that are not least developed country Parties, as it requested the Global Environment Facility, through the Least Developed Countries Fund, to consider how to enable activities for the preparation of the national adaptation plan process for the least developed country Parties in decision 5/CP.17, paragraph 22;</p>

Decision/guidance		Subject
Decision 9/ CP.18: Report of the Global Environment Facility to the Conference of the Parties and additional guidance to the Global Environ- ment Facility	Par. 2. Also requests the Global Environment Facility, as an operating entity of the financial mechanism of the Convention, in its annual report to the Conference of the Parties, to include information on the steps it has taken to implement the guidance provided in paragraph 1 above;	SCCF— Reporting
	Par. 5. Also urges developed country Parties to mobilize financial support for the national adaptation plan process for interested developing country Parties that are not least developed country Parties through bilateral and multilateral channels, including through the Special Climate Change Fund, in accordance with decision 1/CP.16, as it urged developed country Parties to mobilize financial support for the national adaptation plan process for least developed country Parties in decision 5/CP.17, paragraph 21	SCCF— Resource mobilization
<b>COP-21: Paris, France, November 30–December 13, 2015 (FCC/CP/2015/10/Add.1)</b>		
Decision 1/ CP.21: III. Decisions to give effect to the Agreement (i.e., the Paris Agreement)	Par. 58. Decides that the Green Climate Fund and the Global Environment Facility, the entities entrusted with the operation of the Financial Mechanism of the Convention, as well as the Least Developed Countries Fund and the Special Climate Change Fund, administered by the Global Environment Facility, shall serve the Agreement;	General funding

# Annex B: Overview of completed SCCF projects

TABLE B.1 Overview of completed SCCF projects

GEF ID	GEF Agency	Title	Country	Year completed	GEF funding (mil. \$) <sup>a</sup>	Rating <sup>b</sup>			
						Outcomes	Sustainability	M&E design	M&E implementation
2553	WHO	Piloting Climate Change Adaptation to Protect Human Health	Global	2015	4.97	MS	MU	S	MS
2832	UNDP	Mainstreaming Climate Change in Integrated Water Resource Management in Pangani River Basin	Tanzania	2011	1.00	MS	ML	NR	MU
2902	World Bank	Adaptation to the Impact of Rapid Glacier Retreat in the Tropical Andes	Regional	2014	8.08	MS	ML	MU	MU
2931	UNDP	Adaptation to Climate Change through Effective Water Governance	Ecuador	2015	3.35	MS	L	S	S
3101	UNDP	Pacific Adaptation to Climate Change Project (PACC)	Regional	2014	13.48	MS	ML	MU	MU
3154	UNDP	Coping with Drought and Climate Change	Ethiopia	2013	1.00	S	MU	MS	MS
3155	UNDP	Coping with Drought and Climate Change	Mozambique	2013	0.96	MS	ML	U	MU
3156	UNDP	Coping with Drought and Climate Change	Zimbabwe	2012	0.98	S	ML	MS	MS
3159	World Bank	Adaptation to Climate Change Impacts on the Coastal Wetlands	Mexico	2015	4.50	Terminal evaluation and TER ratings not yet available			
3218	UNDP	Integrating Climate Change into the Management of Priority Health Risks	Ghana	2016	1.72	TER ratings not yet available			

GEF ID	GEF Agency	Title	Country	Year completed	GEF funding (mil. \$) <sup>a</sup>	Rating <sup>b</sup>			
						Outcomes	Sustainability	M&E design	M&E implementation
3227	World Bank	Conservancy Adaptation	Guyana	2013	3.80	MS	ML	MU	MU
3249	UNDP	Adaptation to Climate Change in Arid Lands (KACCALI)	Kenya	2014	6.79	MS	ML	MU	MU
3265	World Bank	Mainstreaming Adaptation to Climate Change into Water Resources Management and Rural Development	China	2012	5.32	S	L	MS	MS
3299	UNDP	Strengthening the Capacity of Vulnerable Coastal Communities to Address the Risk of Climate Change and Extreme Weather Events	Thailand	2014	0.91	MS	ML	S	MU
3679	UNEP	Economic Analysis of Adaptation Options	Global	2010	1.00	MU	MU	MU	MU
3907	UNEP	Technology Needs Assessment	Global	2012	8.18	Terminal evaluation and TER ratings not yet available			
3967	World Bank	Integrating Climate Change in Development Planning and Disaster Prevention to Increase Resilience of Agricultural and Water Sectors	Morocco	2015	4.55	TER ratings not yet available			
4515	World Bank	Southeastern Europe and Caucasus Catastrophe Risk Insurance Facility (SEEC CRIF)	Regional	2015	5.50	Terminal evaluation and TER ratings not yet available			

**SOURCE:** PMIS and GEF Agency project data.

a. GEF funding amount excludes agency fees. If available, at completion values are used; otherwise, values at endorsement are used.

b. Outcomes, M&E design at entry, and M&E plan implementation are rated by the GEF IEO and the GEF Agencies on a six-point scale: HS = highly satisfactory, S = satisfactory, MS = moderately satisfactory, MU = moderately unsatisfactory, U = unsatisfactory, and HU = highly unsatisfactory. Sustainability of outcomes are rated by the GEF IEO and the GEF Agencies on a four-point scale: L = likely, ML = moderately likely, MU = moderately unlikely, and U = unlikely.



# Annex C: SCCF portfolio composition

**TABLE C.1** Number of SCCF projects by project status, modality, and funding source

Project status	MSPs		FSPs		Total	
	SCCF	MTF	SCCF	MTF	SCCF	MTF
Canceled	4	0	2	0	6	0
Dropped	7	0	18	3	25	3
Rejected	0	0	0	1	0	1
CEO PIF rejected	1	0	7	0	8	0
CEO endorsed/approved	0	0	9	4	9	4
Under implementation	1	1	37	4	38	5
Project completion	6	0	12	0	18	0
<b>Total</b>	20		97		117	
Total CEO endorsed/approved, under implementation, and completed	8		66		74	

**SOURCE:** PMIS and GEF Agency project data.

**NOTE:** Cutoff date for portfolio analysis data was October 27, 2016. Project count, status, and value might have changed since.

**TABLE C.2** Budgetary allocation by project status, modality, and funding source

Project status	MSPs		FSPs		Total	
	SCCF	MTF	SCCF	MTF	SCCF	MTF
Canceled	3.74	0.00	5.86	0.00	9.60	0.00
Dropped	5.74	0.00	74.21	25.43	79.95	25.43
Rejected	0.00	0.00	0.00	18.53	0.00	18.53
CEO PIF rejected	1.00	0.00	29.47	0.00	30.47	0.00
CEO endorsed/approved	0.00	0.00	47.60	8.21	47.60	8.21
Under implementation	2.19	0.50	176.02	14.78	178.21	15.28
Project completion	6.39	0.00	77.77	0.00	84.16	0.00
<b>Total</b>	19.57		477.86		497.43	
Total CEO endorsed/approved, under implementation, and completed	9.09		324.37		333.45	

**SOURCE:** PMIS and GEF Agency project data.

**NOTE:** Cutoff date for portfolio analysis data was October 27, 2016. Project count, status, and value might have changed since. Values for canceled, dropped, and rejected projects reflect original project value, not disbursements to implementing Agencies.

**TABLE C.3** SCCF project cohort by project status, modality, and funding source

Project status	MSPs		FSPs		Total		% of total
	SCCF	MTF	SCCF	MTF	SCCF	MTF	
CEO endorsed/approved	0	0	9	4	9	4	17.6
Under implementation	1	1	37	4	38	5	58.1
Project completion	6	0	12	0	18	0	24.3
Subtotals	7	1	58	8	65	9	100.0
Total CEO endorsed/approved, under implementation, and completed	8		66		74		100.0

**SOURCE:** PMIS and GEF Agency project data.

**NOTE:** Cutoff date for portfolio analysis data was October 27, 2016. Project count, status, and value might have changed since.

**TABLE C.4** Budgetary allocation for SCCF project cohort by project status, modality, and funding source

Project status	Budgetary allocation (million \$)						% of total
	MSPs		FSPs		Total		
	SCCF	MTF	SCCF	MTF	SCCF	MTF	
CEO endorsed/approved	0.00	0.00	47.60	8.21	47.60	8.21	16.7
Under implementation	2.19	0.50	176.02	14.78	178.21	15.28	58.0
Project completion	6.39	0.00	77.77	0.00	84.16	0.00	25.2
Subtotals	8.59	0.50	301.38	22.98	309.97	23.48	100.0
Total CEO endorsed/approved, under implementation, and completed	9.09		324.37		333.45		100.0

**SOURCE:** PMIS and GEF Agency project data.

**NOTE:** Cutoff date for portfolio analysis data was October 27, 2016. Project count, status, and value might have changed since.

**TABLE C.5** SCCF project cohort by GEF replenishment period and project modality

Replenishment period	MSPs	FSPs	Total	% of total
GEF-3	4	2	6	8.1
GEF-4	2	17	19	25.7
GEF-5	2	39	41	55.4
GEF-6	0	8	8	10.8
Total CEO endorsed/approved, under implementation, and completed	8	66	74	100.0

**SOURCE:** PMIS and GEF Agency project data.

**NOTE:** Cutoff date for portfolio analysis data was October 27, 2016. Project count, status, and value might have changed since.

