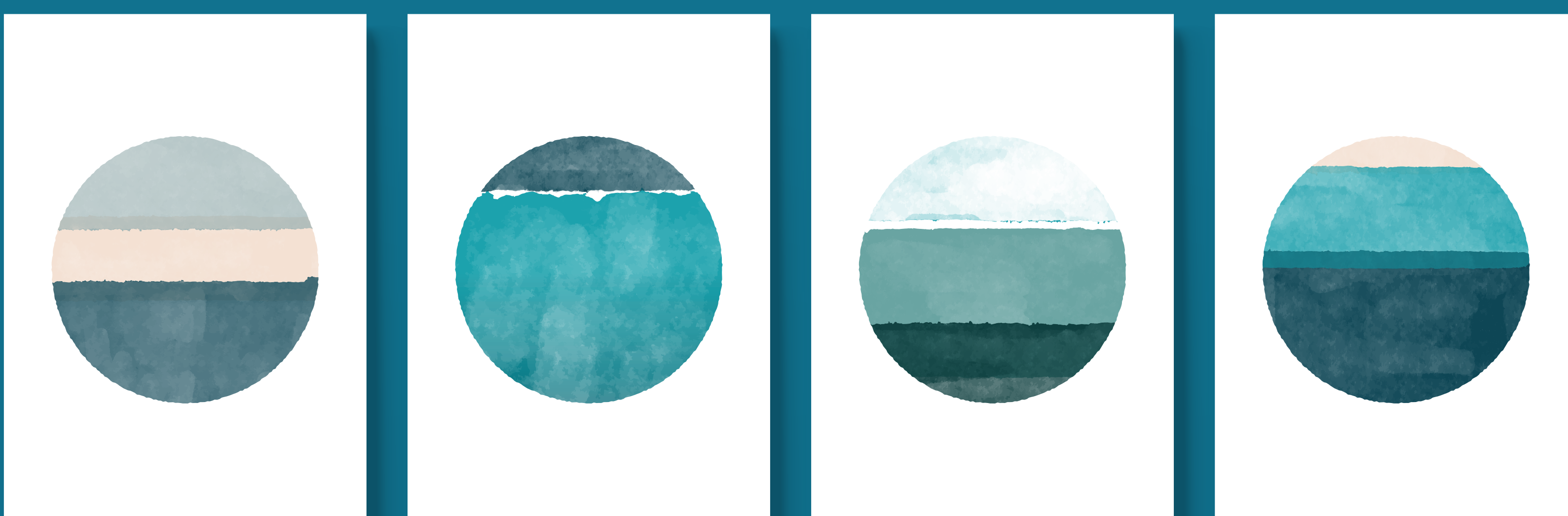
IEO Independent Evaluation Office
GLOBAL ENVIRONMENT FACILITY

Special Climate Change Fund: 2021 Program Evaluation



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Special Climate Change Fund: 2021 Program Evaluation

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Independent Evaluation Office
GLOBAL ENVIRONMENT FACILITY

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Foreword

The Special Climate Change Fund (SCCF) was established in 2001 under the United Nations Framework Convention on Climate Change to help vulnerable nations address negative impacts of climate change. The SCCF finances 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; it is open to all vulnerable developing countries.

This is the second program evaluation of the SCCF and comes at a time when the availability of resources for programming has stalled. The objective of this evaluation is to assess the progress the SCCF has made since the 2017 program evaluation and to provide the Least Developed Countries Fund (LDCF)/SCCF Council with evaluative evidence of the fund's relevance and emerging results from recently approved projects and all completed projects. The evaluation also focuses on how the SCCF fits in the changing global climate finance architecture. Through a literature review, project portfolio analysis, and informant interviews of a wide range of stakeholders, the evaluation finds that the SCCF portfolio has performed well, but that this is hampered by a near-complete lack of new funding. The evaluation concluded that if the SCCF is to continue, it needs to be reformed and re-energized to attract donor support.

The evaluation was presented to the LDCF/SCCF Council in December 2021. The Council took note of the related evaluation recommendation and endorsed the management response to address it. A summary of the findings and conclusions of the SCCF program evaluation will be submitted as part of the GEF report to the United Nations Framework Convention on Climate Change 27th Conference of the Parties.

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Anna Viggh, Senior Evaluation Officer in the Global Environment Facility Independent Evaluation Office (GEF IEO), led this evaluation. Core evaluation team members were Molly Watts Sohn, IEO Evaluation Analyst; Roberto La Rovere, Consultant; and Marissa Lazaroff, Junior Consultant.

The evaluation benefited from guidance and oversight provided by Juha Uitto, Director of the IEO; quality control was provided by Geeta Batra, IEO Chief Evaluation Officer. Gabriel Sidman, IEO Evaluation Officer, served as a peer reviewer.

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Abbreviations

ADB	Asian Development Bank
CAF	Development Bank of Latin America
CEO	Chief Executive Officer
COP	conference of the parties
FAO	Food and Agriculture Organization of the United Nations
GCF	Green Climate Fund
GEF	Global Environment Facility
IEO	Independent Evaluation Office
IFAD	International Fund for Agricultural Development
IPCC	Intergovernmental Panel on Climate Change
LDC	least developed country
LDCF	Least Developed Countries Fund
MTF	multitrust fund
NAP	national adaptation plan
NAPA	national adaptation program of action
NDC	nationally determined contribution
OPS	overall performance study
OPS6	Sixth Comprehensive Evaluation of the GEF
PIF	project identification form
PMIS	Project Management Information System
SCCF	Special Climate Change Fund
SIDS	small island developing states
SME	small and medium-size enterprises
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNIDO	United Nations Industrial Development Organization
WWF-US	World Wildlife Fund

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

Executive summary

In June 2019, at its 26th meeting, the Least Developed Countries Fund/Special Climate Change Fund (LDCF/SCCF) Council approved the Four-Year Work Program for the Independent Evaluation Office (IEO) of the Global Environment Facility (GEF) (GEF IEO 2019b). It included an update to the 2018 program evaluation of the SCCF during fiscal year 2021. The main objective of this evaluation is to assess the progress the SCCF has made since the most recent SCCF program evaluation (GEF IEO 2018b) and the extent to which the SCCF is achieving the objectives set out in the GEF adaptation strategy. Another important objective of this evaluation, given changes and major trends over past few years in the global climate finance architecture and the shifting priorities of donors, is to provide recommendations on the way forward for the SCCF within the context of these changes and shifting priorities.

The SCCF was established at the seventh conference of the parties (COP) of the United Nations Framework Convention on Climate Change (UNFCCC) (UNFCCC 2002; Dessai 2003). The SCCF is mandated by parties to the UNFCCC to provide support to parties not included in Annex I of the UNFCCC. The SCCF is structured to support activities in four windows: A—adaptation; B—transfer of technology for both mitigation and adaptation; C—mitigation in energy, transport, industry, agriculture, forestry and waste management sectors; and D—economic diversification. Of these four windows only the first two are active. With its broad scope, covering mostly climate change adaptation as well as—to some extent—mitigation, the SCCF was the only comprehensive climate change fund under the UNFCCC until the establishment of the Green Climate Fund (GCF). In response to a request made at COP 18, the SCCF has funded the National Adaptation Plan process in non-LDCF countries (which cannot apply for such funding under the LDCF).

The SCCF is also part of the operating entity of the financial mechanism for the Paris Agreement. The SCCF originally was entrusted with continuing to strengthen developing countries' resilience to climate change. At the heart of the Paris Agreement and the achievement of long-term goals are the nationally determined contributions (NDCs). Each country outlines its efforts to reduce national emissions and to adapt to the effects of climate change. The SCCF supports NDCs and seeks to align its programming with priorities in NDCs.

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/SCCF Council can modify these procedures in response to COP guidance or to facilitate LDCF/SCCF operations to enable the funds to achieve their objectives. As of September 2020, 13 of the 18 GEF Agencies were involved in SCCF operations, though all 18 have direct access to SCCF funding.

The evaluation used a mixed-methods approach that encompassed both quantitative and qualitative sources of data, information, and analytical tools. The team undertook a literature review of evaluations of the SCCF by the GEF IEO, the evaluation offices of GEF Agencies, and other literature including academic studies. GEF-specific documents on the SCCF, including GEF and LDCF/SCCF Council and project documents, GEF Secretariat policies, processes, and related documents, and related interventions were reviewed. The evaluation team conducted interviews with senior management and staff of the GEF Secretariat, the GEF Agencies, the UNFCCC Secretariat, current and former GEF Council members, donors to the SCCF, the GEF focal points, and project implementers. Climate finance experts from independent agencies and think tanks were also consulted. Finally, the team developed a portfolio analysis protocol and applied it to all 33 completed projects for which terminal evaluations were available as of September 2020, the cutoff date for this evaluation. The team also reviewed all 10 projects which had received project identification form (PIF) approval between October 2016, the cutoff date for the previous evaluation, and September 2020, the cutoff date for this evaluation.

CONCLUSIONS

SCCF support continues to be relevant to COP guidance, to the GEF adaptation strategy, and to countries' national priorities. Recently approved projects were found to be aligned with COP guidance. Most relevant to the first two strategic objectives of the GEF adaptation strategy, they show clear consistency with the two strategic pillars of the adaptation strategy, and they have a strong relevance to national development policies, plans, and programs.

The SCCF has increased complementarity with other funds in climate finance. Although the guidance and encouragement for complementarity with the GCF is relatively recent, one third of completed SCCF projects have evidence of complementarity with the GCF and at least five projects have led to follow-on funding for scaling up or replication of activities by the GCF. In 6 out of 10 recently approved projects, there is evidence of thought given to collaboration and linkages with the GCF in project design.

The SCCF portfolio has been effective and has performed well. The performance of SCCF projects is comparable with that of the GEF Trust Funds, with 79 percent of completed SCCF projects rated in the satisfactory range for outcomes. All completed projects developed or introduced new technologies or approaches, with 58 percent producing them at a large scale. Similarly, all but one project demonstrated new technologies and approaches. Stakeholders identify main areas of effectiveness for the SCCF as technology transfer for adaptation, facilitating innovation in adaptation, and processes that allow accessing funding in resilience through the call for proposals, especially in the areas of agriculture, land degradation, support of vulnerability reduction, knowledge sharing, and capacity building. In general, the SCCF has been effective in supporting activities in these areas that otherwise would not get funded by other funds.

Beyond field-based adaptation benefits, the SCCF portfolio has resulted in strengthened institutional capacity, and achieved innovation, legal and regulatory, socioeconomic, and sustainable financing outcomes. All completed projects had adaptation outcomes that fall into one of the former categories. All completed projects were found to have strengthened institutional capacity. Innovation, a staple niche of the SCCF, was present in more than 90 percent (30 of 33) of completed projects. Legal and regulatory outcomes were achieved through the improvement or development of climate policies and plans in 36 percent of completed projects (12 of 33). Other areas of legal outcomes included codification of regulations or standards, and the development of manuals for updating policies. These projects helped participants increase their income and start micro-companies.

The SCCF's effectiveness and efficiency continue to be seriously undermined by limited and unpredictable funding. Limited and unpredictable availability of resources for programming has restricted the number of projects that can be financed. Since the 2017 evaluation, only 10 new projects have reached the threshold of PIF approval and they are smaller than projects in earlier GEF periods. Donor support to SCCF has stalled since 2014, with only $21.87 million contributed to the fund, all from Switzerland. While it has attracted new partners, the efficiency of the Challenge Program for Adaptation Innovation preselection model has also been negatively affected by the lack of funding, with less than 3 percent of concepts selected for PIF preparation, and significant time and efforts invested in the preselection model by the GEF Secretariat. Overall, the SCCF has reached a semidormant state due to the lack of new funding and few new approvals, although monitoring of ongoing projects, planning and reporting continues.

The overall gender performance of the SCCF portfolio has continued to improve. Gender mainstreaming is stronger and more integrated into project design in the recently approved projects compared with completed projects. Although this trend is expected, as completed projects were designed before the development of current GEF policies and guidance on gender, it is a positive development.

The GEF adaptation strategy has put a stronger emphasis on private sector engagement, reflected in the portfolio of recently approved projects. Fifty-five percent of completed projects engaged the private sector during implementation while all recently approved projects have plans to do so in some capacity, either through partnership or activities that will benefit private sector stakeholders or support an enabling environment for private sector participation. One initiative dedicated to engaging the private sector specifically is the Challenge Program for Adaptation Innovation. In spite of the program being in a relatively early stage, interviews show promising signs of achievements and the potential of delivering results with limited funding.

A wide range of factors affect outcome sustainability. Seventy-five percent of SCCF projects were rated as having outcomes likely to be sustained, compared with a 63 percent rating for GEF Trust Funds projects. The hindering context-related factors that were most cited in terminal evaluations were poor infrastructure, natural disasters, and change in national government. For project-related factors that contributed to sustainability, the largest number of projects noted adaptive management followed by effective coordination between executing partners, strong project design, and effective stakeholder engagement. Weak preparation and readiness, weak monitoring and evaluation, failure of expected cofinancing to materialize, and a lack of continued and predictable funding were the most frequently noted project-related factors perceived to hinder the likely sustainability of project outcomes. Stakeholders interviewed identified continued and predictable financing as the key factor that affects the sustainability of SCCF project outcomes.

The SCCF has a unique role that it could play if it were refocused and adequately funded. The role could be to support climate change adaptation efforts through window SCCF-A in non-LDC developing countries, particularly in small island developing states, emerging economies, and non-Annex I wealthier countries that are not LDCs or have recently graduated, through projects that represent a flexible preliminary step to test innovative ideas and pilot approaches or projects that can then be replicated and scaled up by others. The SCCF could be refocused to fund technology transfer through window SCCF-B and innovative approaches applied to adaptation, since the SCCF is the only global fund with a clear technology transfer window. It is considered that the SCCF could act as an incubator for riskier technologies, hence playing a risk-reducing role with catalytic potential for further investments, and support adaptation priorities particularly in small island developing states (SIDS). SCCF's role could also include facilitating private sector engagement, provided that is guided by a clearer strategy for private sector and greater use of public-private forms of finance, including blended finance.

The SCCF has nearly reached a dormancy phase. At this point, fundamental strategic decisions for the SCCF's future cannot be postponed any further. The SCCF has suffered from a virtual absence of new pledges and received little attention both internally and from its traditional donors, despite its relevance, effectiveness, and interest from countries. The SCCF has thus become semidormant due to the lack of new funding and few new approvals, while there are still projects under implementation. At this point, some fundamental decisions must be made. Keeping the SCCF functionally (de facto) semidormant is an option that may be found to be useful one day, while other funds that are also active in climate finance and adaptation, especially those with complementarity in the value-added areas of the SCCF, evolve and grow. In the meantime, although it is always possible for the Convention to create new funds to meet the emerging demands, keeping the SCCF functionally semidormant may be more practical than closing the SCCF or establishing new funds.

Several donors and strategic informants also indicate that if the SCCF is to continue to receive funding and continue its work, it should be reformed, repackaged, and reenergized, and the lack of visibility, branding, and communication must be addressed proactively. The main findings point to the need to: formally close windows SCCF-C (mitigation) and SCCF-D (economic diversification) of the current settings of the SCCF, target support under window SCCF-A towards non-LDCs—particularly SIDS—and to refocus the fund towards technology transfer and innovation in adaptation in non-LDCs in window SCCF-B as the area of clear added value. That is seen as the niche that can make the SCCF attractive, in the absence of any real alternative financing models in the areas of focus of the SCCF. A repurposed SCCF that brings together technology transfer within the context of adaptation in non-LDCs would serve as the door through which the SCCF can step through into the future. It is also believed that this reform should be accompanied by proactive, targeted resource mobilization, reenergized by very much enhanced visibility and much clearer communication publicizing the SCCF as a distinct fund.

RECOMMENDATION

The GEF Secretariat should acknowledge the semidormant state of the SCCF and—together with the key and emerging donors and stakeholders—develop a proactive action plan to revitalize

the fund. Removing windows SCCF-C and SCCF-D, which are evidently unattractive to donors, targeting support under window SCCF-A towards non-LDCs—particularly SIDS—and refocusing the fund toward technology transfer and innovation in adaptation in non-LDCs in window SCCF-B is the only way forward. In doing so, the Secretariat should actively articulate and communicate the SCCF's niche and brand its focused and distinctive roles in the climate finance architecture. In the short term, and despite the preference of traditional donors to focus on few, larger funds, the existence of funds such as the SCCF could remain a proven and practical alternative for donors to diversify their funding, or an opportunity for new and emerging or smaller donor countries in climate finance.

Introduction

In June 2019, at its 26th meeting, the Least Developed Countries Fund/Special Climate Change Fund (LDCF/SCCF) Council approved the Four-Year Work Program for the Independent Evaluation Office (IEO) of the Global Environment Facility (GEF) (GEF IEO 2019b). It included an update to the 2018 program evaluation of the SCCF during fiscal year 2021. This program evaluation of the SCCF focuses on performance and progress toward SCCF objectives and results in the four years following the 2017 GEF IEO evaluation. This evaluation also provides the LDCF/SCCF Council with evaluative evidence of SCCF's relevance and emerging results from recently approved projects and all 33 completed projects. The evaluation also examines how the SCCF fits in the changing global climate finance architecture.

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 (UNFCCC 2001). The SCCF was then established with the approval of Decision 7/CP.7 by the seventh Conference of the Parties (COP) of the UNFCCC, held at Marrakesh (UNFCCC 2002; Dessai 2003). The decision stated:

> 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 four windows [table 1.1]: (a) adaptation; (b) technology transfer; (c) certain specific sectors such as energy, transport, industry, agriculture, forestry and waste management; (d) activities to assist developing country Parties referred to under Article 4, paragraph 8 [i.e., oil-exporting countries and economies dependent on income from fossil fuels] in diversifying their economies." (UNFCCC 2001, 2002)

Prioritizing activities under the SCCF (Dessai 2003) was also expected to be based on political decisions, given the nature of the Convention process. As a result, the support for SCCF under this window was expected to be maintained, as it also represented the interests of oil-exporting countries.

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 mostly climate change adaptation as well as—to some extent—mitigation, the SCCF was the

Table 1.1 Overview of SCCF activity windows

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

Source: UNFCCC Decisions, accessed September 2019.