**TABLE C.6** SCCF project cohort by project status and GEF replenishment period

Project status	GEF-3		GEF-4		GEF-5		GEF-6		Total	
	No.	%	No.	%	No.	%	No.	%	No.	%
CEO endorsed/approved	0	0.0	0	0.0	9	12.2	4	5.4	13	17.6
Under implementation	0	0.0	8	10.8	31	41.9	4	5.4	43	58.1
Project completion	6	8.1	11	14.9	1	1.4	0	0	18	24.3
Total CEO endorsed/approved, under implementation, and completed	6	8.1	19	25.7	41	55.4	8	10.8	74	100.0

**SOURCE:** PMIS and GEF Agency project data.

**NOTE:** Cutoff date for portfolio analysis data was October 27, 2016. Project count, status, and value might have changed since.

**TABLE C.7** Budgetary allocation for SCCF project cohort by project status and GEF replenishment period

Project status	Budgetary allocation (million \$)					% of total
	GEF-3	GEF-4	GEF-5	GEF-6	Total	
CEO endorsed/approved	0.00	0	37.31	18.50	55.80	16.7
Under implementation	0.00	27.27	141.27	24.94	193.48	58.0
Project completion	15.84	62.28	6.05	0	84.16	25.2
Total CEO endorsed/approved, under implementation, and completed	15.84	89.55	184.63	43.44	333.45	100.0

**SOURCE:** PMIS and GEF Agency project data.

**NOTE:** Cutoff date for portfolio analysis data was October 27, 2016. Project count, status, and value might have changed since.

**TABLE C.8** Number of and budgetary allocation for SCCF projects by GEF Agency

GEF Agency	Number of projects			% of total	Budgetary allocation (million \$)			% of total
	MSPs	FSPs	Total		MSPs	FSPs	Total	
ADB	1	4	5	6.8	0.50	13.00	13.50	4.0
AfDB	0	3	3	4.1	0.00	13.22	13.22	4.0
EBRD	0	4	4	5.4	0.00	17.72	17.72	5.3
FAO	0	6	6	8.1	0.00	23.06	23.06	6.9
IDB	0	2	2	2.7	0.00	6.64	6.64	2.0
IFAD	0	9	9	12.2	0.00	42.18	42.18	12.7
UNDP	5	18	23	31.1	5.29	86.10	91.39	27.4
UNEP	2	5	7	9.5	3.29	31.91	35.20	10.6
UNIDO	0	1	1	1.4	0.00	3.72	3.72	1.1
World Bank	0	14	14	18.9	0.00	86.81	86.81	26.0
Total	8	66	74	100.0	9.09	324.37	333.45	100.0

**SOURCE:** PMIS and GEF Agency project data.

**NOTE:** Cutoff date for portfolio analysis data was October 27, 2016. Project count, status, and value might have changed since. Only CEO endorsed/approved, under implementation, and completed projects taken into account.

**TABLE C.9** Number of and budgetary allocation for SCCF projects by region

Region	Number of projects			% of total	Budgetary allocation (million \$)			% of total
	MSPs	FSPs	Total		MSPs	FSPs	Total	
Africa	4	18	22	29.7	4.29	86.07	90.36	27.1
Asia	2	17	19	25.7	1.50	85.50	87.00	26.1
Europe & Central Asia	1	11	12	16.2	2.19	50.20	52.39	15.7
Latin Am. & Carib.	0	16	16	21.6	0.00	77.54	77.54	23.3
Global	1	4	5	6.8	1.10	25.06	26.16	7.8
<b>Total</b>	<b>8</b>	<b>66</b>	<b>74</b>	<b>100.0</b>	<b>9.09</b>	<b>324.37</b>	<b>333.45</b>	<b>100.0</b>

**SOURCE:** PMIS and GEF Agency project data.

**NOTE:** Cutoff date for portfolio analysis data was October 27, 2016. Project count, status, and value might have changed since. Only CEO endorsed/approved, under implementation, and completed projects taken into account.

# Annex D: 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.

<b>Goal: Increase resilience to the adverse impacts of climate change in vulnerable developing countries, through both near- and long-term adaptation measures in affected sectors, areas and communities; leading to a reduction of expected socio-economic losses associated with climate change and variability.</b>	
<b>Objective 1: Reduce the vulnerability of people, livelihoods, physical assets and natural systems to the adverse effects of climate change</b>	
Indicator 1	Number of direct beneficiaries
Outcome 1.1	<i>Vulnerability of physical assets and natural systems reduced</i>
Indicator 2	Type and extent of assets strengthened and/or better managed to withstand the effects of climate change
Outcome 1.2	<i>Livelihoods and sources of income of vulnerable populations diversified and strengthened</i>
Indicator 3	Population benefiting from the adoption of diversified, climate-resilient livelihood options
Outcome 1.3	<i>Climate-resilient technologies and practices adopted and scaled up</i>
Indicator 4	Extent of adoption of climate-resilient technologies/practices
<b>Objective 2: Strengthen institutional and technical capacities for effective climate change adaptation</b>	
Outcome 2.1	<i>Increased awareness of climate change impacts, vulnerability and adaptation</i>
Indicator 5	Public awareness activities carried out and population reached
Outcome 2.2	<i>Access to improved climate information and early-warning systems enhanced at regional, national, sub-national and local levels</i>
Indicator 6	Risk and vulnerability assessments, and other relevant scientific and technical assessments carried out and updated
Indicator 7	Number of people/geographical area with access to improved climate information services
Indicator 8	Number of people/geographical area with access to improved, climate-related early-warning information
Outcome 2.3	<i>Institutional and technical capacities and human skills strengthened to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures</i>
Indicator 9	Number of people trained to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures
Indicator 10	Capacities of regional, national and sub-national institutions to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures

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

# Annex E: GEF core gender indicators

Outcome	Gender indicator	Source of verification
Project design fully integrates gender concerns	<p>Percentage of projects that have conducted gender analysis during project preparation</p> <p>Percentage of projects that have incorporated gender-responsive project results framework (e.g., gender-responsive output, outcome, indicator, budget, etc.)</p>	Project document at CEO endorsement
Project implementation ensures gender equitable participation in and benefit from project activities	<p>Share of women and men as direct beneficiaries of project</p> <p>Share of convention-related national reports incorporated gender dimensions (e.g., national biodiversity strategy and action plan, national adaptation program of action/national action plan, transboundary diagnostic analysis/strategic action program, etc.)</p>	Project implementation reports, midterm evaluation reports, and TERs
Project M&E give adequate attention to gender mainstreaming	Percentage of M&E reports (e.g., project implementation reports, midterm evaluation reports, and TERs) that incorporates gender equality/women's empowerment issues and assess results/progress	Project implementation reports, midterm evaluation reports, and TERs

# Annex F: Interviewees

- Abena Nakawa, Ghana Health Service, Occupational and Environmental Health Unit, Project Manager
- Adel Siapno, Department of Environment and Natural Resources, Philippines, International Affairs and Foreign-Assisted Programs, Assistant Secretary
- Aggugadan Farmers Association, Peñablanca, Cagayan, Philippines, 30 farmers
- Agnes Barte, Davao City, Calinan District, Philippines, Agricultural Extension Worker
- Alejandro Kilpatrick, UNFCCC Secretariat, Team Leader, Climate Finance Subprogram
- Analiza Rebuelta Teh, Department of Environment and Natural Resources, Philippines, GEF Operational Focal Point and Undersecretary
- Antonio Pagalilauan, Philippine Atmospheric, Geophysical Services Administration Northern Luzon, Region 2, Weather Specialist
- Arístides Ponce, Secretariat of Agriculture and Livestock, Honduras, Project for Competitiveness and Sustainable Development in the South-Western Border Region, Project Monitoring and Evaluation Officer
- Asemanaye community, Offinso North District, Ghana, 10 cassava farmers
- Asueyi community, Techiman North District, Ghana, representatives from five cassava producer groups
- Ayanleh Daher Aden, African Development Bank, Environment and Climate Change Officer, GEF Coordination Unit, Environment and Climate Change Division
- Benito Taguibo, Philippine Crop Insurance Corporation, Region 2, Claims Adjustment Division, Chief
- Calinan District farmers, Davao City, Philippines, 20 rice farmers in irrigated areas
- Carl Osei, Ghana Health Service, Occupational and Environmental Health Unit, Deputy Program Manager
- Carlos Mejia, Secretariat of Agriculture and Livestock, Honduras, Project for Competitiveness and Sustainable Development in the South-Western Border Region, Project Director
- Christopher Warner, World Bank, Senior Natural Resources Management Specialist, Operations Officer, GEF–World Bank Coordination, Climate Change Fund Management Unit
- Claris Alaska, Agricultural Training Institute, Philippines, Region 2, Information Officer II
- Concepcion community members, Intibucá, Honduras, six farmers
- Conrado Bravante, Department of Environment and Natural Resources, Philippines, Project Management Division, Chief
- Danilo Benitez, Office of the Provincial Agriculturist, Philippines, Field and Extension Services
- Dinara Besekei Sutton, World Bank, Natural Resources Management Specialist, GEF–World Bank Coordination, Climate Change Fund Management Unit
- Dwenedabi community, Offinso North District, Ghana, 15 cassava farmers
- Dolores Seridan, Office of the Provincial Agriculturist, Philippines, Field and Extension Services
- Doreen Asumang-Yeboah, National Forestry Forum of Ghana, National Coordinator
- Eddie Abugan, Department of Environment and Natural Resources, Philippines, Project Preparation Division, Chief



- Edna Marallag, Philippine Crop Insurance Corporation, Region 2, Regional Manager
- Edith Clarke, Ghana Health Service, Occupational and Environmental Health Unit, Head
- Edwin Domingo, Department of Environment and Natural Resources, Philippines, Foreign-Assisted and Special Projects Service, Director
- Elma Eleria, Department of Environment and Natural Resources, Philippines, Foreign-Assisted and Special Projects Service, Project Preparation Division, Project Evaluation Officer
- Emelyne Wright-Hanson, Ministry of Environment, Science, Technology and Innovation, Ghana, Executive Assistant
- Emmanuel Hernandez, Secretariat of Agriculture and Livestock, Honduras, Directorate of Science and Agricultural Technology, Reproduction of Healthy Potato Seeds, Project Coordinator
- Eric Twum Ghana, Agriculture Sector Investment Programme, Climate Change Adaptation Manager
- Ermira Fida, UNEP, Coordinator, Climate Change Sub-Program
- Ernesto Guzman, Department of Agriculture, Philippines, Regional Field Office No. 2, Chief Regulator
- Esther Asaflu-Coffin, IFAD, Ghana, Country Director
- Floradema Eleazar, UNDP Philippines, Inclusive and Sustainable Development Unit, Program Manager
- Flordeliz Agra, Department of Environment and Natural Resources, Philippines, Foreign-Assisted and Special Projects Service, Project Preparation Division, Project Officer
- Francesca Battistelli, African Development Bank, Environment and Climate Change Officer Consultant, GEF Coordination Unit, Environment and Climate Change Division
- Fredolina Baldonado, Philippine Atmospheric, Geophysical Services Administration Northern Luzon, Region 2, Director, Officer in Charge
- Fredua Agyeman, Ministry of Environment, Science, Technology and Innovation, Ghana, GEF Operational Focal Point and Director of Environment
- George Soriano, Philippine Crop Insurance Corporation, Region 2, Weather Index-Based Crop Insurance, Technical Assistant
- Harlene Arellano, Davao City, Calinan District, Philippines, Extension Worker
- Imee Manal, UNDP Philippines, Environment and Energy, Program Analyst
- Israel Dela Cruz, UNDP Philippines, Weather-Index-Based Insurance National Project Coordinator
- Jessica Troni, UNEP, Senior Programme Officer, Adaptation Portfolio Manager
- Jonas Leones, Department of Environment and Natural Resources, Philippines, International Affairs and Foreign-Assisted Programs, Undersecretary
- Jose Irias, IFAD, Sub-Regional Office for Central America, Guatemala, Coordinator for Honduras
- Jose Napoles, San Agustin, Tagum City, Davao del Norte, Philippines, Agricultural Technician
- Josefina Venturanza, Department of Agriculture, Philippines, Development Management Officer II
- Joseph Yeboah, Ghana Agriculture Sector Investment Programme, Project Officer
- Juergen Hierold, UNIDO, Chief and GEF Coordinator, Environmental Partnerships Division, Department of Partnerships and Results Monitoring
- Kelly West, UNEP, Portfolio Manager and GEF Coordinator, Corporate Services Division
- Keta Municipal Health Directorate, Volta Region, Ghana, focus group of seven staff
- Knut Roland Sundstrom, GEF Secretariat, Policy, Partnerships, and Operations Unit, Senior Policy Officer
- Laurent Granier, World Bank, Senior Environmental Specialist, GEF-World Bank Coordination, Climate Change Fund Management Unit
- Lourdes Glenda Mappatao, Local Government Unit, Peñablanca, Philippines, Agricultural Technician
- Maelle Peltier, IFAD, Regional Climate and Environment Programme Officer, West and Central Africa, Environment and Climate Division

- Mahamat Assouyouti, African Development Bank, Senior Climate Change Officer, GEF Coordination Unit, Environment and Climate Change Division
- Mario Davin, Local Government Unit, Davao City, Calinan District, Philippines, Municipal Agriculturalist
- Marlon Duron, Secretariat of Agriculture and Livestock, Honduras, Agro-Environment Climate Change and Risk Management Unit, Coordinator
- Maurice Andres Rawlins, World Bank, Natural Resource Management Specialist, Environment and Natural Resources Global Practice, East Asia and Pacific
- Marissa Presentacion, National Irrigation Administration, Philippines, Environmental Specialist
- Members of municipal level participatory Agro-climatic working group of Intibucá (Mesa Agroclimática Participativa de Intibucá), Honduras, Secretariat of Agriculture and Livestock, Agro-Environment Climate Change and Risk Management Unit, 13 member representatives.
- Michelle Yu, World Bank Project Management Office, Philippine Climate Change Adaptation Project, Project Officer
- Mina Labugen, Department of Environment and Natural Resources, Philippines, Regional Field Office No. 2, Parks Operations Superintendent
- Norlyn Oring, San Agustin, Tagum City, Davao del Norte, Philippines, Barangay Captain
- Norman Cajucom, Philippine Crop Insurance Corporation, Senior Vice President
- Oliver Page, IFAD, Regional Climate and Environment Specialist, Latin America and the Caribbean, Environment and Climate Division
- Pablita Almador, Davao City, Calinan District, Philippines, Agricultural Extension Worker
- Paolo Balderia, World Bank Project Management Office, Philippine Climate Change Adaptation Project, Project Officer
- Paolo Dalla Stella, UNDP Ghana, Sustainable Development, Programme Specialist
- Paxina Chileshe, IFAD, Climate Change Adaptation Specialist, Environment and Climate Division
- Pedro Cabang, Davao City, Philippines, Municipal Agriculturalist
- Pradeep Kurukulasuriya, UNDP Global Environmental Finance Unit, Bangkok, Thailand, Head of Unit, Sustainable Development Cluster, Bureau for Policy and Program Support
- Rachel Raval, Agricultural Training Institute, Philippines, Project Development Officer I
- Raul Espinoza, IFAD, Consultant for Project for Competitiveness and Sustainable Development in the South-Western Border Region in Honduras
- Ritchie Barabat, San Agustin, Tagum City, Davao del Norte, Philippines, Agricultural Technician
- Rodelia Pagaddu, Philippine Crop Insurance Corporation, Department Manager
- Rosalina de Guzman, Philippine Atmospheric, Geophysical Services Administration, Climate Data Section, Chief
- Roy Ayariga, Ghana Agric Sector Investment Programme, National Programme Coordinator
- Samuel Adu-Boahen, Ghana Agric Sector Investment Programme, Technical Officer
- Samuel Samaniego, Member of Local Government Unit, Philippines, Davao City and Barangay Councilor
- Shaanti Kapila, World Bank, Senior Operations Officer, GEF-World Bank Coordination, Climate Change Fund Management Unit
- Saliha Dobardzic, GEF Secretariat, Senior Climate Change Specialist, Program Units
- San Juan community members, Intibucá, Honduras, five farmers
- Stephen Asante, Savanna Agricultural Research Institute, Ghana, Staff
- Sunae Kim, IFAD, Regional Climate and Environment Programme Officer, Asia and the Pacific, Environment and Climate Division
- Sylvia Bardinas, Davao City, Tugbok District, Philippines, Extension Worker
- Tagum District farmers, Davao del Norte, Philippines, 35 farmers in rain-fed rice areas
- Teresita Derro, Davao City, Tugbok District, Philippines, Agricultural Extension Worker
- Theophilus Otchere Larbi, IFAD, Ghana, Country Program Officer

Tito Mangatulao, Department of Environment and Natural Resources, Philippines, Regional Field Office No. 2, Peñablanca Protected Landscape and Seascape, Protected Areas Supervisor

Tugbok District farmers, Davao City, Philippines, eight farmers in rain-fed rice areas

Val Roque, Department of Foreign Affairs, Philippines, Office of the United Nations and International Organizations Director, Division 2: Environmental Security, Director

Vicente Dayanghirang, Agricultural Training Institute, Philippines, Policy and Planning Division, Assistant Chief

Virginia Bassig, Local Government Unit, Tuguegarao, Philippines, Agricultural Technician

Wilbur Dee, World Bank Project Management Office, Philippine Climate Change Adaptation Project, Former Project Manager

Yamaranguila community members, Intibucá, Honduras, eight farmers

Yoycelin Rudas, Ministry of Energy, Natural Resources, Environment and Mines (MiAmbiente), Honduras, Officer

# Annex G: Evaluation matrix

Key question	Indicators/basic data	Sources of information	Methodology
<b>1. Relevance: How relevant is SCCF support in the light of UNFCCC COP guidance and decisions, and the GEF adaptation programming strategy?</b>			
1a. How relevant is LDCF support in relation to the guidance and decisions of the UNFCCC, informing the Fund's mandate?	<p>Level of coherence between COP guidance the GEF adaptation programming strategy and LDCF support</p> <p>Project alignment with UNFCCC guidance and decisions</p> <p>Project alignment with GEF adaptation strategic pillars</p>	<p>Project documentation, COP guidance, GEF adaptation strategy, GEF SEC and Agency staff, government partners, in-country stakeholders</p>	<p>Meta-evaluation review, portfolio analysis, interviews, field visits</p>
<b>2. Effectiveness and efficiency: How effective and efficient is the SCCF in reaching its objectives, based on emerging results?</b>			
2a. How effective is the SCCF in reaching the GEF's three strategic adaptation objectives?	<p>Degree to which the SCCF-supported projects have helped reduce vulnerability, built adaptive capacity, integrate adaption into policies and processes.</p> <p>Project alignment with GEF adaptation strategic objectives</p> <p>Degree of projects reaching anticipated adaptation benefits</p>	<p>Project documentation, Council documents, GEF SEC and Agency staff, government partners, in-country stakeholders</p>	<p>Meta-evaluation review, portfolio analysis – including quality-at-entry reviews, interviews, field visits</p>
2b. What are the main factors that have been affecting the Fund's efficiency?	<p>Effective communication between GEF SEC, Agencies, and national stakeholders</p> <p>GEF funding versus cofunding</p> <p>Delays (planned versus actual time for each stage of project development) of projects</p>	<p>Project documentation, Council documents, GEF SEC and Agency staff, government partners, in-country stakeholders</p>	<p>Meta-evaluation review, portfolio analysis, interviews, field visits</p>