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 numerous COPs, which helped to further define the design of the SCCF, as outlined in the overview of UNFCCC COP guidance and decisions (annex F). In particular, at COP 9 and COP 12, the SCCF was requested to prioritize funding for different activities, granting "top priority" to adaptation activities that focus on health, disaster risk management, technology transfer, mitigation activities in specific sectors, and to activities that support economic diversification with the overall aim of moving away from the production, processing, export, or consumption of fossil fuels and associated energy-intensive products. In response to a request made at COP 18, the SCCF has funded the National Adaptation Plan (NAP) process in non-LDCF countries (which cannot apply for such funding under the LDCF).

As of March 31, 2021, SCCF's financial report (prepared by the GEF trustee), shows that over the history of the SCCF, 15 donors had pledged contributions to the first two windows, with $294.46 million pledged toward the SCCF-A window and $61.33 million pledged toward the SCCF-B window, with no pledges or contributions toward activity windows SCCF-C or SCCF-D (GEF 2021).

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.[1] The governance structure and operational procedures and policies that apply to the GEF

[1] The GEF Trust Fund was established at the 1992 Rio Earth Summit to help tackle environmental problems.

Trust Fund are also applied to the LDCF and SCCF, but 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.

The SCCF is also part of the operating entity of the financial mechanism for the Paris Agreement. The SCCF originally was entrusted with continuing to strengthen developing countries' resilience to climate change. At the heart of the Paris Agreement and the achievement of long-term goals are the nationally determined contributions (NDCs).[2] Each country outlines its efforts to reduce national emissions and to adapt to the effects of climate change. SCCF supports NDCs and seeks to align its programming with priorities in NDCs.

Unlike the GEF Trust Fund, which is replenished every four years, the SCCF receives only voluntary contributions with no regular replenishment schedule. Because requests for funding significantly exceed the available resources—and in response to a recommendation from the first SCCF program evaluation presented in 2011—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 2012a, 2012b).

In June 2018, at the 24th LDCF/SCCF Council Meeting, the new GEF Programming Strategy on Adaptation to Climate Change from 2018 to 2022 (GEF adaptation strategy) for LDCF/SCCF and operational improvements was approved (GEF 2018a, 2018b). The findings and conclusions of the 2016 LDCF program evaluation (GEF IEO 2016) and of the most recent SCCF program evaluation (GEF IEO 2018b) contributed to the revision of the GEF adaptation strategy. The goal of the strategy is to strengthen resilience and reduce vulnerability to the adverse impacts of climate change in developing countries and support their efforts to enhance adaptive capacity. The strategy includes updates to the three strategic objectives and more emphasis on private sector engagement for the LDCF and SCCF (box 1.1). The strategy also seeks to enhance gender equality and mainstreaming, and to enhance coordinated and synergistic programming with other major climate funds as well as with other GEF focal areas. The results framework included in the GEF adaptation strategy is provided in annex H.

As part of the GEF adaptation strategy endorsed by the Council in June 2018, the GEF Secretariat introduced the Challenge Program for Adaptation Innovation (GEF 2018a, 2018c). The Challenge Program was launched in 2019. The Challenge Program is intended to address objective 1 of the GEF adaptation strategy, to "reduce vulnerability and increase resilience through innovation and technology transfer for climate change adaptation" and to address the need for finance to stimulate adaptation innovation and private sector engagement (GEF 2018c).[3] The Challenge Program includes a preselection modality for SCCF funding, soliciting project concepts through calls for proposals. The existing preselection criteria are then applied to concepts to identify those that will be developed further for approval by the LDCF/SCCF Council (GEF 2018c). The incentives for preparing projects for the Challenge Program under objective 2, "mainstream climate change adaptation and resilience for systemic impact," are being managed outside the preselection modality and are aligned with the regular GEF Trust Fund cycle. The Challenge Program had initial funding of $10 million,

[2] Source: UNFCCC Nationally Determined Contributions (NDCs) webpage.

[3] The objective is to catalyze innovation to harness the power of private sector actors in achieving adaptation.

Box 1.1 GEF Adaptation Program strategic objectives and pillars

The GEF Programming Strategy on Adaptation to Climate Change for the LDCF and SCCF (July 2018 to June 2022) has three strategic objectives:

- Reduce vulnerability and increase resilience through innovation and technology transfer for climate change adaptation
- Mainstream climate change adaptation and resilience for systemic impact
- Foster enabling conditions for effective and integrated climate change adaptation

Private sector engagement will be fostered for the LDCF and SCCF through the three objectives of this strategy and implemented through the following two pillars:

- Expanding catalytic grant and nongrant investments
- Support enabling environments for the private sector to act as an agent for market transformation

Source: GEF 2018a.

financed equally from the LDCF and the SCCF. The SCCF has financed seven medium-size projects under the Challenge Program.

All 18 GEF Agencies[4] have direct access to SCCF funding and work closely with project proponents such as government agencies, civil society organizations (CSOs), and other stakeholders including technology and research institutions and private sector actors to design, develop, and implement activities financed by the fund. As of September 2020, 13 of the 18 GEF Agencies were involved in SCCF operations: Asian Development Bank (ADB), African Development Bank, Development Bank of Latin America (CAF), Conservation International, European Bank for Reconstruction and Development, Food and Agriculture Organization of the United Nations (FAO), Inter-American Development Bank, International Fund for Agricultural Development (IFAD), United Nations Development Programme (UNDP), United Nations Environment Programme (UNEP), United Nations Industrial Development Organization (UNIDO), The World Bank Group, and World Wildlife Fund (WWF-US).[5] The largest share of the portfolio in terms of approved projects is implemented by UNDP with 24 percent of all projects approved (22 projects). The World Bank Group has the largest share of total funds approved, at 26 percent.[6]

1.1 Approach and methodology

The main objective of this evaluation is to assess the progress the SCCF has made since the most recent SCCF program evaluation (GEF IEO 2018b) and the extent to which the SCCF is achieving the objectives set out in the GEF adaptation strategy. Another important objective of this evaluation, given changes and major trends over past few years

[4] Asian Development Bank, African Development Bank, Brazilian Biodiversity Fund, Conservation International, Development Bank of Latin America, Development Bank of Southern Africa, European Bank for Reconstruction and Development, Food and Agricultural Organization of the United Nations, Foreign Economic Cooperation Office, Ministry of Environmental Protection of China, Inter-American Development Bank, International Fund for Agricultural Development, United Nations Development Programme, International Union for Conservation of Nature, United Nations Environment Programme, United Nations Industrial Development Organization, The World Bank Group, West African Development Bank, and World Wildlife Fund.

[5] Source: GEF PMIS and GEF Portal, accessed September 2020.

[6] Source: Portal Extended Report, accessed September 2020.

in the global climate finance architecture and the shifting priorities of donors, is to provide recommendations on the way forward for the SCCF within the context of these changes and shifting priorities. A detailed description of the evaluation design is provided in the approach paper for the present evaluation (annex A).

This is the third program evaluation of the SCCF undertaken by the GEF IEO, with two previous evaluations presented in 2011 and 2017. The 2011 evaluation focused on the first 10 years after the inception of the SCCF. At that early stage of SCCF implementation, relatively little evidence on performance of the fund was available, with only two completed projects (GEF IEO 2012). Recommendations focused on the relevance of the SCCF, the role of innovation and learning in the SCCF, the funding process, and SCCF project branding.

The 2017 program evaluation reviewed the complete portfolio of SCCF project proposals (74 projects that were endorsed by the GEF Chief Executive Officer (CEO), under implementation, or completed at that time). The evaluation found that the SCCF portfolio was highly complementary to three of the four GEF adaptation strategic objectives—reducing vulnerability, strengthening capacities, and mainstreaming adaptation. The evaluation identified the SCCF's openness to innovation as making it an "ideal incubator for countries to test and refine project concepts prior to seeking large-scale financing through the GCF" (GEF IEO 2018b). The portfolio was also country driven and aligned with national environmental and sustainable development policies, plans, and priorities. The 2017 evaluation also found that although 45 percent of projects might contribute to the focal area of land degradation (33 of 74), the potential for SCCF projects to contribute to other focal areas was limited (GEF IEO 2018b).

The 2017 SCCF evaluation recognized that the SCCF struggled to attract funding to support its intended operations and concluded that even then the "SCCF's effectiveness and efficiency had been seriously undermined by limited and unpredictable resources" (GEF IEO 2018b). This, despite the continued relevance of the fund, "affected its popularity among non–Annex I countries, therefore, despite evidence that tangible adaptation results are delivered, the SCCF's resources have been completely inadequate to meet demand, with contributions to the [f]und effectively stalled since 2014" (GEF IEO 2018b). The SCCF resource situation could be characterized in 2017 as a vicious circle: as there were no resources available, no new proposals were being developed; donors interpreted that as limited interest in SCCF or as a lack of demand, which in turn induced donors not to provide funding.

The evaluation presented three recommendations:

- The GEF Secretariat should prioritize the development of mechanisms to ensure predictable, adequate, and sustainable financing for the fund;
- The GEF Secretariat should articulate and publicly communicate the SCCF's niche in the global adaptation finance landscape, including an explicit statement regarding its relation with—and complementarity to—the GCF; and
- The GEF Secretariat should ensure that Project Management Information System data are up to date and accurate.

As reported in the GEF IEO Management Action Record, the GEF Secretariat has addressed the first recommendation, providing information on resource constraints and requesting donor support at Council meetings and consultations, while the third recommendation has been addressed through the development of a new project management system, the GEF Portal. The second recommendation has not been addressed with a specific action, though the Secretariat reports that the SCCF has focused its project support on the areas where the

SCCF's unique advantages are established (GEF IEO 2021d).

Aside from the series of SCCF program evaluations, SCCF has been covered to some degree through thematic evaluations conducted by GEF IEO and other entities. An early example includes a 2009 evaluation, conducted by the UNDP Independent Evaluation Office, of UNDP's work with LDCF/SCCF resources that found that although SCCF projects were efficient at the approval stage, a freezing of SCCF funding had rendered project identification forms (PIFs) that were waiting for approval obsolete (UNDP IEO 2009). A 2011 evaluation of the GEF Strategic Priority for Adaptation pilot program, which aimed to inform climate change adaptation work supported by the GEF, recommended that GEF continue to provide incentives to mainstream resilience and adaptation to climate change into GEF focal areas (GEF IEO 2011). A 2012 evaluation of GEF focal area strategies conducted by GEF IEO included a technical paper focused on climate change adaptation under the LDCF and SCCF, which affirmed the LDCF/SCCF strategy to be scientifically sound and based on UNFCCC COP guidance (GEF IEO 2013). As part of the Fifth Overall Performance Study (OPS5) of the GEF, SCCF was evaluated as part of Technical Document 3, which analyzed the implementation of GEF focal area strategies and found that a high proportion of SCCF projects address multiple focal area objectives within one focal area. Finally, as part of the Sixth Comprehensive Evaluation of the GEF (OPS6), a climate change focal area study was completed and published in 2017; this included discussion of the SCCF portfolio, drawing evidence mainly from the 2017 evaluation. Evaluative evidence on adaptation to climate change and SCCF was also synthesized in OPS6 from evaluations and special studies of GEF Trust Fund activities that included LDCF and SCCF projects.

The focus of this evaluation is on the developments since October 2016, which was the cutoff date for the 2017 evaluation of the SCCF (GEF IEO 2018b). The evaluation covers the relevance, coherence, effectiveness, efficiency, and additionality of the SCCF, and sustainability of outcomes, as well as a way forward for the SCCF in the evolving climate finance landscape.

This evaluation covers several themes and developments that were not the focus of the previous evaluation, most prominently private sector engagement and sustainability, reflecting changes in the GEF adaptation strategy and in the portfolio of the SCCF. Guidance from COP 23 encouraged the GEF to further enhance its engagements with the private sector. Although the previous GEF adaptation strategy did include some attention to enhancing private sector engagement in climate resilience, the current strategy has elevated this issue, including private sector engagement as the focus of the two strategic pillars of the strategy: (1) expanding catalytic grant and non-grant investments, and (2) supporting enabling environments for the private sector to act as an agent for market transformation. The pillars are aligned with the approach to private sector engagement that is articulated in the GEF-7 Replenishment Programming Directions (GEF 2018d). This evaluation therefore covers private sector engagement in SCCF for the first time. The portfolio review includes an examination of the ways in which SCCF projects either engage with private sector entities or include activities intended to improve the enabling environment for private sector engagement in climate resilience.

Special attention is also given to sustainability. The sustainability of GEF projects, or "the continuation/likely continuation of positive effects from the intervention after it has come to an end" is measured at completion through a rating that assesses risks to continuation of benefits from environmental, financial, sociopolitical, or other institutional factors in the country (GEF IEO 2019a). This SCCF evaluation will review the sustainability ratings of SCCF projects at completion and examine factors that have affected the sustainability of outcomes.

As with the previous SCCF evaluation, this evaluation assesses gender considerations. However, it follows a new approach, guided by changes in the GEF policies and requirements on gender and in line with the approach taken by the concurrent IEO evaluation of GEF policies (GEF IEO 2021a). In November 2017, the GEF adopted a new Policy on Gender Equality (GEF 2017) and in June 2018, the GEF adopted a gender implementation strategy (GEF 2018e). The GEF adaptation strategy states that "the proposed results framework includes relevant disaggregated indicators for men and women so that impacts and outcomes, and their gender relevance, can be tracked and analyzed" (GEF 2018a). The evaluation gathered evidence of the operationalization of the new GEF gender policy in projects approved after the policy was adopted. The evaluation also reviews completed projects for inclusion of gender considerations.

Regarding climate resilience, the GEF adaptation strategy follows the Intergovernmental Panel on Climate Change (IPCC) approach. The strategy states: "In line with the IPCC-defined scope of climate finance for resilience, the LDCF and SCCF seek to enhance resilience to the impacts of climate variability and the projected climate change" (IPCC 2014).[7] The GEF Secretariat first developed a programming strategy on adaptation to climate change for the LDCF and SCCF in 2010 to cover the GEF-5 period. New strategies were introduced in 2014 and 2018 for the GEF-6 and GEF-7 periods, respectively. Although the strategies have evolved over time, all have kept the common fundamental goal of increasing resilience to climate change in developing countries (GEF 2010, 2014, 2018a). This evaluation reviews recently approved projects for quality of design, in terms of the strategies under which they were approved and their performance in supporting developing countries to increase resilience to climate change.

Given the shifting focus of the evaluation to the role that the SCCF may be playing in the current climate finance architecture, a number of strategic questions on the future of the SCCF were included. These questions reflect the evolving purpose of this evaluation, which was informed by interviews with several stakeholders and a review of recent literature. The insights gathered through interviews conducted in the early phases of the evaluation with strategic thinkers and representatives of think tanks suggested that the focus of the evaluation needed to be twofold: a summative part that focuses on SCCF results to date, and a formative part that explores the prospects of the SCCF by discussing some unique roles that the SCCF could play in future. The design and conduct of this evaluation have therefore been both dynamic and evolutionary; the report has been refocused to take into account the striking diversity of views that were being gathered and the evidence that the evaluation team was finding over time. Those views suggested increasing the focus on strategic questions. Eventually, the main evaluation questions included:

- **Relevance.** Does SCCF support continue to be relevant to UNFCCC COP guidance, decisions, the GEF adaptation programming strategy, and countries' broader development policies, plans, and programs? How has lack of funding affected the relevance of the SCCF?

[7] The UNFCCC COP guidance on the SCCF (annex F) and GEF strategic objectives and pillars use IPCC definitions. Adaptation is a "process of adjustment to actual or expected climate and its effects. In human systems, adaptation seeks to moderate or avoid harm or exploit beneficial opportunities. In some natural systems, human intervention may facilitate adjustment to expected climate and its effects." Resilience is the "capacity of social, economic and environmental systems to cope with a hazardous event or trend or disturbance, responding or reorganizing in ways that maintain their essential function, identity, and structure, while also maintaining the capacity for adaptation, learning, and transformation" (IPCC 2018).

- **Coherence.** To what extent are SCCF projects complementary to interventions funded by other donors, such as the GCF?
- **Effectiveness.** How effective is the SCCF at strengthening the resilience of non–least developed country (LDC) developing countries?
  - What are the catalytic effects of SCCF projects?
  - What are the gender equality objectives achieved and gender mainstreaming principles adhered to by the SCCF?
  - To what extent has the SCCF engaged the private sector?
  - What are learned from implementation experience?
- **Efficiency.** What are the main factors affecting the SCCF's efficiency? How efficient has the Challenge Program for Adaptation Innovation preselection process been?
- **Sustainability.** To what extent are the results of SCCF support likely to be sustainable? What are the main factors affecting the sustainability of SCCF-supported outcomes?
- **Additionality.** What has been the additionality, both environmental and otherwise, of the SCCF? What is the value added of the SCCF?
- **Changing context of the SCCF in the climate finance architecture:**
  - How have the context and assumptions of the SCCF changed?
  - Is the SCCF still well suited to its purpose?
  - What role does the SCCF play in the climate finance architecture now?
  - How effectively has the SCCF filled the role it was intended to play and the gap it was intended to fill?
  - What should be the future niche or niches of the SCCF in the climate change architecture?
- **Question about the future of the SCCF:** for what purposes and how?
  - Do donors still believe in the value of the SCCF and would they fund it? If not, why not?
  - What should the SCCF really focus on to become a "special" fund?

1.2 Evaluation design

The evaluation used a mixed-methods approach that encompassed both quantitative and qualitative sources of data, information, and analytical tools. At the evaluation's onset, the team undertook a literature review of evaluations of the SCCF by the GEF IEO, the evaluation offices of GEF Agencies, and other sources, that had been conducted since the 2017 SCCF program evaluation. GEF-specific documents on the SCCF, including GEF and LDCF/SCCF Council and project documents, GEF Secretariat policies, processes, and related documents, and related interventions were reviewed. Academic and other literature on the fund, including documents and studies from independent think tanks and CSOs, were also included in the document review.

The team developed a portfolio analysis protocol, including a quality-at-entry review, to assess the projects systematically to ensure that key project-level questions were addressed coherently (annex E). The team applied the portfolio analysis protocol to projects that had reached completion and projects that had been approved at least at the PIF stage since the previous evaluation.[8] The team divided projects into two categories during the evaluation:

[8] Projects which had received PIF clearance are included for consideration. Canceled, dropped, pending, and rejected projects are excluded.