Key question	Indicators/basic data	Sources of information	Methodology
2c. How has resource predictability, or the lack thereof, affected the Fund's programming?	Availability of resources for project concepts, LDCF/SCCF Council doc info on pending projects, changes in how the project pipeline functions	Council documents, GEF SEC and Agency staff, government partners, in-country stakeholders	Council document review, interviews, field visits
2d. How efficient is the Fund's project cycle?	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 SEC and Agency staff, government partners, in-country stakeholders	Portfolio analysis, interviews
<b>3. Results and sustainability: What are the emerging results and factors that affect the sustainability and resilience of these results?</b>			
3a. To what extent has SCCF support had a catalytic effect?	Catalytic effect indicators from the portfolio analysis for SCCF-supported projects  GEB indicators from the portfolio analysis for SCCF-supported projects	Project documentation, Council documents, GEF SEC 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?	Other focal area indicator from the portfolio analysis for both the national adaptation program (NAPA) of action report and the implementation projects.	Project documentation, Council documents, GEF SEC and Agency staff, government partners, in-country stakeholders	Portfolio analysis, meta-evaluation review, interviews, field visits
3c. What are the GEEW (Gender equality and the empowerment of women) objectives achieved (or likely to be achieved) and gender mainstreaming principles adhered to by the LDCF?	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 SEC 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?	Catalytic effects indicators from the portfolio analysis for the completed projects  Sustainability ratings of the TERs for completed projects	Project documentation, Council documents, GEF SEC and Agency staff, government partners, in-country stakeholders	Portfolio analysis, meta-evaluation review, interviews, field visits

# Annex H: Portfolio analysis protocol

The portfolio analysis protocol was developed in SurveyMonkey and includes advanced branching and skip-logic elements. It consists of 74 questions over 19 pages, but not all questions apply to all projects being reviewed (figure H.1).

## H.1 General information

### **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. Program’s/project’s GEF ID (numerical four-digit field)
- Q4. Name of the program/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 as registered in the PMIS (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)

### **Page 3: Type, duration of project, and country targeted**

- Q12. Program/project type description (single-choice pull-down menu; MSP/PSF standalone/child regional/global)
- Q13. Program/project duration in months (numerical four-digit field)
- Q14. Program/project target country (single-choice pull-down menu)

### **Page 4: Target region and countries for regional or global projects**

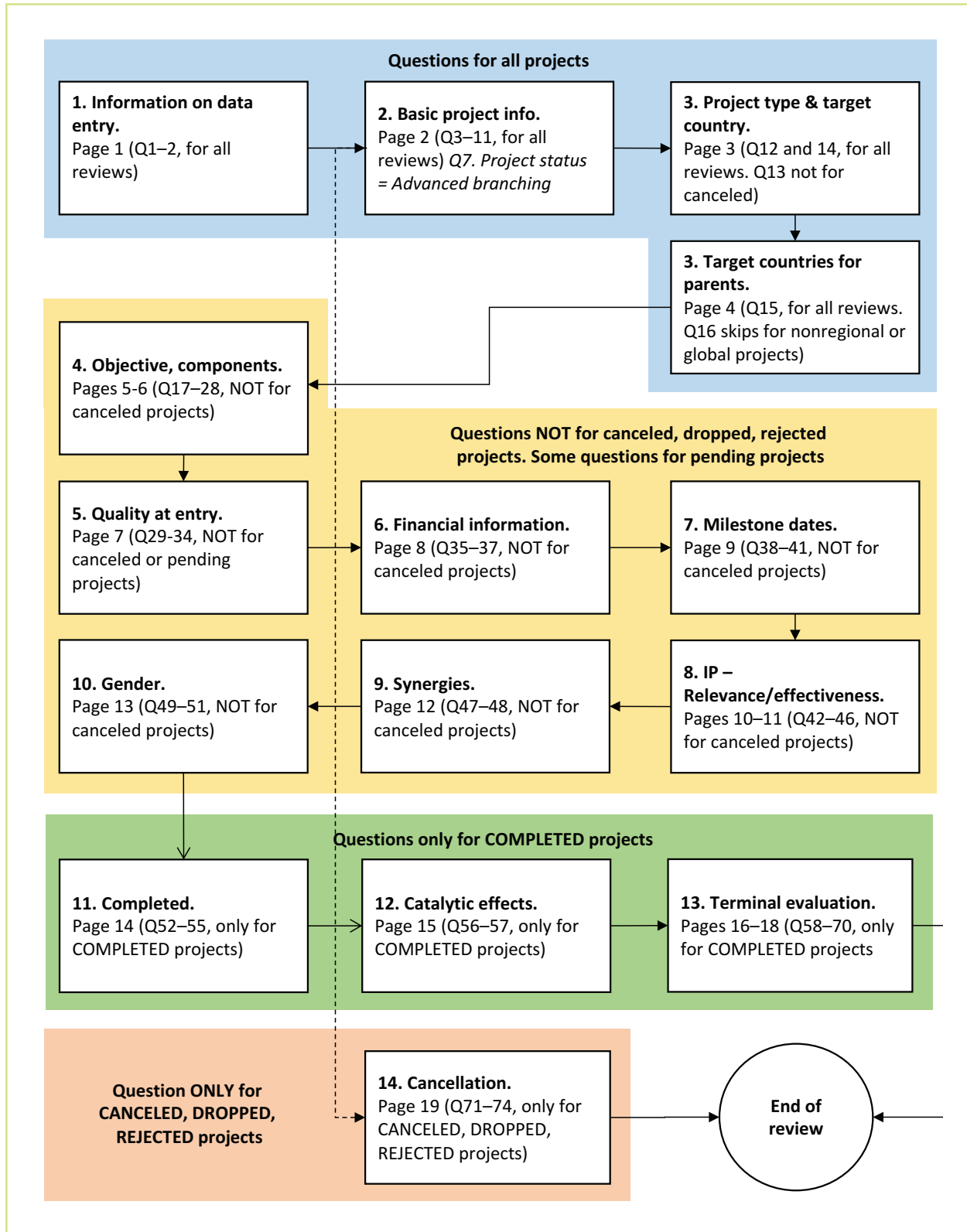
- Q15. Region that applies to the program/project (single-choice pull-down menu)
- Q16. Countries targeted by regional or global program/project (multiple choice)

## H.2 Quality-at-entry and more in-depth program/project information

### **Pages 5-6: Objectives, components, and expected outcomes**

- Q17. The program’s/project’s overarching objective (open text field)
- Q18. The main program/project components (10 open text fields)
- Q19–Q28. Expected outcomes under program/project components 1 to x (open text fields for x components, x being the number of components filled out in Q18)

FIGURE H.1 Review protocol flowchart



**Page 7: Quality at entry**

Ratings for Q29, Q30, and Q31 are on a seven-point scale ranging from “to an extremely large extent” to “to an extremely small extent,” including the “unable to assess” option. A text field is added to provide rating explanation.

- Q29.* The adaptation benefits are clearly described (they clearly convey the country’s adaptation aspirations in light of the program/project reviewed)
- Q30.* The adaptation benefits described are realistic in the country’s context (they make sense in light of direct and indirect pressures/drivers of change)
- Q31.* The adaptation benefits are explained in terms of measurable results (a results framework, SMART indicators, and target setting are part of the explanation)
- Q32.* The project takes into account potential major risks (four options with a text field for explaining rating: [1] yes, sufficiently; [2] yes, but not sufficiently; [3] yes, but with serious omissions; [4] no)
- Q33.* The program/project provides risk mitigation measures or strategies for risks identified (three options with a text field for explaining rating: [1] yes, for all or most; [2] yes, for some; [3] no)
- Q34.* Probability that the program/project will deliver tangible adaptation benefits in line with set objectives (four-point probability rating from “very high” to “very low,” with an “unable to assess” option and a text field for explaining rating). The rating is based on the answers on Q29–Q33)

**Page 8: Financial information**

- Q35.* Total funding in US\$ (numerical fields, split into eight groups: [1] project preparation grant; [2] SCCF grant; [3] Agency fee; [4] GEF Trust Fund funding; [5] LDCF funding; [6] cofinance; [7] total excluding cofinance; [8] total including cofinance); groups 4 and 5 only show for multitrust fund interventions.

- Q36.* Cofunding sources (multiple-choice checklist, with “other” option)

- Q37.* Write down cofunding by source in US\$ (open numeric fields)

**Page 9: Milestone dates**

- Q38.* Milestone dates (date field, split into the following four groups: [1] date of the first entry into the 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.
- Q39.* Any indication of delays? (yes/no)
- Q40.* In case of delays, what is the biggest delay, between expected and actual, that can be identified? (numeric field, days)
- Q41.* Explain the delay and the milestone it relates to (open text field)

**Pages 10–11: Relevance and effectiveness**

Ratings for Q42, Q43, and Q46 are on a seven-point scale ranging from “to an extremely large extent” to “to an extremely small extent,” including the “unable to assess” option. A text field is added to provide rating explanation.