- The assessment reviewed all 33 completed projects for which terminal evaluations were available as of September 2020, the cutoff date for this evaluation (annex C). These 33 projects were all approved during the GEF-3, GEF-4, GEF-5, and GEF-6 periods. All had undergone a quality-at-entry review in 2017. The 2020 review for this group of projects focused on performance during implementation and results.
- The team reviewed all 10 projects that had received PIF approval between October 2016, the cutoff date for the previous evaluation, and September 2020, the cutoff date for this evaluation (annex C). The portfolio analysis protocol applied to these projects refers to the 2018 GEF adaptation strategy and its strategic objectives and pillars. Although this strategy was put in place halfway through the period covered, it still serves as an important reference for reviewing all projects submitted and approved in the past four years, as elements of the current strategy were also present in prior strategies.

Responses to the protocol were aggregated into a database, including information on project status, GEF Agency, focal area, executing partners, multitrust funds (MTFs), funding windows, activities, private sector involvement, additionality, relationship with GCF, risk, cofinancing, and gender. The information was gathered from a review of all available project documentation—project preparation grant requests, project identification forms (PIFs), requests for CEO endorsement or approval, project documents, project implementation reports, midterm reviews, terminal evaluations, and gender action plans. Aggregation of results allowed data analysis across the portfolio based on project status, GEF Agency, region, and country classification.

The evaluation team conducted interviews with senior management and staff of the GEF Secretariat, the GEF Agencies, the UNFCCC Secretariat, current and former GEF Council members, donors to the SCCF, the GEF focal points, and project implementers. Climate finance experts from independent agencies and think tanks were also consulted (annex D).

The team conducted analyses and triangulation of qualitative as well as quantitative data and information collected to determine trends and formulate main findings, lessons, and conclusions. The team used the evaluation matrix (annex B), summarizing the key questions, indicators or basic data, sources of information, and methodology to guide the analysis and triangulation between sources.

Finally, in line with GEF IEO practices, the team established stakeholder engagement and quality assurance measures for this evaluation. Drafts of the approach paper and the evaluation report were circulated and validated before being made final through a comprehensive stakeholder feedback process with key stakeholders. These include the GEF Secretariat, relevant GEF Agencies, the GEF Scientific and Technical Advisory Panel, and select GEF focal points. The coordinator of the Adaptation Fund's Technical Evaluation Reference Group Secretariat was an external peer reviewer, providing advice on the approach paper and evaluation report; an evaluation officer within the GEF IEO was an internal peer reviewer. Audit trails of comments and responses are available on the GEF IEO website.

1.3 Limitations

The evaluation was subject to limitations because of the small size of the SCCF portfolio and the limited number of projects that had reached approval or completion since the 2017 evaluation. Therefore, the evaluation covers recently approved projects and the full cohort of completed SCCF projects. Also, the evaluation shifted its focus to address the role the SCCF plays in the current and future climate finance architecture.

The COVID-19 pandemic and related travel restrictions prohibited country and project site visits; these were replaced with remote informant interviews. Key stakeholders were interviewed in four countries: El Salvador, Mongolia, Morocco, and Zimbabwe. Countries that had SCCF projects that had closed three to five years earlier were selected. The evaluation also encountered issues with arranging virtual interviews with a range of stakeholders who did not respond to interview requests; for the same reason, some key informants expected to be knowledgeable with issues of mitigation in selected sectors or economic diversification issues were contacted but they could not be interviewed. This evaluation was originally intended to be presented to the LDCF/SCCF Council in June 2021 and was delayed because of scheduling changes. The portfolio review was completed based on the original timeline, with a cutoff date of September 2020. The status of some projects in the portfolio may have changed since that time.

1.4 Context: The SCCF within climate finance

This section discusses the evolving context and focus of the SCCF within climate finance. The assessment was based on key literature from SCCF-relevant evaluations, journal articles, working papers or reports from think tanks and other funds, especially those published since 2017, but including publications from before that time.

Since the 2015 adoption of the Paris Agreement on climate change at COP 21, there have been significant changes in the architecture of climate funds. Since then, the "proliferation of climate funds has led to inefficiency in the channeling and delivery of finance" (Amerasinghe et al. 2017). Climate funds face several challenges to realizing their full potential. There has been some overlapping of roles and duplication of effort; this has reduced efficiency overall. There are also questions about how to improve coherence and complementarity and to respond to evolving developing country needs in order to enhance effectiveness; to "improve their effectiveness, funds should undertake operational and architectural reforms" (Amerasinghe et al. 2017).

A 2019 study by the Green Climate Fund Independent Evaluation Unit (GCF IEU 2019) conservatively placed developing countries' annual adaptation financing needs at $220 billion, based on a UNEP estimate of needs that was between $140 and $300 billion. Of this, the GCF—the largest of the climate funds—then covered only 2 percent of global needs. Against this need, rich countries are falling short of the pledge made at Copenhagen's COP 15 to channel $100 billion a year to less wealthy nations by 2020, with just shy of $80 billion given in 2019 and only $20 billion of that dedicated to adaptation (Timperley 2021). Compared with these estimates, the SCCF is a tiny financing mechanism within the global efforts to meet the global demand.

When the SCCF was created, the intention was that "it should prioritize adaptation." At that time, "few adaptation activities were eligible: only avoidance of deforestation, combating land degradation and desertification were included" (Dessai 2003). Also, at that time, developing countries "did not want the GEF to become the operating entity of the funds [LDCF/SCCF] because of its perceived bureaucratic complexity, namely, long periods between project approval and the disbursement of funds by its implementing agencies, competition between implementing agencies, the GEF policy of 'incremental costs'" (Dessai 2003). The "creation of three new funds [the Adaptation Fund, LDCF, and SCCF all work on adaptation] and the promise of certain Annex I Parties to contribute money to these funds, was in essence a quid pro quo for their acceptance of a watered-down Kyoto Protocol" (Dessai 2003).

The SCCF was designed to finance activities, programs, and measures related to climate change adaptation and technology transfer to all eligible developing countries, an objective confirmed at COP 21 in 2015. Guidance from COP 23 in 2017 encouraged the GEF "to further enhance engagement with private sector including its technology projects" (GEF 2018a). Different technologies for climate adaptation exist (UNFCCC 2006). In fact, technologies (defined as the application of scientific knowledge for practical purposes) do not exist only in industry and to address mitigation (solar panels, wind turbines, low-carbon energy sources, nuclear energy, etc.), but they also exist to address adaptation. UNFCCC (2006) lists different types of actual technologies for climate adaptation applied in various domains (coastal zones, water supplies, health, agriculture, infrastructure). ADB (2014) also lists several technologies for climate adaptation in the same fields identified by UNFCCC (2006); these also include technologies in transportation and disaster risk management.

The SCCF's dedicated technology transfer window (SCCF-B) has received less attention and funding over the past several years. However, the SCCF is the only climate fund with an explicit thematic window dedicated to technology transfer. While the SCCF's adaptation window received significant funding, four other funds exist that also support adaptation, with billions of dollars in combined resources. This has led to a suggestion that "SCCF's niche, if adequately resourced, could be in technology" and that "SCCF could focus solely on its technology window, and cede its work on adaptation" to other funds (Amerasinghe et al. 2017). Alternatively, an emphasis on technology would require refocusing the mandate of the SCCF, because its technology transfer window had received less funding than its adaptation window (Amerasinghe et al. 2017).

Given the many players in the climate finance space, the potential complementarity of SCCF funding to the adaptation efforts of the other climate funds (including the GCF) is described in the GEF adaptation strategy. The strategy also highlights the way in which the possible complementarity builds "on the unique features of the LDCF/SCCF and the GEF in the global environmental finance architecture" (GEF 2018a).

The GEF adaptation strategy also emphasized a focus on innovation. Both the SCCF and the LDCF are envisaged to be active originators and supporters of ideas and emerging practices, including the function to reducing the risk of (de-risking) climate investments. Both funds have the capacity to pilot test and vet emerging initiatives and reduce uncertainty and risk.[9] Also, "over GEF-6 there has been strong bilateral engagement with GCF, and examples have started to emerge of GEF pilots that have been selected for scaling up by the GCF. In GEF-7, the GEF anticipates consultative joint programming efforts with the GCF, where the GEF may finance innovative adaptation pilots to explore feasibility and adaptation potential, and the GCF scaling up selected initiatives" (GEF 2018a).

Within adaptation financing and technology, the SCCF has been recognized for its potential to play a de-risking role, acting as an incubator of innovations for projects that can be subsequently scaled up by other and larger funds (GCF IEU 2019).[10] The evaluation of the GEF's support for innovation associated innovation with frequent debates about the purported serious risks associated with it (GEF IEO 2021b). The expectation that the GEF is a dedicated

[9] This is connected to the idea of the potential role of the SCCF in reducing risks in projects and innovation (in technology).

[10] Other funds, such as the GCF, also aim to take risks and focus on innovation and replication, through a private sector facility that should make better use of its high-risk mandate to finance pioneering and replicable projects (GCF IEU 2019). "Its portfolio could include…start-up technologies, or early-stage funds and incubators or blended finance."

funding mechanism in response to global environmental problems was innovative in itself.[11] The GEF adaptation strategy highlighted a greater need for the GEF to support innovative and scalable activities to address the drivers of environmental degradation.

The GEF-7 Replenishment Programming Directions (GEF 2018d) also refers to GEF's advantage in being an innovator, incubator, and catalyst while actively seeking to effect transformational change. Discussions of innovation are frequently accompanied by statements about greater associated risks. A conclusion from a report on innovation by the GEF's Scientific and Technical Advisory Panel read in part: "the key issue for innovation in the GEF is risk" (Toth 2018). A comparison of the financial mechanisms under the UNFCCC suggests, with reference to the GCF, that "overreliance on certain factors that [the GCF finds] produce transformation, such as innovation, may cause an undue delay in project development. Innovative technologies may indeed take longer to develop, and they have the potential to exclude the local private sector, if it cannot operate new or innovative technology" (Kasdan, Kuhl, and Kurukulasuriya 2020). This also points again at the de-risking role of the SCCF and as an incubator of innovation for projects, including projects on technology "that in the future may be upscaled by other and larger funds, without delaying their pipeline."[12] Further, according to the GEF adaptation strategy, the SCCF (and the LDCF) facilitate "the development of initiatives with transformative potential at global and regional levels that may be too early or risky to be rolled out at the national level… Additionally, "[a]t the global and regional levels, the LDCF and SCCF address the existing gap in support for riskier emerging and innovative concepts, and help unlock larger scale financing from the private sector and other sources."

A further niche for the SCCF that has been recognized in the literature is to support adaptation to climate change in small island developing states (SIDS), which are the group of countries most vulnerable to the adverse impacts of climate change. The GEF adaptation strategy underscores the role for the SCCF in supporting cutting-edge solutions and methodologies in developing countries, including in the highly vulnerable non-LDCs. The strategy also intends the SCCF to support adaptation programming specifically in the 27 SIDS that are not LDCs (and that therefore cannot be served by the LDCF) but that still belong to the world's most vulnerable regions. In fact, "the majority of UN-designated SIDS are not LDCs and do not qualify for support through the LDCF. In these cases, the SCCF can fill a critical gap" and "SIDS will receive special consideration for SCCF programming." This points at a role for the SCCF in SIDS and to an interest of SIDS in seeking SCCF funding. This was recognized already in 2003, when SIDS (then called the Alliance of Small Island States) showed interest in the SCCF (Dessai 2003), and in a push for adaptation.

[11] Innovation in GEF is applied to supporting new technology, financial instruments, the removal of policy barriers, new business models, and institutional reforms. The term "innovation" was used for actions entirely new and/or untested, but often also for approaches for which there is no prior experience in a country or region, or in new circumstances. GEF documents, and IEO evaluations recognized the role of the private sector as source of innovation, and partner for sustainable financing and scaling up.

[12] In addition, some of the distinctive functions currently being fulfilled by the SCCF could be taken over by other funds in the future. For instance, the "GCF could establish an internal innovation hub focused on early-stage climate innovations. GCF could set up dedicated financing envelopes specialized at high-risk investments in small, untested but innovative concepts with a potential to scale up and/or be transformational. This could be in the form of a specialized internal fund…" and "GCF may reach out to incubators" (GCF IEU 2019).

The GEF adaptation strategy further underlines that initiatives targeting the specific priorities and needs of highly vulnerable non-LDCs, particularly SIDS, merit special consideration and that the GEF should consider how their unique adaptation needs can be served by the SCCF. Furthermore, eligibility for SCCF support beyond LDCs means that graduated LDCs may request adaptation support from the SCCF. Also, from a domestic policy perspective, enabling conditions exist in SIDS for such opportunities, since many SIDS countries have already started to mainstream climate resilience across sector planning and programming.

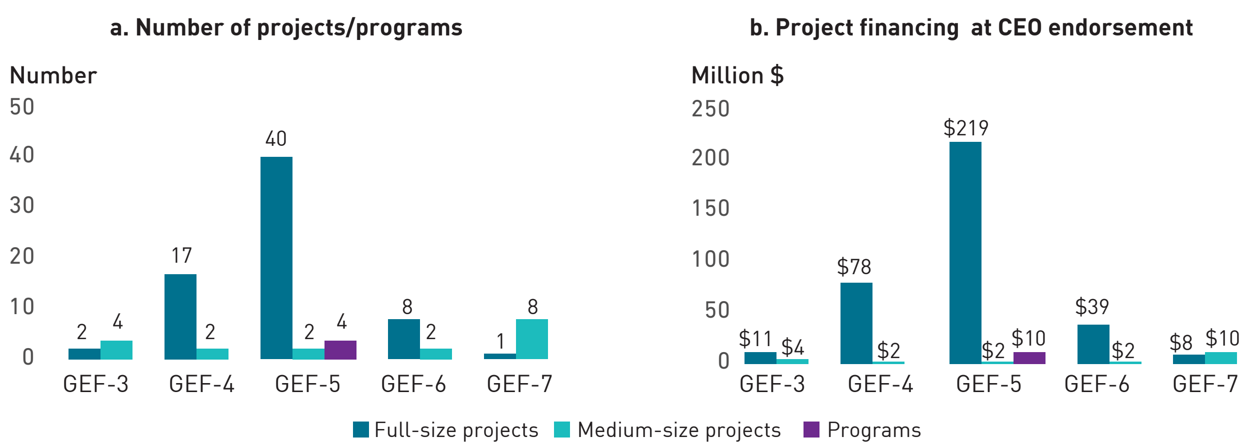
SCCF portfolio overview

This chapter presents an overview of both the entire SCCF portfolio, and the portion of the portfolio covered by this evaluation.

Eighty-six projects and four programs representing $385.1 million in grant funding have been approved, with the greatest share of funding approved in the GEF-5 phase (figure 2.1). The SCCF portfolio comprises 68 full-size projects, 18 medium-size projects, and four program framework documents. Twenty percent of the SCCF portfolio of projects and programs and 25 percent of the funding are in MTF projects ($97.9 million of $385.1 million). Fourteen of those were approved in the GEF-5 period and four were approved in the GEF-7 period. Although the most recent GEF adaptation strategy for LDCF and SCCF notes an intention for SCCF to use both grant and non-grant instruments to drive innovation with the private sector, no projects using non-grant instruments have been approved yet (GEF 2018a).

Figure 2.2 presents the SCCF portfolio by Agency share of projects and funding. As noted earlier,

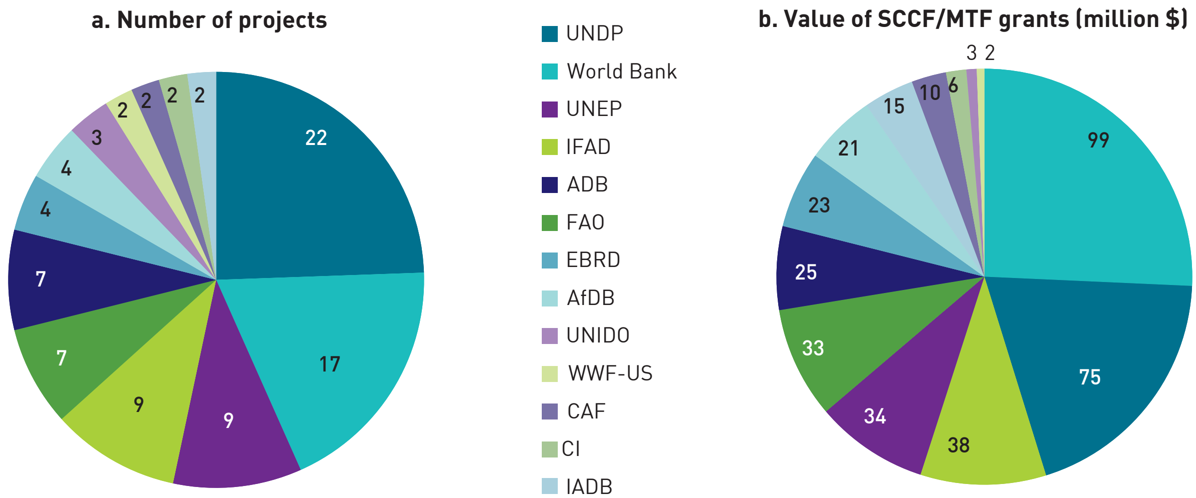
Figure 2.1 SCCF portfolio by GEF period and modality



Source: GEF Portal.

Note: Project financing includes Project Preparation Grant. Fees are excluded.

Figure 2.2 Agency share of SCCF portfolio by projects and funding

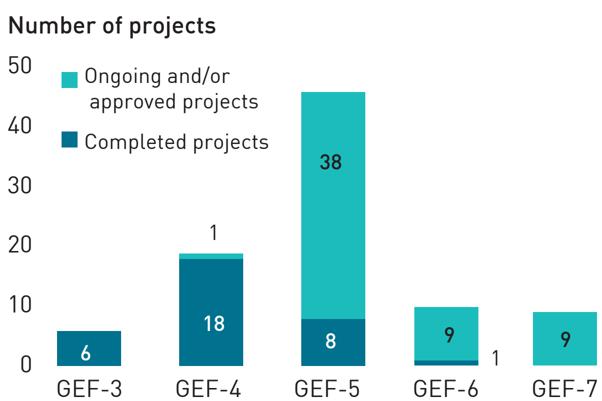


Source: GEF Portal.
Note: Grant funding includes Project Preparation Grant. Fees are excluded. Funding in US$ (million).

SCCF projects and programs have been approved for 13 Agencies, with UNDP having the largest share of projects or programs and the World Bank Group the largest share of funding.

Figure 2.3 presents the SCCF portfolio by project status. Of the 90 approved projects and programs, 33 are completed with terminal evaluations available; the others are either ongoing or approved but not yet started. Three of the four programs, all pertaining to the GEF-5 period, have one child project each under implementation.[1]

Figure 2.3 SCCF portfolio by status



Source: GEF Portal.