- Q42.* Alignment of program/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)
- Q43.* Alignment of program/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)

- Q44. SCCF activity windows and specific activities that apply (single-choice pull-down menu)
- Q45. SCCF activity window that applies according to progress reports to Council (single-choice pull-down menu)
- Q46. Alignment of program/project with UNFCCC guidance and decisions (rating on the seven-point scale was done in eight categories: [1] SCCF-A: adaptation activities in one or more of the seven areas; [2] SCCF-A: improve disease control and prevention of diseases and vectors affected by climate change; [3] SCCF-A: build DRM capacity in areas prone to extreme weather events; [4] SCCF-A: support of the NAP process in non-LDCs; [5] SCCF-B: implementation of the results of technology needs assessments; [6] SCCF-B: technology information to support technology transfer; [7] SCCF-B: capacity building for technology transfer; [8] SCCF-B: support of enabling environment for technology transfer)

### Page 12: Synergies

- Q47. Select focal areas—other than the main focal area—to which the program/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)
- Q48. (Potential) contribution of program/project to GEF GEBs (rating on the seven-point scale was done in six categories, with a text field for explaining rating: [1] maintain globally significant biodiversity and the ecosystem goods and services that it provides to society; [2] sustainable land management in production systems—that is, 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 transformational shifts toward a low-emission and resilient development path; [5] increase in the 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)

### Page 13: Gender

- Q49. Does the program/project include a gender mainstreaming strategy or plan? (reviewer rates on a three-point scale: [1] yes; [2] no, but its/their development is implied; [3] no)
- Q50. Does the program/project incorporate a gender-responsive results framework, including gender-disaggregated indicators? (reviewer rates on a three-point scale: [1] yes; [2] no, but its/their development is implied; [3] no)
- Q51. Overall assessment of program's/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" and a text field for explaining rating)

## H.3 Completed programs and projects

### Page 14: Basic questions

- Q52. Is there a terminal evaluation document for the program/project? (yes/no, with an open text field to indicate anticipated terminal evaluation date, if not available)
- Q53. Are the annual performance review ratings available in the IEO's TER ratings database? (yes/no)
- Q54. Is there a TER or implementation completion report review document for the completed program/project? (yes/no)
- Q55. Provide the year for the following deadlines: (1) year of program/project completion; (2)

year of terminal evaluation completion; [3] year of inclusion in the annual performance review)

**Page 15: Catalytic effects**

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

- Q56.* Identify the Implementation program’s/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 program’s/project’s alignment with the following catalytic effects, identified in terminal evaluations as being 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 cobenefits; [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 subnational systems)

**Page 16: Annual performance review ratings**

*Q58.* What is the program’s/project’s outcome rating according to the TER ratings? (rating

on a six-point scale from “highly satisfactory” to “highly unsatisfactory,” with two separate categories for “not rated” and “unable to assess” and a text field for rating explanation)

- Q59.* What is the program’s/project’s sustainability-of-outcomes rating according to the TER ratings? (rating on a four-point scale from “likely” to “unlikely,” with two separate categories for “not rated” and “unable to assess” and a text field for rating explanation)
- Q60.* What is the program’s/project’s M&E design at entry rating according to the TER ratings? (rating on a six-point scale from “highly satisfactory” to “highly unsatisfactory,” with two separate categories for “not rated” and “unable to assess” and a text field for rating explanation)
- Q61.* What is the program’s/project’s M&E plan-implementation rating according to the TER ratings? (rating on a six-point scale from “highly satisfactory” to “highly unsatisfactory,” with two separate categories for “not rated” and “unable to assess” and a text field for rating explanation)
- Q62.* What is the program’s/project’s quality-of-implementation rating according to the TER ratings? (rating on a six-point scale from “highly satisfactory” to “highly unsatisfactory,” with two separate categories for “not rated” and “unable to assess” and a text field for rating explanation)
- Q63.* What is the program’s/project’s quality-of-execution rating according to the TER ratings? (rating on a six-point scale from “highly satisfactory” to “highly unsatisfactory,” with two separate categories for “not rated” and “unable to assess” and a text field for rating explanation)
- Q64.* What is the program’s/project’s quality of TE report rating according to the TER ratings? (rating on a six-point scale from “highly satisfactory” to “highly unsatisfactory,” with two separate categories for “not rated” and “unable to assess” and a text field for rating explanation)

**Pages 17–18: Innovation and lessons learned**

- Q65. Provide a synopsis of innovations that have been identified in the program's/project's project implementation reports, midterm review, terminal evaluation and/or TER/implementation completion report review documents (open text field)
- Q66. What were the lessons learned on communications and stakeholder Involvement? (open text field)
- Q67. What were the lessons learned on project management? (open text field)
- Q68. What were the lessons learned on M&E? (open text field)
- Q69. What were the content-technical lessons learned in relation to climate change adaptation? (open text field)
- Q70. Add any other lessons learned that would not be covered in the answers to the above four questions (open text field)

**H.4 Canceled, dropped, or rejected projects****Page 19: Information on canceled, dropped, or rejected projects**

- Q71. Status according to the PMIS (single-choice pull-down menu)
- Q72. Has money been disbursed before cancellation, dropping, or rejecting? (yes; yes, but disbursed money was returned; probably; no; unable to assess; with a text field for explaining rating)
- Q73. Indication as to when and why this project was canceled, dropped, or rejected? (open text field)
- Q74. Amount of money disbursed and not returned, in US\$ (numeric field).

**H.5 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 or odd number of options, in the latter case there being 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. For an odd number of options, the choice was between a five-point or seven-point scale. Given that the same rating scale would be used by the reviewers for a multitude of questions, it was pertinent that the scale was applicable to all questions. In some cases, there was a demand for more options in order to be able to accommodate nuanced answers, while for other questions, this was not entirely necessary. A seven-point scale was chosen 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 project x contributes to a specific GEB" or "extent to which project x is aligned with the second adaptation pillar"), a 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 looks 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

### **Gender rating**

The gender mainstreaming description as part of the GEAP glossary states that “mainstreaming involves ensuring that gender perspectives and attention to the goal of gender equality are central to all activities,” and that “it [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 2014).

The ultimate goal of mainstreaming is to achieve gender equality, and the goal of 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 rating and not aim for gender perspectives and gender equality being central to all activities, but to most, if not all, activities.

OPS5’s Sub-study on the GEF’s Policy on Gender Mainstreaming makes use of 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 (GEF IEO 2013d).

In line with the gender rationale of the UNDP Gender Marker, 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. In practice, it is rare for projects not to have any gender relevance, given they then would be assumed to have no relevance to humans. The OPS5 substudy also stated that “international gender specialists are increasingly providing evidence that the categories that do not take gender into account (such as energy technologies, street lighting and energy efficiency) are in fact gender relevant” (GEF IEO 2013d, 35) The evaluation team of this substudy agrees that projects that touch upon the lives of people—and GEF-supported interventions do, either directly or indirectly through, for example, employment opportunities created—always have gender relevance.

The rating category gender blind was added for those projects that do not demonstrate any gender awareness but should. Gender aware and gender sensitive are chosen as categorizations because their connotation is seen as more positive than the categories used in the earlier mentioned substudy. 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.

The gender rating applied makes use of the following five scales:

- **Gender blind.** Project does not demonstrate awareness of the set of roles, rights, responsibilities, and power relations associated with being male or female.

*Gender is not mentioned in the project documents beyond an isolated mention in the context description, gender is not tracked by the tracking tools and M&E instruments, no gender analysis took place, no gender action plan or gender strategy was developed for the project.*

- **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 equality.

*Gender is mentioned in the project document, but it is unclear how gender equality is being promoted. There might be one or two gender-disaggregated indicators, but it is unclear whether and how that data inform project management. Gender might be mentioned in a social assessment, but it is unclear what is done with that information. No gender action plan or gender strategy was developed for the project.*

- **Gender sensitive.** Project adopts gender-sensitive methodologies to address gender differences and promote gender equality.

*A gender analysis or social analysis with gender aspects is undertaken, gender-disaggregated data are collected, gender-sensitive indicators are integrated in monitoring and evaluation, and the data collected inform project management. But the gender focus is apparent in only a limited number of project activities.*

- **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.

*Like gender sensitive, but there are gender-relevant components in most, if not all, activities.*

- **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 beyond the project’s scope.

*Like gender mainstreamed, but the way gender is addressed might result in behavioral changes toward gender norms and dynamics in and beyond the systems targeted by the project.*

#### **Terminal evaluation report review guidelines**

The assessments in the TERs 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 monitoring and evaluation system or an aspect of sustainability—then the preparer of the TERs briefly indicates so in that section and elaborates, if appropriate, in the section of the review that addresses quality of report. If the review’s preparer possesses other first-hand information—such as, for example, from a field visit to the project—and this information is relevant to the TERs, then it should be included in the reviews only under the heading “Additional independent information available to the reviewer.” The preparer of the TER has taken into

account all the independent relevant information when verifying ratings.

### **Criteria for outcome ratings**

Based on the information provided in the terminal evaluation report, the TER makes an assessment of the extent to which the project's major relevant objectives were achieved or are expected to be achieved, 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?
- **Effectiveness.** Are project outcomes commensurate with the expected outcomes (as described in the project document) and the problems the project was intended to address (that is, 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 is provided on this criterion, the overall outcome achievement rating may not be higher than unsatisfactory. Effectiveness and efficiency is 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 relevance criterion will be applied first—the overall outcome achievement rating may not be higher than unsatisfactory. The second constraint that is applied is that the overall outcome achievement rating may not be higher than the effectiveness rating. The third constraint that is applied is that the overall rating may not be higher than the average score of 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 being rounded up upward.

### **Impacts**

Has the project achieved impacts, or is it likely that outcomes will lead to the expected impacts? Impacts will be 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 TER's preparer takes note of any mention of impacts, especially GEBs, 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 TERs 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 (GEF 2000). 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 the 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 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 a 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.** Unable to assess risk 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 carry out the M&E plan fully 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. TERs will include an assessment of the achievement and shortcomings of M&E systems.

- **M&E design.** 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, and so on), 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. A question to guide this assessment is: 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, accurate, and contained 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. Questions 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 for M&E provided in the budget included in the project document?
  - Was sufficient and timely funding for M&E provided during project implementation?
  - Can the project M&E system be considered a good practice?

A number rating 1–6 is to be provided 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 the effectiveness and efficiency is rated on a six-point satisfaction scale.