2.1 Evaluation portfolio composition

The evaluation portfolio includes 43 projects—33 completed and 10 recently approved. Recently approved projects are those that have been approved since the 2017 evaluation but have not begun implementation.

These 43 projects span the GEF-3–GEF-7 phases (table 2.1). The majority of completed projects were funded in the GEF-4 period. Fewer projects were funded in the GEF-5 and GEF-6 period, followed by an increase in the number of projects funded in the GEF-7 period. However, these projects have been relatively small in terms of funding, with a total SCCF financing of $18.34 million in SCCF funding

[1] A "child" project is one approved under the umbrella of a parent program, supporting an overall program objective.

Table 2.1 Breakdown of project funding by GEF replenishment period

GEF period	SCCF financing (million $)	Number of projects				
		Completed	Recently approved	Funding window SCCF-A	Funding window SCCF-B	Total
GEF-3	19.35	7	0	7	0	7
GEF-4	71.08	17	0	15	2	17
GEF-5	34.54	8	0	8	0	8
GEF-6	2.13	1	1	2	0	2
GEF-7	18.34	0	9	9	0	9
Total	145.44	33	10	41	2	43

Source: GEF Portal.
Note: *n* = 43 (33 completed projects and 10 recently approved projects).

covering nine projects in the GEF-7 period, lower than all previous periods except GEF-6.

There are six MTF projects in the evaluation portfolio, four recently approved and two completed. ADB and FAO each implemented two of these projects and the other two are implemented by UNIDO and WWF-US. Both FAO projects are multitrust with the GEF Trust Fund, while ADB had one project with the GEF Trust Fund and one project with the LDCF.

2.2 Analysis of the evaluation portfolio

Two of the four activity windows of the SCCF are not active, and some projects approved under window SCCF-A (adaptation) contain activities supporting window SCCF-B (transfer of technology). The SCCF was originally structured to support activities in four windows (figure 2.1). That structure still exists. However, as of March 31, 2021, the SCCF financial report prepared by the trustee show that 15 donors had pledged contributions to the first two windows, with $294.46 million pledged toward the SCCF-A window and $61.33 million pledged toward the SCCF-B window, with no pledges or contributions toward activity windows SCCF-C or SCCF-D (GEF 2021). No projects have been approved under these windows, while 78 projects have been approved under SCCF-A, 11 were approved under SCCF-B, and one project was approved under both. Among the evaluation portfolio, 41 of the 43 projects were funded under SCCF-A: Adaptation. The other two projects were funded under SCCF-B: Technology Transfer.

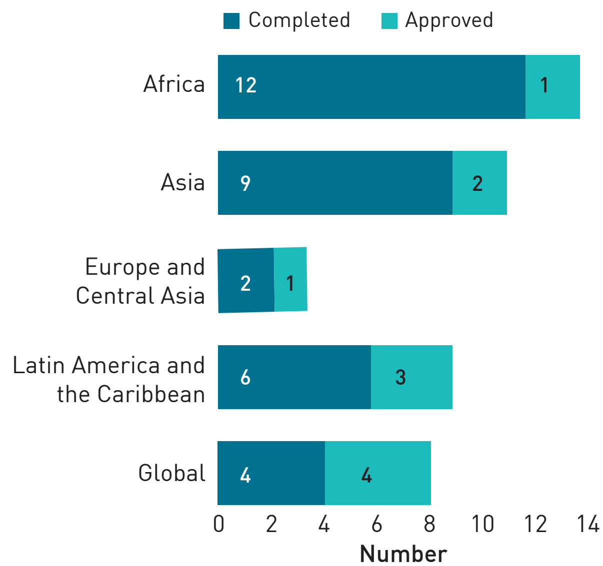
A review of project activities shows that 10 projects (23 percent of the total) funded under window SCCF-A contained activities associated with window SCCF-B. (None of the projects funded under window SCCF-B were found to contain activities associated with window SCCF-A.) Of these 10 projects, 4 are completed projects and 6 were recently approved. This suggests both complementarities and overlap between the two windows.

More recently approved projects include private sector cofinancing. The evaluation portfolio includes cofinancing from 10 different types of sources: beneficiaries, bilateral aid agencies, CSOs, international nongovernmental organizations, foundations and trust funds, GEF Agencies, local governments, national governments, the private sector, and other multilateral non-GEF agencies. Only one project had no cofinancing (figure 2.4). GEF Agencies have remained the largest cofinancer for recently approved projects, providing cofinancing to 8 of 10 projects. Five of 10 projects also received cofinancing from the private sector, compared with 5 of the 33 completed projects.

The regional distribution of the evaluation portfolio differs between completed and recently approved projects. Although the largest share of completed projects was in Africa, Africa is tied with Europe and Central Asia as the region least often represented in all recently approved projects that were reviewed. Four of the 10 recently approved projects have a global scope, versus four of the 33 completed projects (figure 2.5). Figure 2.6 shows the evaluation portfolio on a map.

The evaluation portfolio (table 2.2) contains projects in LDCs, SIDS, nations that are both LDCs and SIDS, and other developing nations that are neither

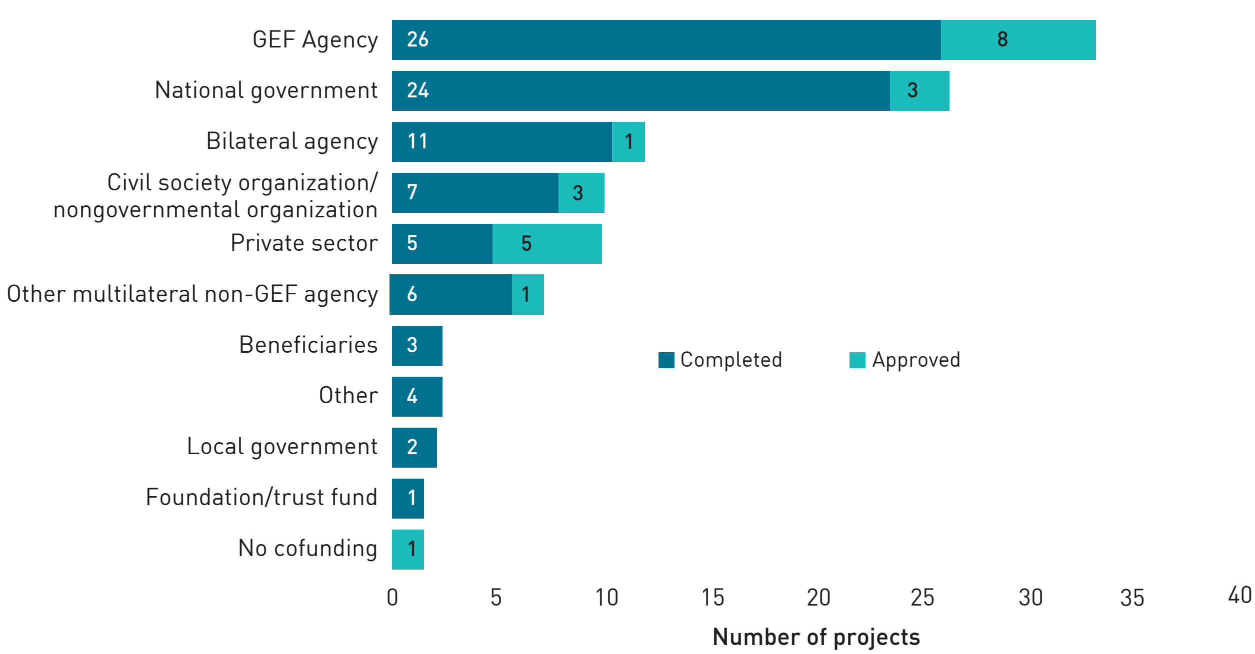
Figure 2.5 Completed and approved projects, by GEF region



Source: GEF Portal.

Note: n = 43 (33 completed projects and 10 recently approved projects). One recently approved project took place in two regions (Europe and Central Asia and Africa) but was not considered a global project.

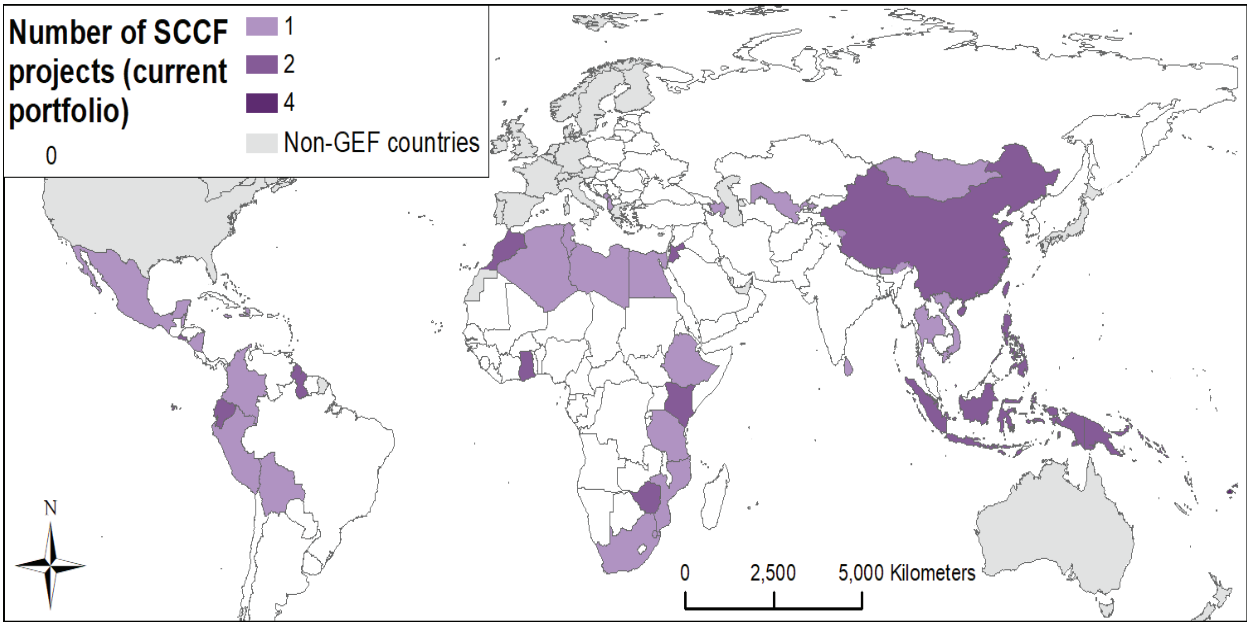
Figure 2.4 Categories of cofinancers in SCCF projects



Source: GEF Portal.

Note: n = 43 (33 completed projects and 10 recently approved projects). Some projects have more than one type of cofinancer.

Figure 2.6 Map of evaluation portfolio



Source: GEF Portal.

Table 2.2 Breakdown of projects by country type

GEF period	Number of projects				
	LDC	SIDS	LDC and SIDS	Non-LDC/SIDS	Total
GEF-3	3	1	0	3	7
GEF-4	0	0	2	15	17
GEF-5	0	0	1	7	8
GEF-6	0	0	0	2	2
GEF-7	0	1	2	6	9
Total	3	2	5	33	43

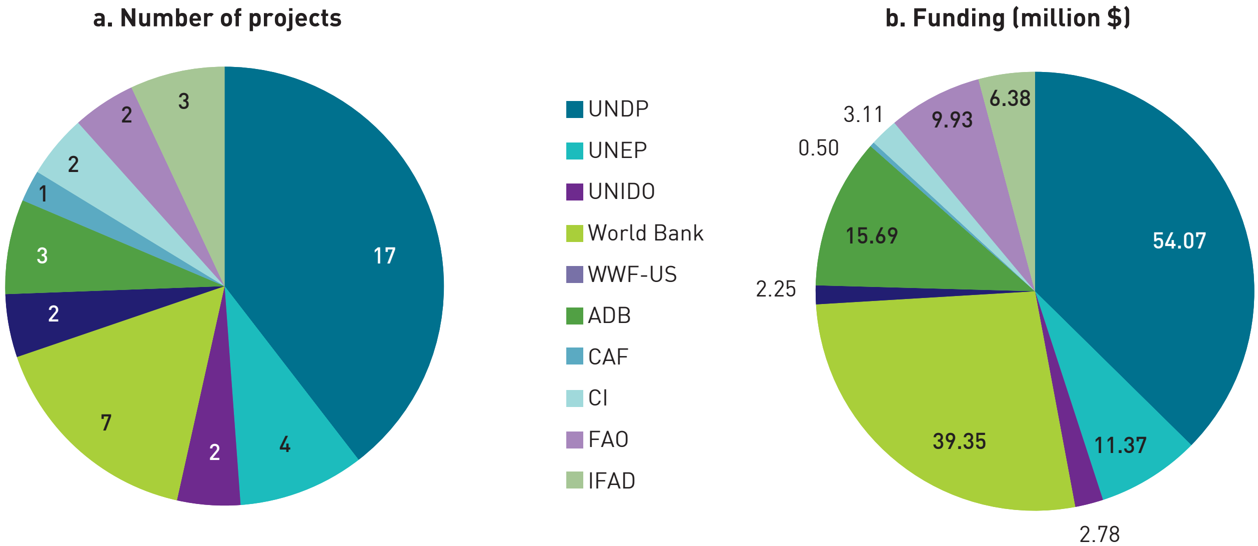
Source: GEF Portal.
Note: *n* = 43.

SIDS nor LDCs. Seventy-seven percent of projects are in countries that are neither LDCs nor SIDS. Three of the nine projects funded in GEF-7 are in SIDS.[2]

Figure 2.7 shows the breakdown of the evaluation portfolio by Agency share of projects and funding. Of the 13 Agencies represented in the evaluation portfolio, UNDP has had the largest share of projects, with 17 of the 33 completed projects. UNDP does not have any recently approved projects. CAF, UNIDO, and WWF-US are implementing half of the recently approved projects, although none had implemented any completed projects.

[2] These regional projects in SIDS represent 10 different countries: Antigua and Barbuda, Belize, Fiji, Grenada, Guyana, Haiti, Jamaica, Papua New Guinea, the Solomon Islands, and St. Lucia.

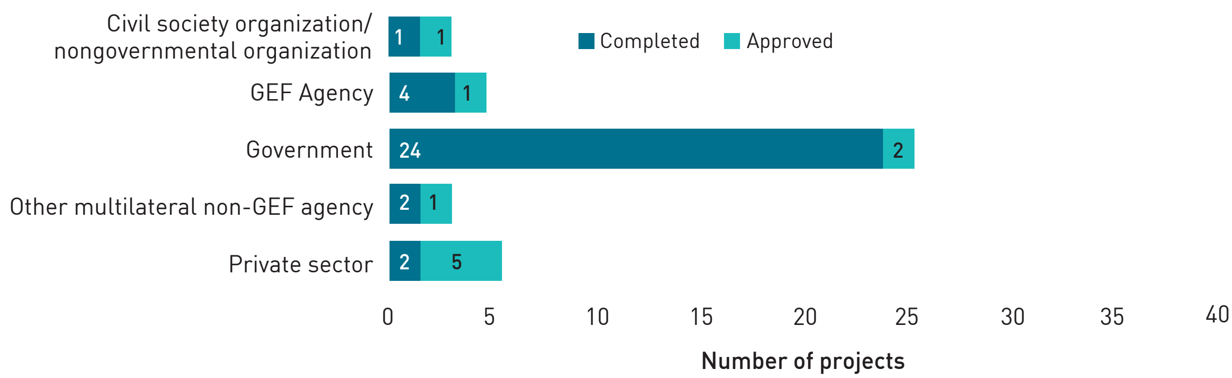
Figure 2.7 Agency share of evaluation portfolio by projects and funding



Source: GEF Portal.
Notes: *n* = 43. For projects co-implemented by two GEF Agencies, only the primary agency was counted.

Of the five types of executing partners represented in the evaluation portfolio, government partners executed more than 70 percent of completed projects (24 of 33). Only 2 of the 10 recently approved projects are executed by governments. Five of the 10 recently approved projects are executed by the private sector (figure 2.8).

Figure 2.8 Projects, completed and approved, by type of executing partner



Source: GEF Portal.
Note: n = 43 (33 completed projects, 10 recently approved projects).

Relevance of SCCF support

This chapter focuses on the key question: Does SCCF support continue to be relevant to UNFCCC COP guidance and decisions, the GEF adaptation programming strategy, and countries' broader development policies, plans, and programs? How has the lack of funding affected the relevance of the SCCF?

The 2017 SCCF evaluation found that SCCF support was highly relevant to UNFCCC guidance, GEF adaptation strategic objectives, and countries' national environmental and sustainable development goals. The quality-at-entry review included all 33 completed projects covered by the evaluation at entry. For this evaluation, the team reviewed the 10 projects approved since the 2017 evaluation (9 pertaining to the GEF-7 period, and 1 pertaining to the GEF-6 period) at entry for alignment, using the current GEF adaptation strategy.

3.1 SCCF relevance to UNFCCC COP guidance

The GEF adaptation strategy includes selected guidance from recent COPs relevant to the SCCF with corresponding actions proposed by the GEF Secretariat for the GEF-7 period (GEF 2018a). The evaluation team used these as a basis for assessing responsiveness to COP guidance in the SCCF portfolio of GEF-7 projects approved by September 2020 (the cutoff date for this evaluation). Although the portfolio is small at nine projects, it does provide evidence of responsiveness to COP guidance on nearly all fronts. (The cohort of 10 recently approved projects includes 1 project approved in the GEF-6 period. This project was omitted for analysis of relevance to COP guidance.)

Relevant COP guidance included encouragement of support to SIDS, enhanced engagement with the private sector, enhanced complementarity between operating entities and engagement with the GCF, mainstreaming gender, support for recently graduated LDCs, support for country-driven strategies, and alternative policy approaches, including joint mitigation and adaptation approaches. Annex G presents a table with the selected COP guidance, GEF Secretariat–proposed actions, and the number of GEF-7 SCCF projects that provide evidence of follow-through on these actions.

For most selected guidance, a number of projects align with GEF Secretariat–proposed actions. For example, in response to guidance from COP 23 to improve access modalities for developing countries, including SIDS, the GEF Secretariat noted that SIDS will receive special consideration for SCCF programming. A review of GEF-7 projects demonstrated this to be true, with three of the nine approved projects to be implemented in at least one SIDS country, compared with nine projects from all previous periods combined. One example is the Phase 1: Caribbean Small Island Developing States (SIDS) Multicountry Soil Management Initiative for Integrated Landscape Restoration and Climate-Resilient Food Systems (GEF ID 10195; FAO), a regional MTF project which blends SCCF and GEF Trust Fund resources to deliver climate-resilient sustainable land management and food security in eight SIDS.