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

Rating on the Quality of the Project Monitoring  
and Evaluation System = b

# Annex I: Conclusions and recommendations of the 2011 SCCF evaluation

## I.1 Conclusions

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

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

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

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

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

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

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

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

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

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

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

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

## I.2 Recommendations

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

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

- The creation of the SCCF by the UNFCCC COP was a response to the developing countries' needs with regards to abating climate change

impacts. However, as the evidence in this evaluation shows the SCCF has not fulfilled its role due to the limited availability of funds.

- Nevertheless the SCCF has built up a portfolio of innovative projects, yielding valuable experiences on adaptation issues, building on agencies' and countries' learning curves, and providing a critical mass of expertise on climate change funding.
- The SCCF is cost-effective; it has the lowest management costs of the current funds operating on adaptation issues.
- Except for the Adaptation Fund, no other major sources of funding of adaptation have emerged in recent years and the GEF itself in its programming document for GEF-5 specifies that “the GEF Trust fund will provide resources for climate change mitigation, while climate change adaptation will be funded through the Least Developed Countries (LDCF) and the Special Climate Change Fund (SCCF)” confirming the SCCF's future role as crucial channel for adaptation financing through the GEF.

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

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

- transparency of the project preselection process—the current lack of transparency is linked to the mismatch between the mandate, available funding and good project proposals;
- dissemination of good practices through existing channels of eminent concern where the achievements are relevant beyond the SCCF itself.

Visibility of the fund by requiring projects to identify their funding source: a clear identification of the SCCF in outreach documents, press releases, websites and so on.

# Annex J: Comments to and responses on approach paper and final report

Commenter	Date comment	Document version	Comment	Reply and responding actions taken
Peer Reviewer	15 Sept '16	Approach Paper 15 Sept '16	On the gender question under results and sustainability: "No word has been spent on how SCCF has dealt with gender in the previous sections. While important per se, I feel the approach paper would gain from some mention in the background sections on how gender is (or is not) dealt with in the SCCF."	The section on breadth and depth of coverage has been moved before the main evaluative questions.
Peer Reviewer	15 Sept '16	Approach Paper 15 Sept '16	No need to reiterate the core evaluation criteria under assessing performance.	Deleted.
Peer Reviewer	15 Sept '16	Approach Paper 15 Sept '16	On the resilience section: "I would not give definitions in an approach paper. If it is really considered necessary, I would put this definition in a footnote"	Definition was moved to the footnote.
Peer Reviewer	15 Sept '16	Approach Paper 15 Sept '16	Public involvement section: Comment on definitions in the main text.	Definition was moved to the footnote.
Peer Reviewer	15 Sept '16	Approach Paper 15 Sept '16	Evaluation design: Comment on definitions in the main text.	Definition was moved to the footnote.
Peer Reviewer	15 Sept '16	Approach Paper 15 Sept '16	Evaluation design, "real-time learning evaluation": "I would caution on whether to use this term: the SCCF has been around since a very long time. Real-time. Real-time evaluations apply to relatively young and ongoing interventions."  "All evaluation serve learning (as well as accountability) purposes. I don't see why this evaluation should only serve learning purposes, considering the fact that the SCCF has been around for long. However, if the focus needs to be on learning, maybe 'formative evaluation' would be a better term to define this evaluation."	The real-time element has been taken out of the description. The text has been adjusted to convey the importance of learning lessons, without being too prescriptive or able to be viewed as favoring learning over accountability.
Peer Reviewer	15 Sept '16	Approach Paper 15 Sept '16	Evaluation design—field visits: "Field visits to two SCCF countries? If that is the case, I guess these will be selected from countries with a sizeable concentration of SCCF investments, so maybe this can already be stated as selection criteria here."	Correct. The paragraph has been adjusted accordingly, giving concise information on country selection criteria.

Commenter	Date comment	Document version	Comment	Reply and responding actions taken
Peer Reviewer	15 Sept '16	Approach Paper 15 Sept '16	Evaluation design—Triangulation with the aim to test preliminary findings: "This language is misleading. What we test is whether there are gaps in the data, or errors of interpretation."	Correct. The text has been adjusted accordingly.
Peer Reviewer	15 Sept '16	Approach Paper 15 Sept '16	Limitations: "This section should also deal with how the team plans to address the expected limitations mentioned."	The section has been adjusted accordingly.
Peer Reviewer	15 Sept '16	Approach Paper 15 Sept '16	Limitations due to relative young age: "More than 15 years of operation, young? Perhaps maturity. This should be spelled out more clearly and somewhere in the early sections of the paper."	Agreed. The focus is on maturity, and the text has been adjusted to reflect this.
Peer Reviewer	15 Sept '16	Approach Paper 15 Sept '16	Limitations—second paragraph: "I think the problem will be limited time constraining the amount of information that can be collected, I do not see the link to validity, and especially independence of the information that will be possible to gather."	The paragraph has been rephrased.
Peer Reviewer	15 Sept '16	Approach Paper 15 Sept '16	Limitations—on the SCCF-A and SCCF-B windows focus: "This paragraph is not about limitations. It should definitely go under the scoping section. It should also explain why the adaptation activities mentioned will not be covered."	Agreed. Section has moved, and the reason was given why this focus has been further discussed.
Peer Reviewer	15 Sept '16	Approach Paper 15 Sept '16	On quality assurance: "Quality assurance is not due diligence with the audience of the evaluation. I would suggest to include an external Peer Reviewer to quality assure externally the evaluation."	There is a difference between key stakeholders and audience. The midlevel consultant will have an open peer-reviewing function. This text has been adjusted to reflect this.
Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	Par. 3: "The emergence of the GCF is changing the landscape of international climate finance and with it the role of the SCCF." → Changing it in what way? Would be useful to provide some brief context here.	A new paragraph has been added on the GCF.
Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	Table 1: Attached document for a potential alternative/complementary means of presenting the info in tables 1 and 2.	Noted. The alternative representation style does not take into account the time a project has been in the pipeline. Based on the comment, a new figure is added to the annex.
Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	Par. 12: "Activity windows SCCF-C and SCCF-D have not received any contributions to date." → Pledges or contributions.	Adjusted accordingly
Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	Par. 14: Over what time period was this turnaround calculated? Could the sentence start "The evaluation found that, during the period xxxx – 2009, the average time elapsed...."?  Also, add "[approx. 13-14 months]" to allow for easier comparison with the subsequent 22-month figure.	The UNDP evaluation does not provide sufficient information to provide a time period.  Adjusted accordingly.
Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	Par. 14: → First use of PIF acronym, spell out in full.	Adjusted accordingly.

Commenter	Date comment	Document version	Comment	Reply and responding actions taken
Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	Par. 14: "The evaluation's recommendations were not very targeted" → well targeted?	Adjusted accordingly.
Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	Par. 14: "due to a lack of SCCF funding, the project pipeline was on hold for several years." → how many years?	This is a statement taken over from the evaluation. It does not further review how many years. The text will be adjusted accordingly to show it is a conclusion from that specific evaluation.
Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	Par. 15: "...provide lessons and experiences from implementation of the first climate change adaptation strategy supported by the GEF." → Link it to the SCCF.	The SPA only used GEF Trust Fund money.
Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	Par. 16: "The IEO conducted an evaluation of the SCCF in 2011" → Suggest placing in brackets "[the predecessor to this current evaluation]"	Adjusted accordingly.
Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	Par. 16: "Since then more projects have been completed and the portfolio as a whole has grown as well." → Don't think this is needed here.	Changed the sentence.
Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	Par. 17: "Technical Paper 8 provides an overview of COP guidance to the GEF." → Is this sentence necessary?	Yes. It is COP guidance that also informs this evaluation, which is discussed earlier.
Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	Par. 18: "18. The Fifth Overall Performance Study (OPS5),..." → "...evidence gathered through the GEF on adaptation...?"	Changed the sentence.
Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	Par. 19: "It concludes that the proportion of multi-focal area (MFA) projects in the LDCF and SCCF is relatively low..." → Compared to what? Later, it is stated that 30.1% of funds go to MTF projects... what is the typical figure for other (non-SCCF) programmes?  "The review also finds that the proportion of projects that combine different Focal Area objectives..." → My interpretation of this paragraph is that the proportion of MFA projects is apparently low (30.1% of funds), but—in reality—85% of SCCF projects could/ should be regarded as MFAs.	The paragraph has been adjusted accordingly.
Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	Par. 19: → Additionally, the implication of the paragraph is that the SCCF should be increasing the proportion of MFAs and/or MTF projects. If that is the case, should the text include a short explanation as to why an increased proportion of MFA/MTF projects is desired?	This part of the working paper provides information on previous evaluations, without going beyond the conclusions of those evaluations. The evaluative evidence of this evaluation might provide more insight into what is desirable toward the future.
Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	Stakeholders and audience → Donors aren't mentioned here: that's not necessarily a problem, but the lack of a reference is noticeable.	The LDCF/SCCF Council members are mentioned as primary stakeholders as well as target audience. Donors are part of the LDCF/SCCF Council members who requested this SCCF program evaluation update.

Commenter	Date comment	Document version	Comment	Reply and responding actions taken
Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	Stakeholders and audience → I suggest relocating the "Breadth and Depth of Coverage" subsection to here.	Some elements of the coverage section might be placed below stakeholders and audience, while other sections are better positioned in the next section.  The working paper follows the template for working papers. A reference will be added to the next section.
Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	Par. 22: Second sentence → This is a difficult sentence to understand (there's maybe too much detail). How about:  "SCCF-B's adaptation activities can be directly linked to GEF's strategic objectives and results framework. However, SCCF-B's technology transfer component for mitigation falls outside the scope of GEF's strategic objectives and results framework."	The paragraph has been adjusted.
Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	Box 1—three strategic objectives → Suggest in brackets "(as included within the TOC)" or similar.	Adjusted accordingly.
Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	Box 1—two strategic pillars → It is noticeable that these aren't explicitly represented in the TOC. I think the first objective is reasonably well covered by other TOC elements, but the second objective (expanding synergies) isn't really represented anywhere.	The SCCF portfolio consists of SCCF as well as MTF projects, the latter often being MFA projects. Even single focal area SCCF projects can show synergies toward other GEF focal areas, and this will be part of the portfolio analysis.
Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	Par. 28: → I would suggest wording that does not exclude C and D entirely. Certainly only windows A and B can be evaluated for results, and C and D are necessarily excluded from results measurement, given the lack of funding and activity.  However, I would also suggest not removing C and D entirely from the scope: we may want to explore why C and D haven't received any support (I'd actually suggest that this is a really important EQ to answer).	This section has been adjusted accordingly.
Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	Par. 32: Relevance → Could the analysis of relevance concentrate on the changing funding environment (particularly GCF) and the extent to which SCCF is likely to remain relevant in the near future? This could extend to an analysis of potential areas of duplication between the various funds.	Part of the analysis will now also focus on the changing climate finance landscape with the question, "What is the niche of the SCCF in the global adaptation finance landscape of multilateral financial mechanisms?"
Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	Par. 32: Relevance → why "environmental and sustainability agendas," and not explicitly "climate change agendas"?	Part of the analysis will now also focus on the changing climate finance landscape with the question, "What is the niche of the SCCF in the global adaptation finance landscape of multilateral financial mechanisms?"
Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	Par. 32: Effectiveness → Suggest just removing this part of the EQ (i.e., EQ would start "How likely is it that...")	Adjusted accordingly.

Commenter	Date comment	Document version	Comment	Reply and responding actions taken
Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	<p>Par. 32: Efficiency → I think the term “efficiency” needs a more detailed description, potentially achievable through more detailed subquestions, e.g.:</p> <p>“How cost efficient has the programme been?”</p> <p>“How administratively efficient has the programme been?” (or similar broad phrasing, in order to capture elements such as approval timings, project cycle timings, etc.</p>	<p>Refer to the terminal evaluation guideline on the defining of evaluation criteria.</p> <p>Further subquestions will be developed as part of the evaluation matrix.</p> <p>The analysis of GEF’s efficiency as a host of financial mechanisms is being executed as a study that is part of OPS6, the upcoming overall performance study.</p>
Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	<p>Par. 32: Efficiency → Should this just be “projects”? Or should this be broadened to “programme” (which by definition would include “projects” but would also ensure we can measure broader programme efficiency)?</p>	<p>There are only three SCCF child projects that are part of broader programmatic approaches. Given the small amount of relevant parents and children, a comparison with stand-alone projects—the majority of projects—will not be possible.</p>
Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	<p>Par. 32: Efficiency → How about extending the part of predictability slightly:</p> <p>“How have resource flows and predictability affected the Fund’s programming?”</p>	Adjusted accordingly.
Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	<p>Par. 32: Efficiency → On predictability:</p> <p>Although the focus of this EQ will be on windows A and B, it could also be the point where we can explore the lack of C and D funding...</p>	Noted.
Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	<p>Par. 32: Efficiency → Given the 2011 evaluation recommendation, does there need to be an EQ looking specifically at the preselection criteria? E.g.,</p> <p>“How effective have preselection criteria been as a means for managing the Fund’s efficiency and effectiveness?”</p>	Adjusted accordingly. “How have preselection criteria influenced, either positively or negatively, the Fund’s efficiency and effectiveness?”
Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	<p>Par. 32: Sustainability → How about an explicit question following up the 2011 evaluation?</p> <p>“To what extent have recommendations from the 2011 evaluation been addressed?”</p>	<p>The recommendations have been followed up in the management action records of the LDCF/SCCF annual evaluation reviews.</p> <p>The recommendation to appeal to donors to adequately fund the SCCF in a predictable manner, preferably through a replenishment process, was graduated without adoption.</p>
Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	<p>Par. 33: → Will the evaluation be measuring progress against AMAT indicators (at programme and/or project level)? If so, a brief reference here could be useful.</p>	No, it will not.
Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	<p>Par. 34: “most outcomes are forthcoming...” → Or “...very long-term in nature”?</p>	Not all adaptation outcomes are necessarily long term in nature.



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Peer Reviewer	11 Oct '16	Approach Paper 15 Sept '16	Par. 36: → It would be good to establish the exact purpose of these two activities (wider literature review, meta-evaluation review), and the anticipated outputs from these two activities. Looking back at the 2011 evaluation, my view is that both of these elements were perhaps too lengthy and could have been more directly focused on identifying findings/ value of clear, direct importance to the main evaluation.	Noted.
World Bank Evaluation Group	18 Oct '16	Approach Paper 15 Sept '16	There is the sense that the draft approach paper over-emphasizes smaller questions and misses some important big picture questions such as governance, global relevance, hosting, and sustainability of funding.	Noted. Individual comments will be reviewed below. It should be noted that the SCCF program evaluation is requested by Council as follow-up to—or update of—the 2011 SCCF program evaluation, with the aim to provide evaluative evidence on the progress toward SCCF objectives, major achievements, and lessons learned since the Fund's establishment.  This, in a sense, creates or indicates the evaluation's boundaries as to what is requested by the main stakeholders.
World Bank Independent Evaluation Group	18 Oct '16	Approach Paper 15 Sept '16	Governance has often been a key driver of partnerships' efficacy, in IEG's experience. Governance pertains to the legitimacy and effectiveness of the governing body and is distinct from the effectiveness of day-to-day management. Governance is absent from the draft approach paper.	Noted. Governance, in the sense of the GEF being the right host for funds, is part of OPS6—the overall performance study of the GEF, which includes the LDCF and SCCF as adaptation funds governed by the GEF.
World Bank Independent Evaluation Group	18 Oct '16	Approach Paper 15 Sept '16	The global relevance of the SCCF needs to be assessed; the evaluation questions on relevance currently in the draft approach paper are not broad enough. Does the SCCF offer any particular special value not present in other funds? Given the existence of GCF and to some extent the PPCR, and the limited success in fund raising for SCCF, is it still relevant?	While it is not within the requirements from Council, it is seen as important and an evaluative question has been added.  Part of the analysis will focus on the changing climate finance landscape with the question, "What is the niche of the SCCF in the global adaptation finance landscape of multilateral financial mechanisms?"

Commenter	Date comment	Document version	Comment	Reply and responding actions taken
World Bank Independent Evaluation Group	18 Oct '16	Approach Paper 15 Sept '16	<p>Hosting in the GEF. The evaluation may want to consider how good a host the GEF is.</p> <p>The theory of change in figure 3 could think more about the specific (institutional, fiduciary, HR, etc.) contributions of the GEF and how these then influence the functioning of the SCCF and its downstream projects.</p> <p>The fund provides financing—but the evaluation could also ask what else the GEF provides institutionally for these projects, how GEF involvement affects project designs, selection, technical quality, etc. In understanding the separate contributions of the GEF, the GEF implementing Agencies, and the project teams in leading to the various outcomes areas, the evaluation could help to focus on and critically assess the GEF's institutional contributions as host.</p>	Noted. Hosting is part of OPS6—the overall performance study of the GEF, which includes the LDCF and SCCF as adaptation funds governed by the GEF
World Bank Independent Evaluation Group	18 Oct '16	Approach Paper 15 Sept '16	<p>Funding is a key aspect of sustainability that the draft approach paper touches upon but doesn't tackle heads-on. The relatively modest contributions to the fund, the unpredictability of the funding, and the fact that apparently only 13 operations are complete, 15 years after the establishment of the fund make it important to review issues around the development and funding of the project pipeline and the SCCF more broadly.</p>	<p>The 2011 evaluation's recommendation on funding was retired without adoption. This evaluation will again assess how resource flows and predictability, or the lack thereof, have affected the Fund's programming.</p> <p>While being established in 2001, the Fund became fully operational only after receiving guidance at COP-12 (2006) and receiving contribution. By September 2007, close to \$60 million were received and the first projects started implementation in August 2007.</p>
World Bank Independent Evaluation Group	18 Oct '16	Approach Paper 15 Sept '16	<p>The evaluation could consider some additional evaluation subquestions. For example, on relevance, the evaluation could consider whether collectively the supported operations focused on the most significant climate change issues facing each country receiving support. How has the portfolio performed in aggregate on relevance? What lessons have been learned at the project level? How adequate are monitoring and evaluation systems for determining whether the climate change goals of the projects are being met? Understanding and assessing the portfolio of projects (in addition to the institutional performance of the fund) will be an important advance beyond the previous SCCF evaluation.</p>	<p>Noted.</p> <p>The relevance of the project portfolio toward FCCC guidance and decisions, GEF adaptation strategy, and global environmental benefits will be assessed.</p> <p>Lessons learned at project level will be reviewed for all completed projects.</p> <p>A project review protocol is being developed to review all projects, with specific questions for those projects having been CEO endorsed/approved and/or under implementation, and completed projects</p>