In regard to a recommendation for enhanced engagement with the private sector and technology: four of the nine projects include promised cofinancing from the private sector, four have identified private sector partners, six have identified private sector entities as beneficiaries of project activities, and eight of the nine projects include activities that aim to increase private sector involvement (e.g., policy work to strengthen the enabling environment for the private sector). All nine GEF-7 projects included a connection to NDCs, NAPs, national adaptation programs of action (NAPAs), or other national policies, plans, or programs, consistent with COP guidance encouraging alignment of GEF programs with national priorities. Only the recommendation regarding support to countries recently graduated from LDC status showed low levels of responsiveness; none of the nine projects is to be implemented in recently graduated LDC countries. Other topics of selected guidance, including complementarity with GCF and integration of gender, are further explored in the coherence and effectiveness chapters of this report, but also showed strong responsiveness to guidance in the GEF-7 period.

3.2 SCCF relevance to the GEF adaptation strategy

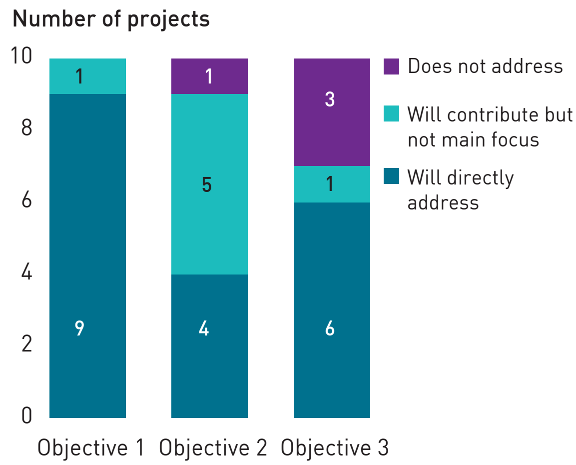
Following is a discussion of the 10 recently approved projects and their relevance to the current GEF adaptation strategy.

The 10 projects are most relevant to the first two strategic objectives (box 1.1). Project consistency with each strategy was assessed on a three-level scale: project will directly address this objective, project will contribute to this objective but not to the (main) focus, or the project does not address this objective.

All 10 projects are aligned with objective 1 to reduce vulnerability and increase resilience through innovation and technology transfer. Nine projects were directly in line with this objective; the other project contributed to this objective even though it was not the project's focus. Nine of the 10 recently approved projects were aligned with objective 2 (mainstream climate change adaptation and resilience). Seven of recently approved projects showed consistency with objective 3 (foster enabling conditions for climate change adaptation) (figure 3.1). Only 1 of the 10 recently approved projects was aligned with one objective, and 3 projects directly addressed all three objectives.

Among projects that directly addressed all three objectives is the Phase 1: Caribbean Small Island Developing States (SIDS) Multicountry Soil Management Initiative for Integrated Landscape Restoration and Climate-Resilient Food Systems (GEF ID 10195; FAO). This project aims to update soil data, including soil carbon data, to help participating countries design land degradation neutrality strategies and soil policies, and to inform the regional climate agenda. The Adaptation SME Accelerator Project (GEF ID 10296) also directly addresses all three objectives. Implemented by Conservation International, a GEF Agency just starting to work with the SCCF, this

Figure 3.1 Approved projects' consistency with adaptation strategy



Source: SCCF project design documents.
Note: $n = 10$.

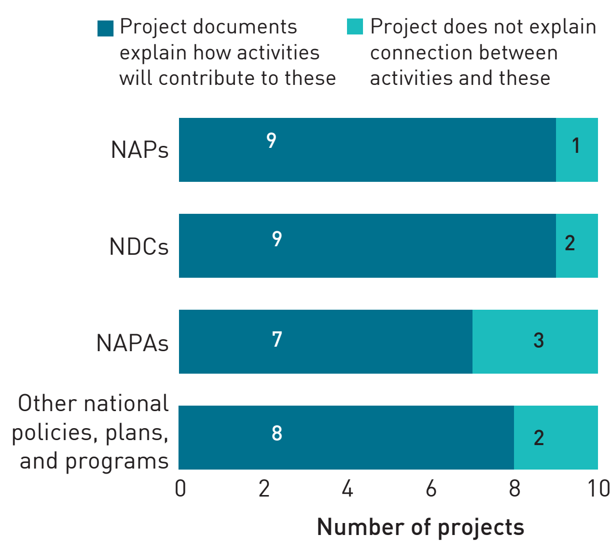
project is designed to map and incubate small and medium-size enterprises (SMEs) in developing countries and create networks to support adaptation-focused SMEs. The third project that directly addressed all three strategic objectives is Piloting Innovating Financing for Climate Adaptation Technologies in Medium-Sized Cities (GEF ID 10433; UNIDO). This project aims to provide cities with climate change adaptation solutions to increase their resilience through innovative capital expenditure planning and leveraging private financing mechanisms.

The 10 projects also show clear consistency with the two strategic pillars. For both pillars—expanding catalytic grant and non-grant investments and supporting enabling environments for the private sector—eight projects directly addressed the pillar and two projects contributed to the pillar even though it was not the main objective. Enhancing Regional Climate Change Adaptation in the Mediterranean Marine and Coastal Areas, implemented by UNEP (GEF ID 9690), the only recently approved project from the GEF-6 period, is one of the projects directly aligned with both strategic pillars. It plans to mainstream climate change adaptation into the integrated coastal zone management strategies and plans of participating countries throughout the Mediterranean region. Another project, Unmanned Aerial Vehicles (UAVs)/Drones for Equitable Climate Change Adaptation: Participatory Risk Management Through Landslide and Debris Flow Monitoring in Mocoa, Colombia (GEF ID 10438; CAF), which seeks to establish a robust landslide monitoring system, was found to align directly with the first pillar and align indirectly with the second pillar.

3.3 Relevance to countries' broader development policies, plans, and programs

All 10 projects have a strong relevance to national priorities. The portfolio review found that all 10 recently approved projects included a connection to NDCs, NAPs, NAPAs, or other national policies, plans, or programs (figure 3.2). Design documents for 9 of the 10 projects explained how they would

Figure 3.2 Alignment of approved projects with national policies, plans, and programs



Source: SCCF project design documents.
Note: $n = 10$.

contribute to NAPs and NDCs. Seven of the 10 projects included activities addressing NAPAs, and 8 of the 10 projects addressed other national policies, plans and programs. Because 7 of the 10 projects were at the PIF stage as of the evaluation cutoff date, the relevance between the projects and these national priorities was rated either as present or not present; relevance was not rated for its strength (figure 3.2).

One project which included activities addressing NAPAs and NDCs was the project Investment Readiness for the Landscape Resilience Fund (GEF ID 10436; WWF-US). Although this global project does not directly align with an individual country's priorities, projects funded by the Landscape Resilience Fund must show proof of alignment with NDCs and NAPAs.

Stakeholders interviewed at country level confirmed the continued relevance of SCCF support to national development policies, plans, and programs, regardless of the creation of other funds such as the GCF. Countries, especially SIDS, still need additional resources for climate change adaptation. For countries with completed SCCF projects, the support was very relevant in terms of capacity building, knowledge, and improved policies.

Coherence of the SCCF

This chapter centers on the key question of coherence: To what extent are SCCF projects complementary to interventions funded by other donors, such as the GCF, the GEF, and the LDCF?

4.1 Complementarity with the GCF

This review of complementarity with other funds focuses on the engagement of the SCCF with the GCF. It is based on the portfolio review and on feedback from interviewed stakeholders, who confirmed that the SCCF has great potential for complementarity with other interventions, especially the GCF. Further, the GEF adaptation strategy included a review of COP guidance, as well as encouragement to the GEF to engage with the GCF. This evaluation looked for evidence of complementarity with other funds, including the GCF, in both instances of direct efforts at joint programming and instances where SCCF interventions may have paved the way for work with GCF in-country, even without a direct partnership.

One-third (11 of 33) of completed projects show evidence of complementarity with the GCF in terminal evaluations or interviews, including the scaling up and replication of SCCF work with follow-on GCF funding. Although these projects were designed before guidance for increased complementarity with the GCF was issued, and during the period when the GCF was still becoming operational, opportunities to use SCCF project activities to support GCF work or GCF funding were often developed during implementation. The most direct examples are five projects that led to follow-on funding for scaling up or replicating activities by the GCF. One is the project Adaptation to Climate Change in the Nile Delta through Integrated Coastal Zone Management (GEF ID 3242; UNDP), which developed a funding proposal that was approved by the GCF to replicate and scale up the components of the project. The GCF project will scale up outcome 1, which focuses on strengthening the regulatory framework and institutional capacity to improve coastal resilience and development infrastructure, including information and budget management, climate risk mainstreaming, and an institutional framework for coastal adaptation. The project Scaling Up Adaptation in Zimbabwe, with a Focus on Rural Livelihoods, by Strengthening Integrated Planning Systems (GEF ID 4960; UNDP) guided UNDP to submit a proposal to the GCF that was approved in March 2020.[1] The GCF project will use resilience building techniques developed for this project in 15 districts experiencing similar climate change challenges. Another project, the Pilot Asia-Pacific Climate Technology Network and Finance Center (GEF ID 4512; ADB), conducted feasibility studies for energy storage in the Cook Islands and a pre-feasibility study for solar, wind, and energy storage in Tonga that were used to help secure GCF financing, with GCF projects approved in 2017 and 2018, respectively. Although they were not reflected in project documents, stakeholder interviews revealed that two additional projects—Climate Change Adaptation to Reduce Land Degradation in Fragile Micro-Watersheds Located in the Municipalities of Texistepeque and Candelaria de la Frontera (GEF ID 4616; FAO, El Salvador) and Mongolia Livestock Sector Adaptation Project (GEF ID 3695; IFAD)—led to larger GCF projects. The GCF project in Mongolia (Improving Adaptive Capacity and Risk Management of Rural Communities in Mongolia[2]) uses the same community group approach developed in the GEF project for building resilience in nomadic, pasture communities.

SCCF projects have also increased country partners' capacity to secure financing from GCF. Examples include the project Integrating Climate Change in Development Planning and Disaster Prevention to Increase Resilience of Agricultural and Water Sectors (GEF ID 3967; World Bank), which led to the accreditation of the executing agency, the Agence pour le Développement Agricole, as an implementing agency of both the Adaptation Fund and the GCF. The ADB project noted above (GEF ID 4512) developed knowledge products related to the GCF and supported the development of GCF readiness proposals in countries.

A large share of recently approved projects discuss complementarity with the GCF in design, with 6 of 10 projects including plans for linkages with GCF-funded projects or detailing potential collaboration with the GCF. Among recently approved projects, there is evidence of thought given at the design stage to collaboration with the GCF, with discussion of GCF initiatives in-country and how the project might feed into those initiatives, in project design documents. Examples include the already-mentioned project UAVs/Drones for Equitable Climate Change Adaptation (GEF ID 10438; CAF), which supports the GCF Readiness Programme and the project Partnerships for Coral Reef Finance and Insurance in Asia and the Pacific (GEF ID 10431; ADB). The project plans to share lessons learned with GCF to be used in a project on coastal resilience in the Philippines that does not focus on coral reefs.

4.2 Multitrust fund projects

MTF projects are inherently complementary because they combine SCCF resources with other GEF-managed funds. The SCCF portfolio has been trending toward increased use of MTF projects, with four of the nine projects approved during the GEF-7 period combining funds from SCCF with the LDCF or GEF, and 20 percent of all approved SCCF projects being MTF projects. This shift is in line with a focus in the GEF adaptation strategies on expanding synergies with other GEF focal areas.[3]

[1] Source, Green Climate Fund Projects and Programmes, accessed October 2021.

[2] Source, Green Climate Fund Projects and Programmes FP141, accessed October 2021.

[3] The second pillar of the previous GEF adaption strategy was devoted to expanding synergies with other GEF focal areas approved in 2014. The current strategy, introduced in 2018, notes COP guidance to promote synergies across focal areas. Annex III of this strategy also outlines new programming features designed to facilitate countries' ability to program MTF projects combining GEF Trust Fund and LDCF/SCCF resources (GEF 2014, 2018a).

Interviewees note as benefits of MTFs, the ability to generate multiple environmental benefits, specifically in terms of climate change mitigation and adaptation, and that MTF projects can help developing countries achieve their commitments when reporting to the UNFCCC in both adaptation and mitigation aspects.

All four of the MTF projects approved in the GEF-7 period are regional or global in scope. Three of the four projects are medium-size projects funded by SCCF and LDCF and approved under the Challenge Program (GEF IDs 10431, 10433, and 10436), all with a focus on private sector financing to increase climate resilience. The largest MTF project in terms of financing, and the only recently approved SCCF FSP, is Phase 1: Caribbean Small Island Developing States (SIDS) Multicountry Soil Management Initiative for Integrated Landscape Restoration and Climate-Resilient Food Systems (GEF ID 10195; FAO). This multifocal area project combines SCCF and GEF funding and addresses both the climate change and land degradation focal areas. This project represents many of the goals expressed in the of the GEF adaptation strategy, including support for regional initiatives, synergies with GEF focal areas, and initiatives targeting SIDS.

The two completed MTF projects have shown satisfactory results and led to follow on GCF projects. In terms of performance there is limited evidence on MTF projects with SCCF funding, as only two such projects are completed with terminal evaluations available; the regional Pilot Asia-Pacific Climate Technology Network and Finance Center (GEF ID 4512; ADB), and Climate Change Adaptation to Reduce Land Degradation (GEF ID 4616; FAO) in El Salvador. Both these projects, which were approved with blended funding from the GEF Trust Fund and SCCF, were rated moderately satisfactory for achievement of project outcomes. As described in the previous section, both these projects also laid the foundation for follow on GCF projects. The FAO project in El Salvador was followed up with a $35.8 million GCF project, Upscaling Climate Resilience Measures in the Dry Corridor Agroecosystems of El Salvador (RECLIMA), which scales up and builds on the lessons learned through the SCCF/GEF project.[4]

[4] Source, Green Climate Fund Projects & Programmes FP089, accessed November 2021.

Effectiveness of the SCCF

This chapter focuses on how effective the SCCF was at strengthening the resilience of non-LDC developing countries, whether the gender equality objectives were achieved, whether the SCCF adhered to gender mainstreaming principles, to what extent the SCCF engaged the private sector, and what lessons were learned from implementation experiences.

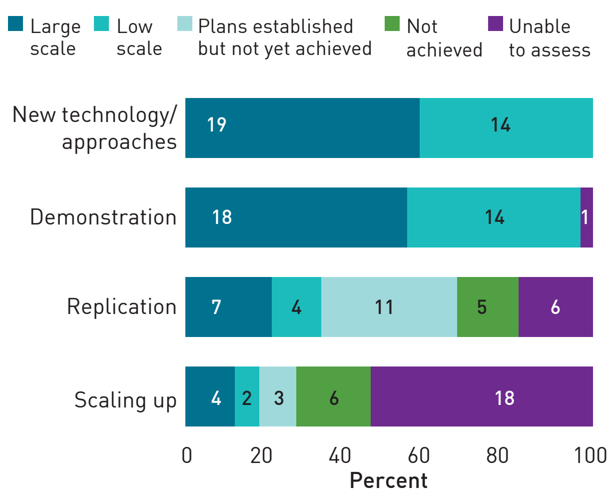
5.1 Catalytic effects

The evaluation team reviewed all 33 completed SCCF projects for the extent to which they have been catalytic in the following ways:

- **Introduction of new technologies and approaches.**
- **Demonstration.** After the introduction of new technologies and approaches, demonstration sites, successful information dissemination, or training was implemented to catalyze the new technologies or approaches.
- **Replication.** Activities, demonstrations, or techniques were repeated, inside or outside the project.
- **Scaling up.** Approaches developed through the project were taken up on a regional or national scale, becoming widely accepted.

All completed projects developed or introduced new technologies or approaches, with 58 percent (19 of 33) producing them at a large scale (figure 5.1**)**. Similarly, nearly all projects (32 of 33) demonstrated new technologies and approaches through training or demonstration sites. An example of a project that was found to introduce and demonstrate new approaches at a large scale is

Figure 5.1 Catalytic effects in completed projects



Source: SCCF project design and performance documents.

Climate Change Adaptation to Reduce Land Degradation (GEF ID 4616; FAO), which introduced participants to new agricultural and land management approaches to combat climate change and increased their knowledge of climate change.

As past evaluations have found, replication and the scaling up of projects are higher bars to achieve than introduction and demonstration of new technologies and approaches, especially by project end. Thirty-three percent of projects (11 of 33) achieved replication and 18 percent (6 of 33) had been scaled up by project end, based on evidence available in performance documents. The project on fragile micro-watersheds in El Salvador (GEF ID 4616) noted earlier did not show evidence of replication or of being scaled up by project end, for example, and the evaluation was unable to assess the project on both dimensions.

5.2 Outcome areas

All 33 completed projects resulted in strengthened institutional capacity. With 56 percent (19 of 33) of the projects engaging in training for participants or project management, training was the most common type of institutional capacity. For many of these projects, training focused on risk screening and technology, both of which are in line with the SCCF's additionality on adaptation and technology. Information sharing and outreach, and development of manuals, guidelines, or plans for climate change mainstreaming and adaptation were also commonly seen forms of institutional capacity additionality, with 45 percent (15 of 33) and 30 percent (10 of 33) of completed projects, respectively. Other types of institutional capacity results included the development of an index-based insurance scheme, needs assessments, monitoring, and acquisition of new software and technologies.

One project that strengthened institutional capacity in multiple ways is the Design and Implementation of Pilot Climate Change Adaptation Measures in the Andean Region project (GEF ID 2902; World Bank). This regional project in the Andes Mountains resulted in the introduction of new software and technologies for monitoring glacier dynamics, the creation of meteorological monitoring stations, and the establishment of a technical partnership with the Meteorological Research Institute in Japan. Additional capacity was built through the development of watershed management plans and vulnerability assessments of local critical sectors. Another project, Mainstreaming Adaptation to Climate Change into Water Resources Management and Rural Development (GEF ID 3265; World Bank, implemented in China), provided climate adaptation training to more than 74,000 farmers, developed more than 170 documents on adaptation policies and activities, helped households implement climate adaptation measures on more than 20,800 hectares of land, and established more than 1,000 water user associations.