Commenter	Date comment	Document version	Comment	Reply and responding actions taken
World Bank Independent Evaluation Group	18 Oct '16	Approach Paper 15 Sept '16	The team could also explore whether the portfolio is of stand-alone projects or of SCCF blended with other operations. If there are both, how do they compare? Which strategy seems to make more sense?	There are only three SCCF child projects that are part of broader programmatic approaches. All other projects are stand-alone. Given the small amount of relevant parents and children, a comparison between blended and stand-alone projects—the majority of projects—will not be possible.  But stand-alone projects might also address other focal areas, which will be assessed as part of the project portfolio review.
World Bank Independent Evaluation Group	18 Oct '16	Approach Paper 15 Sept '16	The paper states that interviews will be conducted with GEF Agencies and government actors; it might be useful to interview project managers in addition to formal GEF counterparts.	Noted. This will be taken into account during site visits.
World Bank Independent Evaluation Group	18 Oct '16	Approach Paper 15 Sept '16	The paper states that field visits will be conducted based on “mutually beneficial synergies explored between evaluations endeavors.” Establishing an up-front criteria for selecting field visits might help to improve the transparency of the evaluation and ensure that project selection is subject to quality assurance procedures.	These criteria will be added: the maturity of country project portfolios, and the appropriate mix of implementing Agencies and regions.
World Bank Independent Evaluation Group	18 Oct '16	Approach Paper 15 Sept '16	The approach paper contains a significant amount of background exposition, which could potentially be moved to an annex to make the main text more succinct.	The approach paper follows the IEO approach paper template, which places a short meta-evaluation review in the body of the paper.
GEF Secretariat	20 Oct '16	Approach Paper 15 Sept '16	Figure 2 shows a set of multilateral entities that among other things also finance adaptation activities. However, the track record of those entities distinguishes them when it comes to the specific types of adaptation activities that have been financed under each of the multilateral funds listed. In particular, the SCCF has focused more on highly innovative approaches in new and emerging adaptation areas, which provide the basis for upscaling by other financing mechanisms. The Adaptation Fund has financed in particular community-based adaptation, focuses on livelihoods and other areas, while the Green Climate Fund has taken previously financed concepts and scaled them up towards achieving transformational impact. This differentiation does not seem to be taken into account here, and the sentence as written puts all the funds on the same page.	The paragraph has been adjusted and now gives examples of focus areas of funds.
GEF Secretariat	20 Oct '16	Approach Paper 15 Sept '16	Par. 6: → If one was to consider the first project approvals to be considered for the GCF as entering the fully operational phase, then the time frame would be the end of 2015, rather than 2014.	Noted

Commenter	Date comment	Document version	Comment	Reply and responding actions taken
GEF Secretariat	20 Oct '16	Approach Paper 15 Sept '16	Par. 7: → This is not entirely accurate as the LDCF has a different project cycle, and thus the operational procedures are different.	Noted. The paragraph has been adjusted accordingly:  ... unless the LDCF/SCCF Council decides that it is necessary for either the SCCF or the LDCF to modify procedures in response to COP guidance, or to facilitate the operations of the Funds to successfully achieve their respective objectives.
GEF Secretariat	20 Oct '16	Approach Paper 15 Sept '16	Par. 11: ...According to PMIS... → Perhaps official Council documents, such as the Progress Report and AMR, could be referenced instead of PMIS?	The text has been adjusted. PMIS data were cross-referenced against official Council documents. Though it should be noted that a project-management system should be able to provide reliable data.
GEF Secretariat	20 Oct '16	Approach Paper 15 Sept '16	Par. 13 and Par. 14: 14. As of March 31, 2016... → This can be updated to reflect the date of the most recent Trustee Status Report on the SCCF, which has been published on the GEF website ahead of the 21st LDCF/SCCF Council meeting.	The paragraphs and also all tables have been updated to reflect the most recent Trustee Status reports for the SCCF as well as SCCF progress reports.
GEF Secretariat	20 Oct '16	Approach Paper 15 Sept '16	Par. 16: On the SPA evaluation → In how far is this statement [on resilience] related or relevant to a SCCF evaluation? If not directly relevant, perhaps it could be omitted.	It links to the synergistic nature of adaptation interventions that aims to increase resilience to the adverse impacts of climate change.
GEF Secretariat	20 Oct '16	Approach Paper 15 Sept '16	Par. 23: → The adaptation task force is composed of GEF Agencies and STAP, and is therefore included in the first sentence.	Deleted.
GEF Secretariat	31 Oct '16	Approach Paper 15 Sept '16	16: The 2011 evaluation of the GEF Strategic Priority for Adaptation (SPA) pilot program  → SPA was very different—because it was obligated to combine adaptation and GEBs, it was effectively a multifocal portfolio, with “mainstreaming.” The SPA was funded from the GEF TF.  The SCCF has a different mandate and is not obligated to generate GEBs, i.e., link up explicitly with other GEF FAs. Therefore, it is a fair question how relevant and transferable this recommendation is to the SCCF.	While the SPA was quite different from the SCCF, the evaluation’s recommendation was aimed more generally toward the GEF. The recommendation in itself will not be projected onto the SCCF portfolio but one of the two strategic pillars “Expanding synergies with other GEF focal areas” partially reflects the recommendation of the SPA evaluation.  “The expanding of synergies with other GEF focal areas is one of the two strategic pillars that are part of the GEF programming strategy on climate change adaptation for the LDCF and the SCCF” has been added.
GEF Secretariat	18 Oct '16	Approach Paper 15 Sept '16	20: OPS5 Technical Document 3 (2013) → Maybe it would be clearer to say that combining of LDCF and SCCF resources with other FAS in MTF projects has only become possible through a new modality introduced in GEF-5. BTW, there was interest in doing so earlier, but there was no modality.	Noted.

Commenter	Date comment	Document version	Comment	Reply and responding actions taken
GEF Secretariat	18 Oct '16	Approach Paper 15 Sept '16	33: Question on Results and Sustainability → How about a question on innovativeness?	Innovation—as part of results—will be reviewed as part of the lessons learned at project level for completed projects.
GEF Secretariat	22 April '17	Draft Report 13 April '17	The GEF Secretariat has no comments on the draft report.	Noted, with thanks.
GEF Agency	22 April '17	Draft Report 13 April '17	On the relevance to national environmental and sustainable development goals:  I suggest incorporating as part of the goals, the specific issue of climate change, considering that some countries have laws, strategies, objectives and goals on climate change.	A note has been added that national environmental goals include, but are not limited to, the issue of climate change.
GEF Agency	22 April '17	Draft Report 13 April '17	On the Honduras PROLENCA project: "According to CEO Endorsement, the abbreviation is PROLENCA-GEF."	Changed accordingly.
GEF Agency	22 April '17	Draft Report 13 April '17	Conclusion 1: SCCF support has been highly relevant to UNFCCC guidance, to GEF adaptation strategic objectives, and to countries' national environmental and sustainable development agendas.  "I suggest incorporating the climate agenda, considering that some countries have laws, strategies, objectives and goals on climate change."	Agreed. A note was added to the earlier mention of national environmental goals.
GEF Agency	22 April '17	Draft Report 13 April '17	Part of Conclusion 1: SCCF projects were also found to be strongly country driven, and well aligned with national environmental and sustainable development policies, plans and priorities.  "Same previous comment."	Agreed.
GEF Agency	24 April '17	Draft Report 13 April '17	Some text in the report is repetitive (e.g., the same tables and statistics repeated within the first 15 pages of analysis), which leads away from the findings.	Paragraphs 8–11 and tables 1–3 set the stage for the methodology and subsequent analysis. Some of the basic data does come back in the more in-depth analysis in Chapter 4. To people intimately familiar with the Fund, such introduction might not be needed, but to improve readability for all, it is kept.
GEF Agency	24 April '17	Draft Report 13 April '17	In our opinion, it is worth to mention current operational modality of the SCCF (as well as LDCF)—when the "first come, first serve" approach does not go well with limited funding; there is a call to develop more strategic vision to support immediate adaptation needs, technology development, innovation, etc.	Project concept development as part of the preselection process and project selection is not on a first-come, first-served basis. The "call to develop a strategic vision" mentioned here is actually an element from the UNFCCC guidance. That is already part of the project selection guidance as used by the GEF Secretariat.  We don't think it is necessary to conclude/recommend developing further strategic vision.

Commenter	Date comment	Document version	Comment	Reply and responding actions taken
GEF Agency	24 April '17	Draft Report 13 April '17	Suggestion P27/28 that "Close to 19 percent of projects appear likely to provide support in the ozone depleting substance focal area" is hardly credible, and in fact contradicted by section on contribution to GEBs P50/51.	<p>P 27/28 is a quality-at-entry assessment as to whether projects potentially contribute to focal areas other than climate change, while the GEB analysis looks at higher-level aggregates on phaseout, disposal, and reduction of releases of POPs, ODS, mercury, and other chemicals of global concern. The contribution to the focal area is through development of the enabling environment, not direct reduction of harmful chemicals.</p> <p>A note has been added in the GEB section to point this out more explicitly to the reader.</p>

# Annex K: 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 2017 as GEF/LDCF.SCCF.22/ME/02. Minor editorial corrections have been made.*

## **K.1 Management response**

The Secretariat welcomes the Program Evaluation of the Special Climate Change Fund (SCCF) prepared by the GEF Independent Evaluation Office. The report provides an analysis of the SCCF portfolio, discusses the relevance of SCCF support and its effectiveness and efficiency, and highlights emerging results and potential sustainability of SCCF projects.

The Secretariat appreciates the findings of the report and notes the recommendation for the SCCF to focus on innovation. Based on the deliberations by the LDCF/SCCF Council and the endorsement of that finding, the GEF Secretariat will continue to articulate and publicly communicate the role of the SCCF externally.

The Secretariat agrees with the GEF IEO that enhancing financial predictability can improve the effectiveness of the SCCF. The Secretariat notes that the means to address this need falls within the purview of the donors of the fund. 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 SCCF project data.

## **K.2 Council decision**

The Council, having reviewed document GEF/LDCF.SCCF.22/ME/02, Program Evaluation of the Special Climate Change Fund, and GEF/LDCF.SCCF.22/ME/03, Management Response to the Program Evaluation of the Special Climate Change Fund, takes note of the conclusions of the evaluation and endorses the recommendations taking into account the management response.

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