Innovation, which is a core niche of the SCCF, was present in more than 90 percent (30 of 33) of completed projects. This evaluation used the innovation ratings based on an established definition of innovation (box 5.1). SCCF projects frequently introduce innovative approaches to produce adaptation benefits and sustainable financing opportunities. For example, the project Strengthening Climate Resilience in Rural Communities in Nusa Tenggara Timor Province (GEF ID 4340, UNDP) was innovative because it was the first climate change project in Indonesia, and it included pilot projects to mainstream climate change in three regions with communities with a likelihood of risk or failure. Another project, Scaling Up Risk Transfer Mechanisms for Climate Vulnerable Agriculture-based Communities in Mindanao (GEF ID 4967, UNDP) introduced a novel weather-index–based insurance program for farmers to the community.

Seventy-six percent (25 of 33) of SCCF projects included field-based interventions to produce

Box 5.1 Working definition of innovation

Innovation is defined as doing something new or different in a specific context that adds value:

- Innovation is new in a specific context.
- It represents an improvement compared to conventional alternatives (e.g., better quality, scale, efficiency, sustainability, replicability, or scalability of outcomes).
- It catalyzes or produces environmental benefits, and may also result in socioeconomic benefits related to the target environmental benefits.
- It could be associated with risks and higher likelihood of failure.

Source: GEF IEO 2021b.

direct environmental or adaptation benefits. These benefits were delivered in areas such as climate-smart agriculture (supported by 36 percent of all completed projects [12 of 33]), and access to water resources (supported by 30 percent of completed projects [10 of 33]). Two other common themes in environmental or adaptation results were increases in access to climate data, such as rainfall data, and restoration of land, each found in about 21 percent (7 of 33) of completed projects. The Promoting Value Chain Approach to Adaptation in Agriculture project (GEF ID 4368; IFAD) is one of the projects with climate-smart agricultural additionality. More than 40 local varieties and 14 improved varieties of cassava were planted. This project also created nurseries and fenced woodlots under improved management practices and distributed rain gauges in project districts, increasing participants' access to rainfall data. The previously mentioned Pilot Asia-Pacific Technology Network and Finance Center, which included the introduction of low-carbon technologies in Asia and the Pacific, was one of the few projects with measurable mitigation benefits, with an estimated reduction of more than 3 million tons of greenhouse gas emissions in portfolio companies through 2025.

Thirty-six percent (12 of 33) of projects resulted in the strengthening or the development of climate policies and plans. For example, the project Integrating Climate Change Risks into Water and Flood Management by Vulnerable Mountainous Communities in the Great Caucasus Region of Azerbaijan (GEF ID 4261; UNDP) resulted in the amendment of the law on water economy of municipalities to include climate risk management, which was also adopted on the national level. Other projects codified regulations and standards and developed manuals for updating policies. In Mexico, the project Adaptation to Climate Change Impacts on the Coastal Wetlands (GEF ID 3159; World Bank) resulted in the development of many different plans, including plans for wildlife conservation, management, and sustainable utilization units, land use planning plans in Alvarado and Tabasco, and a management plan for the protected area of the Sian Ka'an Natural Reserve.

Three completed projects resulted in distinct socioeconomic benefits based on the evidence available in performance documents. Two projects, both previously mentioned in this evaluation, Scaling up Adaptation in Zimbabwe (GEF 4960; UNDP) and Mainstreaming Adaptation to Climate Change into Water Resources Management (GEF 3265; World Bank), clearly resulted in increased incomes of project participants. That result might not have been achieved without SCCF interventions to improve both land and markets for agricultural production. The third project with socioeconomic benefits, Climate Change Adaptation to Reduce Land Degradation in Fragile Micro-Watersheds (GEF ID 4616; FAO, El Salvador), helped project participants form micro-enterprises such as bakeries and maize leaf handicrafts to supplement their agricultural production.

Several projects supported sustainable financing. One example is the Strengthening the Resilience of Post Conflict Recovery and Development to Climate Change Risks in Sri Lanka project (GEF ID 4609; UNDP). This project developed a fruit buy-back program with a private sector company for more than 150 commercial pineapple farmers and more than 40 other fruit farmers who were growing guava, passion fruit, and pomegranates. The Irrigation Technology Pilot Project to Face Climate Change Impact in Jordan (GEF 4036; IFAD) arranged zero-interest loans with the Ministry of Agriculture and the Agriculture Credit Corporation for purchasing climate-smart equipment for agriculture. Other projects leveraged additional cofinancing and funding, developed local funds, and created financial strategies to accompany climate plans and strategies.

5.3 Country partner perspectives

The views of representatives of GEF Agencies, of the GEF Secretariat staff, of the UNFCCC, and validations of those views with the sample of countries confirm that the SCCF has generally been effective and is considered a source of funding that is easier to access than other funds. The main areas where it is perceived as being effective are technology transfer for adaptation, innovation in adaptation, processes to access funding and the call for proposals, resilience (especially in the areas of agriculture and land degradation), vulnerability reduction, knowledge sharing, capacity building, and support for activities that otherwise would not get funded. This is especially true for non-LDC countries that cannot access other types of GEF or outside funding, and for project ideas that test and implement innovative actions and new technologies (for adaptation) and help reduce the risk of future larger projects.

Several cases of initial promising results are specifically provided for SIDS. The role played (or that could be played) by SCCF projects and the results obtained in increasing the adaptive capacities and reducing the vulnerability of SIDS is cited often, and not only by SIDS representatives. One example is the Conservancy Adaptation Project (GEF ID 3227; World Bank), a completed project implemented in Guyana. This project, which aimed to reduce coastal flooding, included both structural and nonstructural (e.g., pre-investment studies) activities to decrease the vulnerability of coastal communities. As noted in the relevance chapter, three recently approved projects will provide support to SIDS. One such project is Partnerships for Coral Reef Finance and Insurance in Asia and the Pacific (GEF ID 10431; ADB). This project will provide financing through public-private partnerships to increase climate resilience in coastal communities in Fiji, Indonesia, the Philippines, and the Solomon Islands. Another is the regional MTF project, Phase 1: Caribbean Small Island Developing States (SIDS) Multicountry Soil Management Initiative for Integrated Landscape Restoration and Climate-Resilient Food Systems (GEF ID 10195; FAO), that mainstreams climate resilience into sustainable land management and food security interventions in eight SIDS.

5.4 Gender

At the project inception phase, there is a trend toward gender mainstreaming. Gender was reviewed at the CEO endorsement/PIF stage for all projects, and at the terminal evaluation stage of completed projects. At the project design phase, only 9 percent (3 of 33) of completed projects conducted—or planned to conduct—a gender analysis, compared with 7 of 10 recently approved projects. Similarly, 6 percent (2 of 33) of the completed projects included—or planned to develop—a gender action plan, and 7 of 10 recently approved projects did so. This is corroborated in the development of sex- and gender-disaggregated indicators: 39 percent (13 of 33) of completed projects included sex- or gender-disaggregated indicators or plans to develop them in their design, while 9 of 10 of recently approved projects either included them or included plans to develop them. Completed projects were designed before the current gender policies and guidance were issued, so this trend is not unexpected. However, it is a positive development in the portfolio.

Gender mainstreaming is not consistent across completed projects. Some 39 percent (13 of 33) of completed projects collected gender-disaggregated indicators, while 82 percent (27 of 33) of completed projects reported on gender. Even with a greater emphasis on gender from project inception throughout the lifetime of the SCCF, only 10 percent (3 of 33) of completed projects generated socioeconomic benefits for women. Illustrative examples from projects include the Irrigation Technology Pilot Project to Face Climate Change Impact in Jordan (GEF ID 4036; IFAD), with limited inclusion of gender considerations or gender analysis; the Climate Change Adaptation to Reduce Land Degradation in Fragile Micro-Watersheds project (GEF ID 4616; FAO, El Salvador), which had a moderately satisfactory gender rating, with gender monitoring that was included in the later stages of the project; and a project in Thailand, Strengthening the Capacity of Vulnerable Coastal Communities to Address the Risk of Climate Change and Extreme Weather Events (GEF ID 3299; UNDP) that incorporated gender aspects and also ensured that women held key management roles.

MTF projects display similar trends to the full evaluation portfolio in terms of gender mainstreaming. Neither of the completed MTF projects included or planned to develop a gender analysis nor a gender action plan, while one of the four of the recently approved MTFs planned to include a gender analysis and three of the four planned to include a gender action plan. This trend is also seen in the results frameworks that include sex- or gender-disaggregated indicators. One of the two completed projects, compared with all four recently approved projects, included or plan to included sex- or gender-disaggregated indicators. The completed projects also follow the portfolio trend that gender mainstreaming is not consistent across completed projects. Although both projects reported on gender in their terminal evaluations, only one project collected disaggregated indicators and the other generated socioeconomic benefits for women.

Completed projects provide evidence of SCCF gender outcomes. The Pilot Asia-Pacific Climate Technology Network and Finance Center regional project (GEF ID 4512; ADB) had a goal of reducing women's traditional roles of collecting water and fuelwood so that they could engage in more productive economic activities. The project, which launched a New Energy Leaders Program to foster entrepreneurs shaping the future of clean energy in the region, included five women (out of 18 total participants) in the 2017–18 cohort.

The Strategic Planning and Action to Strengthen Climate Resilience of Rural Communities in Nusa Tengarrara Timor Province (GEF ID 4340; UNDP) included both gender- and sex-disaggregated and gender-sensitive indicators. For example, under outcome 1, 222 government staff were trained to support climate resilience planning—163 were male and 59 were female; 264 government staff were trained to map climate vulnerability and risk—202 were male and 62 were female; 328 extension workers were trained in the agricultural sector —243 were male and 85 were female. Twenty-five government officials attended the climate field training school—21 male and 4 were female; and 263 participants attended trainings on the climate change adaptation and disaster risk reduction nexus and on drought disaster contingency planning.

Another project, Adaptation of Nicaragua's Water Supplies to Climate Change (GEF ID 4492; World Bank) indicated that 45 percent of the 11,951 (5,377) community members who participated in more than 270 environmental education and sensitization events hosted by the Water Supply and Sanitation Committees were women. Specifically, on Corn Island, 64 percent of training participants (4,289 of 6,702) were women. In addition, the executing agency, the Lightsmith Group LLC, of the project Structuring and Launching CRAFT: The First Private Sector Climate Resilience and Adaptation Fund for Developing Countries (GEF ID 9941; Conservation International) signed on to the Panel Pledge.[1] At COP 24 in Poland, Lightsmith Group organized a panel on this project that included four women and one man.

Interviews revealed a mixed picture about the degree of advancement on gender equality and mainstreaming objectives attributable to SCCF projects. The progress over the past four years is acknowledged by most interviewees. However, the perception—particularly by some of the GEF implementing agencies—is that the progress is not necessarily, or only, the result of the GEF's recently enacted gender policy (a finding already recognized in the 2017 SCCF evaluation) but is rather the result of the GEF Agencies' own gender policies, which were already in place. Within to the GEF, however, the presence of the gender policy helped to put gender considerations more explicitly, proactively, and regularly on the agenda for all GEF–implemented trust funds.

[1] The panel pledge states that "At a public conference, I won't serve on a panel of two people or more unless there is at least one woman on the panel, not including the Chair."

5.5 Private sector engagement

The GEF adaptation strategy has put an emphasis on engagement with the private sector. Although the previous GEF adaptation strategy included some attention to enhancing private sector engagement in climate resilience, the current strategy has elevated this issue, including private sector engagement as the focus of the two strategic pillars of the strategy: (1) expanding catalytic grant and non-grant investments, and (2) supporting enabling environments for the private sector to act as an agent for market transformation. The portfolio review included an examination of the ways in which SCCF projects either engage with private sector entities or include activities intended to improve the enabling environment for private sector engagement in climate resilience, guided by the models for private sector engagement outlined in the GEF adaptation strategy. Specifically, the evaluation team reviewed completed projects for engagement in the following ways: delivery of cofinancing from the private sector, mobilization of private sector investments or leveraged funds from private sector, project partnership with private sector entities, participation of private sector entities in project activities, or implementation of activities that aimed to increase private sector involvement (e.g., policy work to strengthen the enabling environment).

While 82 percent (27 of 33) of completed projects included plans to engage the private sector at project design, there is evidence of private sector engagement for only 55 percent (18 of 33) of completed projects at the terminal evaluation stage (table 5.1). In cases where project designs included plans for engagement with the private sector, but the plans did not materialize, project design documents frequently noted that the private sector would be a key stakeholder without mentioning specific private sector entities. Examples of private

Table 5.1 Projects with planned and realized private sector engagement

	Plans for private sector engagement at entry		Evidence that private sector engagement occurred by project end	
	Percent	Number	Percent	Number
Completed projects (*n* = 33)	82	27	55	18
Recently approved projects (*n* = 10)	100	10	Not applicable	Not applicable

Source: SCCF project design and performance documents.

sector engagement from completed projects include the Scaling Up Risk Transfer Mechanisms for Climate Vulnerable Agriculture-Based Communities project (GEF ID 4967; UNDP) in the Philippines, with private sector executing partners with capacity building for partner insurance companies to engage in resilience in agricultural communities; and the Scaling Up Adaptation project in Zimbabwe (GEF ID 4960; UNDP) with a strong private sector engagement to develop value chains to link farmers with private sector entities in markets for livestock and agricultural practices.

All recently approved projects include plans to engage the private sector in some capacity—through inclusion of private sector partners or beneficiaries, activities to increase private sector engagement, or expectation of leveraging of private sector funding. Several recently approved projects identify private sector engagement as their main focus. One example is the Blended Finance Facility for Climate Resilience in Coffee and Cacao Value Chains (GEF ID 10434; UNEP), executed by a private bank in El Salvador. The Financial Tools for Small Scale Fishers in Melanesia project (GEF ID 10437; WWF-US)—which aims to improve resilience to the adverse impacts of climate change in small-scale fisher communities in Fiji and Papua New Guinea—will be executed by a private sector partner, the firm Willis Towers Watson, with expertise in risk management and insurance-related mechanisms to build resilient economies.

Other examples that stood out from the interviews are projects that included technologies promoted by the private sector to reduce climate risk and vulnerability and to finance enterprise development, and projects that catalyzed private sector investments for resilience. One example of the former is the recently approved Adaptation SME Accelerator Project (GEF ID 10296, Conservation International). This project aims to incubate SMEs in developing countries and create networks to support SMEs with adaptation focuses. An example of the latter is Investment Readiness for the Landscape Resilience Fund (GEF ID 10436; WWF-US), which is a recently approved project that has already used its small grant to catalyze $25 million from Chanel. Piloting Innovative Financing for Climate Adaptation Technologies in Medium-Sized Cities (GEF ID 10433; UNIDO) is a recently approved project that is executed by the Climate Technology Center and Network. This project aims to develop and pilot a financing toolkit for cities that will help improve capital expenditure planning and access private financing mechanisms to adopt climate change adaptation solutions.

All six of the MTF projects indicate plans to engage with the private sector at the design phase. These forms of engagement span all the types of engagement described in the effectiveness chapter. However, of the two completed MTF projects, only one (GEF ID 4512) had engaged with the private sector at the terminal evaluation phase. This project leveraged an estimated $350 million in private capital for greenhouse gas emissions reduction. One of the recently approved projects, Investment Readiness for the Landscape Resilience Fund

(GEF ID 10436; WWF-US), will be implemented by a private sector partner, South Pole Carbon Asset Management LTD, and will aid small businesses that are developing climate-resilience projects to access private investment.

Challenge Program projects are delivering with limited funding. The Challenge Program for Adaptation Innovation was introduced in 2018 as the main vehicle for engaging the private sector in the SCCF. Although the program is still in relatively early stages, there are some indications that the program has been able to generate some results. For example, proponents of one of the Challenge Program for Adaptation Innovation projects, the Blended Finance Facility for Climate Resilience in Coffee and Cacao Value Chains (GEF ID 10434; UNEP, El Salvador), report that the seed funding from the Challenge Program for Adaptation Innovation has helped secure a $5 million credit line—10 times the seed funding amount.

5.6 Lessons learned

The portfolio review for completed projects collected lessons learned in seven areas: communications and stakeholder involvement, project management, monitoring and evaluation, content-technical lessons, private sector engagement, gender, and others.

More than half of projects included lessons learned on communication and stakeholder involvement. These lessons fit into four subcategories. First, local participation should be incorporated throughout the project, including project design, and projects should reflect the needs of local communities. Second, at the project inception phase, stakeholders should engage in long-term planning that includes a communications and information dissemination plan. Third, capacity-building support for multi-stakeholder engagement has to be provided. Fourth, there must be stakeholder ownership, especially for government partners. For instance, the previously cited project in the Philippines (GEF ID 4967; UNDP) recommended signing a Memorandum of Agreement between stakeholders.

Lessons learned on project management most often refer to building in considerations for sustainability. For example, project design must mainstream climate change adaptation and should consider both short-term and long-term strategies. Project design should include an exit strategy, should be designed to be self-sustaining following the project's closing, and should include a replication strategy. Other lessons learned focused on project management, which must be proactive and include specialists, key stakeholders, resources for institutional capacity, and project participants.

Lessons learned on monitoring and evaluation include: monitoring frameworks must be individualized for participating countries, GEF Agencies, and the GEF Secretariat; indicators that also capture intangible benefits should be used, as in the example of the coastal communities project in Thailand (GEF ID 3299, UNDP); monitoring should occur in the long-term and continue after completion; training and capacity building have to be provided for monitoring; and, for projects that are jointly implemented, there should be independent mid-term and terminal evaluations.

Content-technical lessons learned are highly specific to the individual projects, such as in the Strategic Planning and Action to Strengthen Climate Resilience of Rural Communities in Nusa Tenggara Timor Province (GEF ID 4340; UNDP), which promoted community facilitation of project activities to empower women, and the Adaptation to Climate Change through Effective Water Governance project (GEF ID 2931; UNDP), which is one of the few projects to include lessons on private sector engagement. These cases suggest that the private sector should be directly involved in project design, implementation, and scaling up. Two themes that came through are that climate change should be mainstreamed and capacity building and training are necessary preliminary steps for introducing and utilizing technologies.

Other lessons learned are that small-grant operations impose heavy transaction costs and should be integrated into broader programs, and that significant accomplishments can still be made with small grants. This finding was one of those most frequently confirmed through the interviews. Several stakeholders, GEF Agencies, GEF Secretariat staff, the UNFCCC, and the operational focal points' country informants reveal that the main lessons learned are directly linked to the areas discussed above, and that the SCCF is known for having achieved results with limited funding. The interviews also reveal that the main lesson learned was the need for greater and more proactive engagement with the private sector; however, the engagement of the private sector was not sufficiently documented through the views of stakeholders.

Efficiency of the SCCF

This chapter addresses issues of SCCF efficiency. It reviews factors affecting the SCCF's overall efficiency and the efficiency of the Challenge Program for Adaptation Innovation preselection process.

The 2020 LDCF program evaluation compared the efficiency of GEF, LDCF, and SCCF projects during implementation, finding that the three funds were largely in line in this area. The SCCF projects performed better in terms of timely completion, with lower average project extension in months—an average of nine months, compared with 13 for the other funds—and a lower share of project extensions of two years or longer. Only 10 percent of SCCF projects required two or more extra years to reach completion, compared with 17 percent for the other funds (GEF IEO 2020a). Rather than revisit this analysis, this evaluation focuses questions of overall efficiency and on the efficiency of the recently introduced Challenge Program for Adaptation Innovation and its preselection process.

Donor support to the SCCF has been limited and narrow since 2014. The SCCF does not have a formal resource mobilization process and relies on voluntary contributions. Since the establishment of the SCCF, the top six donors have been Germany, the United States of America, Belgium, Norway, the United Kingdom, and Switzerland. After 2014, however, only $21.87 million has been contributed to the fund, all from Switzerland (annex I). Comparatively, since 2014, more than $6,758.38 million has been pledged to the GEF Trust Fund, $652.62 million to the LDCF, $681.96 million to the Adaptation Fund, and $15,035.76 million to the GCF.

The limited and unpredictable nature of the resources available for programming has restricted the number of projects that can be financed. This evaluation confirms the findings of the 2017 SCCF evaluation that SCCF's resources continue to be completely inadequate to meet demand (GEF IEO 2018b). Since the 2017 evaluation, only 10 new projects have reached the threshold of PIF approval, and they are smaller in size than projects approved in earlier GEF periods. The GEF Agencies, project proponents, and country stakeholders interviewed lamented the limited resources available where there is a growing demand for funding, especially for SIDS that are not LDCs. The lack of funding continues to make some GEF Agencies reluctant to develop proposals, therefore when SCCF resources do become available, the time needed to develop proposals slows down the project cycle. The GEF Secretariat has noted as well that this lack of funding makes it challenging to raise the visibility of the SCCF through communication and branding without raising expectations on the part of recipient countries that the SCCF cannot meet.

Of the 10 recently approved projects, 7 are under the Challenge Program for Adaptation Innovation that is financed by both the SCCF and LDCF. On August 1, 2019, the GEF Secretariat issued a call for proposals based on resource allocation, application modality and eligibility, preselection criteria for proposals, and financial terms presented in a December 2018 Council document (GEF 2018c).

Although the preselection process for the Challenge Program for Adaptation Innovation has attracted new partners it has been cumbersome. The GEF Secretariat has invested a substantial amount of time and effort in the preselection process to finance only nine MSPs. In response to the call for proposals, the Challenge Program for Adaptation Innovation received 388 three-page concept notes from 343 different organizations for LDCF and SCCF funding (GEF 2019). Ninety-two percent of the concepts were submitted by non-GEF Agency proponents including private sector entities (GEF 2019). A preselection process aimed to prioritize concepts before entry into the formal GEF project cycle so the number of proposals would match the LDCF/SCCF funds available for the Challenge Program for Adaptation Innovation (GEF 2018c).

Based on the preselection criteria, multiple GEF Secretariat staff reviewed the submitted concepts. They short-listed 82 projects for further review by a technical review committee and recommended a set of finalists for consideration by the GEF's CEO. Nine project concepts (2.3 percent) were selected to advance to PIF preparation and review as MSPs, for 1.80 percent of the approximately $550 million requested (GEF 2019). Seven of the nine Challenge Program for Adaptation Innovation projects received funding from the SCCF. Three of these projects (GEF ID 10431, 10433, and 10436) were MTFs that also received funds from the LDCF. In total, these projects received $6.46 million in financing from the SCCF (GEF 2019). For concepts that were submitted directly by non-GEF Agency proponents, the GEF Secretariat facilitated partnerships with appropriate GEF Agencies to serve as implementing agencies. New partners include commercial financial institutions, a commercial producer, a consulting firm, an academic institution, and two multi-sectoral actors (GEF 2019).

The large number of concepts indicate an overwhelming demand for funding innovation in adaptation technologies that the LDCF/SCCF could not meet. This high response could also be seen as an opportunity for the SCCF to fill a niche not being filled by other donors. Interviews with project proponents and GEF Agencies participating in the Challenge Program for Adaptation Innovation have revealed mixed experiences. Some found the overall application and selection process efficient, even more efficient than the GCF's process for funding projects of similar size. Others found the call for proposals structure itself difficult and the process lengthy and complex, especially when there was a need to keep the private sector engaged.

Additionality and sustainability of the SCCF

This chapter looks at the factors that could affect the additionality of the SCCF and the sustainability of outcomes. The analysis focused on the 33 completed projects. The results assessment was informed mainly by the evaluation's portfolio review; interviews with key stakeholders allowed validating the portfolio-level results analysis. The following questions are addressed:

- What has been the additionality, both environmental and otherwise, of the SCCF?
- To what extent are the results of SCCF support likely to be sustainable?

7.1 Additionality

GEF additionality represents the additional outcomes that can be directly connected with the GEF-supported project or program (GEF IEO 2020b). The GEF IEO classifies additionality in six areas: specific environmental additionality, and legal and regulatory, institutional and governance, financial, socioeconomic, and innovation.

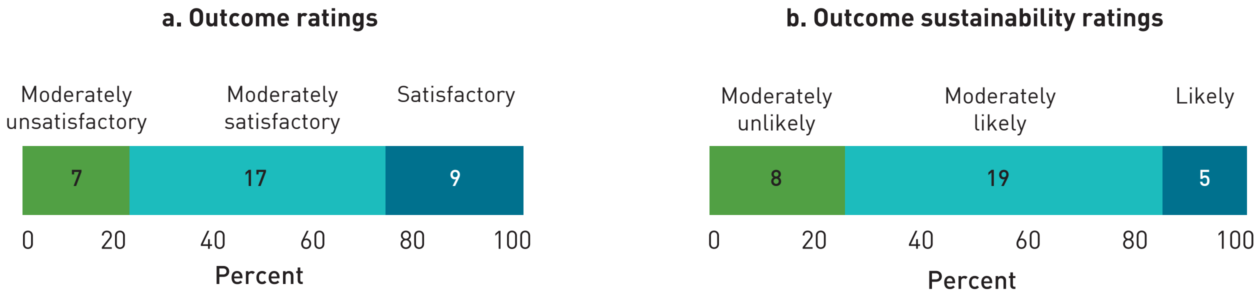
As noted in the effectiveness chapter, the portfolio review confirmed that SCCF projects are resulting in outcomes in all these areas, most prominently in the area of institutional capacity. In addition to this discussion of additionality at the project level, the SCCF has additionality as a fund. The SCCF provides benefits and opportunities for investing in adaption and technology transfer for non-LDC developing countries, including for SIDS and middle-income countries, through projects that are innovative and that allow reduced risk in climate investments. These aspects of additionality were introduced in the earlier section on the context and the SCCF within climate finance. Key findings will be discussed in the chapter on the role of the SCCF within the evolving context of climate financing, including niches where the SCCF is perceived to be unique and additional.

7.2 Sustainability

Seventy-nine percent of completed projects had outcomes ratings in the satisfactory range, and 75 percent had outcomes that were considered likely to be sustained (figure 7.1).[1] The performance of SCCF projects is comparable with that of GEF Trust Funds projects, for which a cumulative 80 percent of completed projects are rated in the satisfactory range for outcomes and 63 percent are

[1] One project did not have a sustainability rating.

Figure 7.1 Outcome ratings and likelihood of sustainability of outcomes in completed projects



Source: GEF IEO terminal evaluation review data set.

rated in the likely range for sustainability (GEF IEO 2021c).

- **Many project- and context-related factors affect the sustainability of projects.** In the portfolio review of completed projects, terminal evaluations were reviewed to identify factors that both contributed to and hindered the likelihood of sustainability. Table 7.1 presents the main factors discussed in the project documentation. The categorization of context-related factors and of project-related factors were modeled after those from the 2020 LDCF program evaluation (GEF IEO 2020a). All terminal evaluations included information on project-related factors affecting the likelihood of outcome sustainability, while only 27 percent included context-related factors. Most context-related factors acted to hinder the likelihood of sustainability; they included poor infrastructure, natural disasters, and changes in the national government. Among project-related factors that contributed to sustainability, the largest number of projects noted adaptive management, followed by effective coordination between executing partners, strong project design, and effective stakeholder engagement. Weak preparation and readiness, weak monitoring and evaluation, expected cofinancing that did not materialize, lack of continued and predictable funding, and weak project management were the most frequently noted project-related factors perceived to hinder the likely sustainability of project outcomes.

Interviews with representatives from GEF Agencies and with country-level stakeholders highlighted continued and predictable financing as the key factor for sustainability. Where there is a viable financial mechanism that is predictable and allows continued project activities and benefits over time, sustainability is more likely, but the lack of a predictable financial flow is often seen as the main challenge. Follow-up funding (from the GCF and the GEF) was most often mentioned as an option to sustain SCCF project outcomes. Four such examples are provided in the coherence chapter. One project with predictable funding is the global Structuring and Launching CRAFT: The First Private Sector Climate Resilience and Adaptation Fund for Developing Countries (GEF ID 9941; Conservation International). It established the first private sector climate resilience and adaptation investment fund and technical assistance facility for developing countries. It was designed as a long-term fund and is likely to be sustained.

Some stakeholders also indicated the additional negative impacts of the COVID-19 pandemic on the economy and project sustainability for completed as well as ongoing projects. For example, the Promotion of Climate-smart Livestock Management

Table 7.1 Factors that help or hinder sustainability of project outcomes

Positive factors contributing to sustainability	Negative factors hindering sustainability
Context-related factors	
• Stable government (1) • Strong presence of other donors (4)	• Change in national government (2) • Poor Infrastructure (3) • Natural disaster (2) • Financial shock (1) • Political unrest (1)
Project-related factors	
• Adaptive management (13) • Effective coordination between executing partners (8) • Effective stakeholder engagement (6) • Strong project design (6) • Gender mainstreaming (4) • Financing realized or obtained (3) • Good policy and development base in country (3) • Strong monitoring and evaluation (3) • Incorporation of lessons learned from past projects (2) • Connection to other initiatives (1) • Effective use of learning exchanges (1) • Recruitment of technical experts (1) • Strong country ownership (1)	• Weak preparation and readiness (14) • Weak monitoring and evaluation (13) • Expected cofinancing did not materialize or lack of funding (10) • Weak project management (9) • Staff turnover or delays in recruitment (8) • Weak stakeholder engagement (8) • Insufficient capacity on project team (6) • Lack of country ownership (3) • Insufficient project implementation time (2) • Project not linked with other relevant initiatives (2) • Absence of technical advice (1) • Delays in funds disbursement (1)

Source: SCCF project performance documents.

Note: Number of projects are indicated in parentheses for each factor.

Integrating Reversion of Land Degradation and Reduction of Desertification Risks in Vulnerable Provinces project (GEF ID 4775; FAO) experienced delays in implementation. One completed project, Structuring and Launching CRAFT: the First Private Sector Climate Resilience & Adaptation Fund for Developing Countries (GEF ID 9941; Conservation International) noted that fundraising for the CRAFT fund (created by the project) was slowed down by the pandemic, especially during the first and second quarters of 2020, but that the pace has resumed since then (GEF IEO 2021c).

SCCF role in the evolving context of climate finance

This chapter reflects on the future of the SCCF, based on the analysis of interviews with past and current SCCF donors, GEF Agencies, the GEF Secretariat, GEF Council members, operational focal points, and independent think tanks. It contemplates specific niches in which the SCCF is believed to add value, and how the fund's donors, and countries eligible for its funding, think of the SCCF. The analysis explores how the context in which the SCCF operates has evolved over recent years, particularly since the most recent evaluation, and what role the fund could play in the current climate finance space.

There is evidence and general recognition that the SCCF has been effective and that its interventions produced small-scale but tangible results. Its continued relevance, however, and ultimately its future, are contingent on ensuring predictable funding flows, on redefining its purpose in line with the evolving climate finance architecture, and on the existence of complementarity with other emerging climate funds, especially funds that are active in climate change adaptation. Implementers of SCCF projects believe that the fund is still needed; it is considered to be more easily accessed and to have less cumbersome procedures than comparable climate funds, and to deploy resources faster. It is also seen as a fund that can support activities that represent a flexible preliminary step to test innovative ideas and also pilot-test novel approaches through smaller projects, which could be replicated or scaled up through the other, larger climate funds.

There is recognition in the global debate on climate change finance of the roles that the SCCF may be playing in the future within the changing climate finance architecture. This is the case even though the SCCF is small and has had continued funding challenges in recent years. Many of the international interviewees recognize that the global climate finance architecture has evolved as other funds have grown. The SCCF remains an integral part of the UNFCCC and Paris Agreement. As noted earlier, the main areas of results for the SCCF are technology transfer for adaptation, facilitating innovation in adaptation, supporting the reduction of vulnerability to climate change, knowledge sharing and capacity building, (especially in non-LDCs), and funding project ideas that test and implement innovative actions. Interviewees also made it clear that, in general and in their perceptions, there is no viable emerging alternative for effective financing models in the SCCF's areas of focus.

There is, however, a perception by some of the stakeholders that the SCCF has had reduced visibility, within the GEF and in general, which limited the attention that was paid to it by the GEF and its donors. It is also perceived by some key stakeholders that there has been inadequate communication about the SCCF, and limited concrete efforts to brand it actively, attractively, and distinctively with its donors, with countries, the GEF Agencies and project proponents, and the public. Stakeholders also noted that at the project level SCCF activities are often associated more with GEF or the GEF Agency implementing a project than with the SCCF, diminishing the visibility of the SCCF as a funding source. Past GEF IEO evaluations recognized this trend as well.

The SCCF remains, in the views of most stakeholders at different levels, a fund that has distinct roles for some and unclear and unfocused roles for others. In this respect, virtually no stakeholders recognize the continued relevance of the SCCF in the original SCCF-C and SCCF-D windows. These windows have received no interest or funding during the fund's life and, in reality, never opened. The SCCF is believed to retain its relevance and to play significant roles mainly within window SCCF-B. In SCCF-B, the SCCF has, and can retain, a niche and remain a "special" fund in the senses described below. Stakeholders also agree that the SCCF should continue its work through window SCCF-A within the context of adaptation in the GEF and with a stronger focus on SIDS.

A repurposed SCCF that brings together transfer of technology and innovation within the overall context of adaptation in non-LDCs, could therefore represent the most viable and appropriate approach, and also a door for the SCCF to step through into the future. There are several signs of an urgent need to sharply refocus the SCCF toward areas of clear added value that exist already within the fund, and that donors could fund as novel ways for supporting adaptation technology transfer. Because of its perceived lack of focus and purpose, however, the SCCF has had difficulty attracting donors.

The main recognized role and the potential future for the SCCF are therefore in funding technology transfer, within adaptation. It is believed that this potential for tangible effects on climate change lies especially in emerging economies and in the non-Annex I wealthier countries that are also not LDCs or were recently graduated from LDC status. The SCCF remains the only global fund with a dedicated technology transfer window (e.g., in the climate adaptation areas of agriculture, irrigation, infrastructure, etc.). Within that role, there is a wide demand for the SCCF to keep funding innovation, mainly within technology transfer and through technologies and innovative approaches applied to adaptation to climate change.

The SCCF is seen by many as an incubator for riskier technology transfer projects in adaptation that may be suited for subsequent upscaling. Given the inherent risks of innovation and technology transfer, the SCCF is often seen as having the potential to reduce risk in pilot projects that are aimed at experimenting with innovative approaches and with technologies. Informants also consider that the SCCF has proven to have a catalytic potential for subsequent larger investments. The evidence that can corroborate those perceptions, however, is limited by the small number of SCCF recent projects that are available for review—and the available evidence can support such views only to a limited extent.

There are also indications that the SCCF can play useful roles in funding innovation by facilitating the engagement and mobilization of the private sector, especially at country level. However, in the view of most stakeholders, facilitating the engagement and mobilization of the private sector is associated with both the existence of proper strategies to engage the private sector and with an increased use of public-private blended finance. To promote the use of blended finance within the GEF, there were some suggestions to repackage the SCCF, perhaps as a form of venture within the GEF.

Another element that shows the potential of investing in the SCCF is the promising modality represented by the Challenge Program for Adaptation Innovation. Despite the large mismatch between the limited funds available and the many submissions received, the Challenge Program for Adaptation Innovation has been very popular. It has included several projects that fall within the trend of funding innovation by facilitating the engagement and mobilization of the private sector.

In terms of geographic scope, as well as strategic positioning for the SCCF, there is a high demand for the fund to play a greater role in SIDS, particularly those that are non-LDC countries and that remain most vulnerable to climate impacts. It is believed that the SCCF can fund adaptation, mainly through window SCCF-A, in highly vulnerable, middle-income, non-Annex I countries that cannot access LDCF but are eligible to access grants-based financing through the SCCF. Despite the very high vulnerability of SIDS to climate change, only 8 SIDS of the United Nations list of 38 are LDCs. It is only through the SCCF that the GEF can support adaptation in the other SIDS. In general, and also in the views of SIDS representatives, the SCCF is perceived as a proven and tested source of funding that is easy to access, flexible, and suited to smaller countries that are heavily exposed to the impacts of climate change—countries that do not have the skilled workforce in-country needed to design projects and have only a limited capacity to handle the complex project preparation requirements demanded by many larger funds.

Most donors are not considering the SCCF; many do not think of funding it at all. The small size of SCCF projects and the limited scale of overall funding is one factor that makes the SCCF unattractive to donors. Making too many distinct pledges, with scarce resources going into different funds and only small amounts disbursed from each, while the same amount of reporting is required for each project, adds transaction costs for donors compared with giving to fewer and larger funds. This is not practical for the larger donors. Even the few donors that are still considering supporting the SCCF may soon shift their funding to the larger and more visible funds, or to those that are small but that are easier to make attractive to public opinion in their countries and their constituencies, such as the LDCF. Another factor is the rise of the GCF and the promise it is supposed to fulfill, which have been given as reasons why some donors have been shifting pledges away from the SCCF. Although that shift away from the SCCF had begun before, it has clearly increased since 2015, when the first projects were approved at the GCF. The reality—represented by the virtual absence of pledges and funding in recent years, confirmed through interviews with donors—is that most donors did not recently and do not intend to fund the SCCF in future. The reasons given for not funding were not linked to the fund's performance. Some informants suggested that removing the activity windows that had proved unattractive to donors (and had never received any pledges) and refocusing the fund toward adaptation projects having clear innovation and technology transfer components could attract donor support.

As long as the SCCF remains relevant, there is no convincing and objective rationale behind a decision to close it down. As revealed in the discussions with the UNFCCC and with other strategic thinkers that informed this evaluation, there has been and still is low momentum and little attention for the SCCF. However, key stakeholders believe that the decision to keep the fund running or, alternatively, to shut it down, would be a political decision at the level of the UNFCCC and COP that goes beyond their remit. Also, there appears to be no clause in the Paris Agreement or in the Convention that points at the possibility of shutting down the SCCF. It is precisely for such political reasons that it may not be feasible to close the SCCF; in fact, some developing countries, oil-exporting countries, countries recently graduated from LDC status, and SIDS, may not easily agree with a scenario in which a fund with the features of the SCCF and its core thematic niches would not be accessible anymore. That said, several past and recent donors have been expressing clearly that they would have no reservations in considering the possibility of closing the SCCF.

Given the consistent positive performance by the SCCF, if closing the fund comes to be the preferred option, there should first be clear and independent proof that other funds that might fill the SCCF's niches are indeed delivering on their promises, especially in areas where the SCCF is known to have some value added. However, more data (evidence as well as independent evaluations) are needed to prove the performance of those other funds and in the thematic areas of activity and niches that have been recognized for the SCCF.

Maintaining the SCCF in a semidormant state is seen by some stakeholders as an option that may turn out to be useful one day if other funds do not deliver fully or convincingly in the SCCF's value-added areas. Although it is always possible for the Convention to create new funds to meet new emerging needs, the option of keeping some existing funds open, even if functionally semidormant due to the absence of new funding, may be more practical in the short- to mid-term than closing down some funds and opening new ones. That will certainly be the case while the capacity of other funds to fill in for the SCCF is reviewed.

Renewed interest in the SCCF—provided that its mandate is more focused and repurposed as indicated here—depends on whether other funds can deliver funding and services in the niches that the SCCF has already proven that it can fill. If they cannot, interest in the SCCF may well be revived. If, instead, other funds start (or continue) to deliver funding and services in the SCCF's niches, then not just the SCCF, but also some other, smaller funds, may soon be irrelevant. In the short term, and despite the apparent preference of several donors to focus on fewer or larger funds, the existence of funds such as the SCCF can remain a proven and practical alternative for traditional and larger donors that wish to diversify their funding, or an opportunity for new or smaller donors in climate finance.

Conclusions and recommendations

9.1 Conclusions

Conclusion 1: **SCCF support continues to be relevant to COP guidance, to the GEF adaptation strategy, and to countries' national priorities.** The evaluation has found that SCCF support remained highly relevant to UNFCCC guidance, to GEF adaptation strategic objectives, and to countries' national environmental and sustainable development goals and agendas. This is in line with the findings of the 2017 SCCF program evaluation. The recently approved projects were found to be aligned with COP guidance; most relevant to the first two strategic objectives of the GEF adaptation strategy, they show clear consistency with the two strategic pillars of the adaptation strategy, and they have a strong relevance to national development policies, plans, and programs.

Conclusion 2: **The SCCF has increased complementarity with other funds in climate finance.** Although the guidance and encouragement for complementarity with the GCF is relatively recent, one-third of completed SCCF projects have evidence of complementarity with the GCF and at least five projects have led to follow-on funding for scaling up or replication of activities by the GCF. In 6 out of 10 recently approved projects, there is evidence of more thought given to collaboration and linkages with the GCF in project design.

Conclusion 3: **The SCCF portfolio has been effective and has performed well.** The performance of SCCF projects is comparable with that of the GEF Trust Funds, with 79 percent of completed SCCF projects rated in the satisfactory range for outcomes. All completed projects developed or introduced new technologies or approaches, with 58 percent producing them at a large scale. Similarly, all but one project demonstrated new technologies and approaches. Stakeholders identify main areas of effectiveness for the SCCF as technology transfer for adaptation, facilitating innovation in adaptation, and processes that allow accessing funding in resilience through the call for proposals, especially in the areas of agriculture, land degradation, support of vulnerability reduction, in terms of knowledge sharing, and of capacity building. In general, the SCCF has been effective in supporting activities in these areas that otherwise would not get funded by other funds.

Conclusion 4: **Beyond field-based adaptation benefits, the SCCF portfolio has resulted in strengthened institutional capacity, and achieved innovation, legal and regulatory, socioeconomic,**

and sustainable financing outcomes. All completed projects had adaptation outcomes that fall into one of these categories. All these projects were found to have strengthened institutional capacity. The three most common approaches to strengthening institutional capacity were through training of participants or project managers, information sharing and outreach, and development of manuals, guidelines, or plans for climate change mainstreaming and adaptation. Innovation, a staple niche of the SCCF, was present in more than 90 percent (30 of 33) of completed projects. These innovations often produce adaptation benefits and sustainable financing opportunities. Legal and regulatory outcomes were achieved through the improvement or development of climate policies and plans in 36 percent of completed projects (12 of 33). Other areas of legal outcomes included codification of regulations or standards, and the development of manuals for updating policies. Evidence of clear socioeconomic benefits was present for three completed projects (3 of 33). These projects helped participants increase their income and start micro-companies. Several projects supported sustainable financing.

Conclusion 5: **The SCCF's effectiveness and efficiency continue to be seriously undermined by limited and unpredictable funding.** The 2017 SCCF evaluation had reached the same conclusion. Notwithstanding the SCCF's continued relevance to non-LDC GEF-eligible countries and the continued good performance of funded projects, SCCF's resources are not sufficient, by far, to meet the demand. Limited and unpredictable availability of resources for programming has restricted the number of projects that can be financed. Since the 2017 evaluation, only 10 new projects have reached the threshold of PIF approval and they are smaller than projects in earlier GEF periods. Donor support to SCCF has stalled since 2014, with only $21.87 million contributed to the fund, all from Switzerland. While it has attracted new partners, the efficiency of the Challenge Program for Adaptation Innovation preselection model has also been negatively affected by the lack of funding, with less than 3 percent of concepts selected for PIF preparation, and significant time and efforts invested by the GEF Secretariat. Overall, the SCCF has reached a semidormant state due to the lack of new funding and few new approvals, although monitoring of ongoing projects, planning and reporting continues.

Conclusion 6: **The overall gender performance of the SCCF portfolio has continued to improve.** Gender mainstreaming is stronger and more integrated into project design in the recently approved projects compared with completed projects, with 7 of 10 recently approved projects including a gender analysis—or plans to develop one—in their design, compared with 9 percent (3 of 33) of completed projects. Similarly, 7 of 10 recently approved projects included—or planned to develop—a gender action plan in their design, compared with 6 percent of completed projects (2 of 33). Although this trend is expected as completed projects were designed before the development of current GEF policies and guidance on gender, it is a positive development. For complete projects, 82 percent (27 of 33) projects reported on gender but only 39 percent collected gender-disaggregated indicators. However, only 10 percent (3 of 33) of completed projects generated evident socioeconomic benefits for women.

Conclusion 7: **The GEF adaptation strategy has put a stronger emphasis on private sector engagement, reflected in the portfolio of recently approved projects.** Fifty-five percent of completed projects engaged the private sector during implementation. All recently approved projects have plans to do so in some capacity, either through partnership or activities that will benefit private sector stakeholders or support an enabling environment for private sector participation. One initiative dedicated to specifically engaging the private sector is the Challenge Program for

Adaptation Innovation. In spite of the program being in a relatively early stage, interviews show promising signs of achievements and the potential of delivering results with limited funding. Despite a large mismatch between the limited funds available, the strong interest of proposers, and the many submissions received, the Challenge Program for Adaptation Innovation was very popular and included several projects that fall within the trend of funding innovation through engaging the private sector.

Conclusion 8: A wide range of factors affect outcome sustainability. Seventy-five percent of SCCF projects were rated as having outcomes likely to be sustained, compared with a 63 percent rating for GEF Trust Funds projects. The most often cited hindering context-related factors in terminal evaluations were poor infrastructure, natural disasters, and change in national government. For project-related factors that contributed to sustainability, the largest number of projects noted adaptive management followed by effective coordination between executing partners, strong project design, and effective stakeholder engagement. Weak preparation and readiness, weak monitoring and evaluation, failure of expected cofinancing to materialize, and a lack of continued and predictable funding were the most frequently noted project-related factors perceived to hinder the likely sustainability of project outcomes. Stakeholders interviewed identified continued and predictable financing as the key factor that affects the sustainability of SCCF project outcomes. Where there is a viable financial mechanism that is predictable and allows continued project activities and benefits over time, sustainability is more likely, but the lack of a predictable financial flow is often seen as the main challenge.

Conclusion 9: The SCCF has a unique role that it could play if it were refocused and adequately funded. The role could be to support climate change adaptation efforts through window SCCF-A in non-LDC developing countries, particularly in SIDS, emerging economies, and non-Annex I wealthier countries that are not LDCs or have recently graduated, through projects that represent a flexible preliminary step to test innovative ideas and pilot approaches or projects that can then be replicated and scaled up by others. The SCCF could be refocused to fund technology transfer through window SCCF-B and innovative approaches applied to adaptation, since the SCCF is the only global fund with a clear technology transfer window. It is considered that the SCCF could act as an incubator for riskier technologies, hence playing a de-risking role with a catalytic potential for further investments, and support adaptation priorities particularly in SIDS. SCCF's role could also include facilitating private sector engagement, provided that is guided by a clearer strategy for private sector and greater use of public-private forms of finance, including blended finance.

Conclusion 10: The SCCF has nearly reached a dormancy phase. At this point, fundamental strategic decisions for the SCCF's future cannot be postponed any further. The SCCF has suffered from a virtual absence of new pledges and received little attention both internally and from its traditional donors, despite its relevance, effectiveness, and interest from the countries. The SCCF has thus become semidormant, due to the lack of new funding and few new approvals, while there are still projects under implementation. At this point, some fundamental decisions must be made. Keeping the SCCF functionally (de facto) semidormant is viewed as an option that may be found to be useful one day, while other funds that are also active in climate finance and adaptation, especially those with complementarity in the value-added areas of the SCCF, evolve and grow. In the meantime, although it is always possible for the Convention to create new funds to meet the emerging demands, keeping the SCCF functionally semidormant may be more practical than closing the SCCF or establishing new funds.

Conclusion 11: Several donors and strategic informants also indicate that if the SCCF is to continue to receive funding and continue its work, it should be reformed, repackaged, and reenergized, and the lack of visibility, branding, and communication must be addressed proactively. The main findings point to the need to: formally close windows SCCF-C (mitigation) and SCCF-D (economic diversification) of the current settings of the SCCF, target support under window SCCF-A towards non-LDCs—particularly SIDS—and refocus the fund towards technology transfer and innovation in adaptation in non-LDCs in window SCCF-B as the area of clear added value. That is seen as the niche that can make the SCCF attractive, in the absence of any real alternative financing models in the areas of focus of the SCCF. A repurposed SCCF that brings together technology transfer within the context of adaptation in non-LDCs would serve as the door through which the SCCF can step through into the future. It is also believed that this reform should be accompanied by proactive, targeted resource mobilization, reenergized by very much enhanced visibility and much clearer communication publicizing the SCCF as a distinct fund.

9.2 Recommendation

Recommendation 12: The GEF Secretariat should acknowledge the semidormant state of the SCCF and—together with the key and emerging donors and stakeholders—develop a proactive action plan to revitalize the fund. Removing windows SCCF-C and SCCF-D, which are evidently unattractive to donors, targeting support under window SCCF-A towards non-LDCs—particularly SIDS—and refocusing the fund toward technology transfer and innovation in adaptation in non-LDCs in window SCCF-B is the only way forward. In doing so, the Secretariat should actively articulate and communicate the SCCF's niche and brand its focused and distinctive roles in the climate finance architecture. In the short term, and despite the preference of traditional donors to focus on few, larger funds, the existence of funds such as the SCCF could remain a proven and practical alternative for donors to diversify their funding, or an opportunity for new and emerging or smaller donor countries in climate finance.

Approach paper

A.1 Background and context

INTRODUCTION

1. At its 26th meeting in June 2019, the Least Developed Countries Fund/Special Climate Change Fund (LDCF/SCCF) Council approved the four-year work program for the Independent Evaluation Office of the GEF (GEF IEO) which includes an update to the 2017 program evaluation of the SCCF during fiscal year 2021 (GEF IEO 2019b). The IEO will evaluate the SCCF focusing on performance and progress towards SCCF objectives and results in the four years since the 2017 evaluation. The evaluation will follow-up on conclusions and recommendations of the 2017 SCCF evaluation and will provide the LDCF/SCCF Council with evaluative evidence of the Fund's relevance and emerging results. An overview of the 2017 SCCF evaluation recommendations is provided in appendix A.

SCCF BACKGROUND AND PORTFOLIO

2. 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 (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, 2002).

3. 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

numerous COPs which helped to further define the design of the SCCF, and are outlined in annex F. An overview of UNFCCC COP guidance and decisions is provided in annex F. 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. In response to a request made at COP 18 SCCF has begun funding the NAP process in non-LDCF countries (which can apply for such funding under the LDCF.) The SCCF is structured to support activities in four windows (table A.1). As of the September 30, 2020 SCCF financial report prepared by the trustee, 15 donors had pledged contributions to the first two windows, with $294.46 million pledged towards the SCCF-A window and $61.33 million pledged towards the SCCF-B window, with no pledges or contributions towards activity windows SCCF-C or SCCF-D (GEF 2020).

4. 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).

5. 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

Table A.1 **Overview of SCCF activity windows**

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

Source: UNFCCC Decisions, accessed September 2019.

Trust Fund are also applied to the LDCF and SCCF, but 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.

6. The SCCF is also part of the operating entity of the financial mechanism for the Paris Agreement. The SCCF is entrusted to continue to play a key role to strengthen developing countries' resilience to climate change, with a renewed focus on implementation. At the heart of the Paris Agreement and the achievement of long-term goals are the nationally determined contributions (NDCs).[1] Each country outlines its efforts to reduce national emissions and to adapt to impacts of climate change. SCCF supports NDCs and seeks to align its programming with priorities identified in NDCs.

7. 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 first SCCF program evaluation presented in 2011—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 2012a, 2012b).

8. As part of the GEF Programming Strategy on Adaptation to Climate Change for the LDCF and SCCF endorsed by the Council in June 2018, the GEF Secretariat introduced the Challenge Program for Adaptation Innovation (hereinafter referred to as the "Challenge Program") (GEF 2018c). The Challenge Program, intended as the main vehicle for addressing SCCF objective 1: "reduce vulnerability and increase resilience through innovation and technology transfer for climate change adaptation" (see box A.1) modifies the preselection process, soliciting project concepts through a call for proposals. The existing preselection criteria are then applied to these proposals to identify those which will be invited to be developed further for approval by the LDCF/SCCF Council (GEF 2018c). Additionally, incentive for objective 2, "mainstreaming adaptation and resilience for systemic impact," are being managed outside the preselection modality and are aligned with the regular GEF Trust Fund cycle.

9. The SCCF works with the same 18 Agencies as the GEF listed in table A.2. These 18 GEF

Box A.1 GEF Adaptation Program strategic objectives and pillars

The GEF Programming Strategy on Adaptation to Climate Change for the LDCF and SCCF (July 2018 to June 2022) has three strategic objectives:

- Reduce vulnerability and increase resilience through innovation and technology transfer for climate change adaptation
- Mainstream climate change adaptation and resilience for systemic impact
- Foster enabling conditions for effective and integrated climate change adaptation

Private sector engagement will be fostered for the LDCF and SCCF through the three objectives of this strategy and implemented through the following two pillars:

- Expanding catalytic grant and nongrant investments
- Support enabling environments for the private sector to act as an agent for market transformation

The results framework of the GEF Adaptation Program is provided in annex H.

Source: GEF 2018a.

[1] More information about NDCs is at the UNFCCC Nationally Determined Contributions (NDCs) webpage.

Table A.2 GEF Agencies involved in SCCF operations

GEF Agency	Involved in SCCF operations
Original GEF Agencies	
United Nations Development Programme (UNDP)	
United Nations Environment Programme (UNEP)	
World Bank Group	
Agencies added in two rounds of expansion	
African Development Bank (AfDB)	
Asian Development Bank (ADB)	
Brazilian Biodiversity Fund (FUNBIO)	
Conservation International (CI)	
Development Bank of Latin America (CAF)	
Development Bank of Southern Africa (DBSA)	
European Bank for Reconstruction and Development (EBRD)	
Food and Agriculture Organization of the United Nations (FAO)	
Foreign Economic Cooperation Office, Ministry of Environmental Protection of China (FECO)	
Inter-American Development Bank (IDB)	
International Fund for Agricultural Development (IFAD)	
International Union for Conservation of Nature (IUCN)	
United Nations Industrial Development Organization (UNIDO)	
West African Development Bank (BOAD)	
World Wildlife Fund (WWF-US)	

Sources: GEF website, accessed October 2020; GEF PMIS and GEF Portal through September 2019.

Agencies have direct access to SCCF and work closely with project proponents such as government agencies, civil society organizations and other stakeholders to design, develop, and implement activities financed by the Fund. As of September 2020, 13 GEF Agencies were involved in SCCF operations (ADB, AfDB, CAF, CI, EBRD, FAO, IFAD, IDB, UNDP, UNEP, UNIDO, the World Bank Group, and WWF-US). The largest share of the portfolio in terms of approved projects is implemented by UNDP with 24 percent of all projects approved (22 projects), while the World Bank Group has the largest share of total funds approved, at 26 percent.[2]

10. At the 24th LDCF/SCCF Council Meeting in June 2018 the new GEF Programming Strategy on Adaptation to Climate Change for the LDCF/SCCF and Operational Improvements was approved. The findings and conclusions of the 2016 LDCF program evaluation and 2017 SCCF program evaluation contributed to the revision of the GEF programming strategy on adaptation to Climate Change. The goal of the strategy is to strengthen resilience and reduce vulnerability to the adverse impacts of climate change in developing countries and support their efforts to enhance adaptive capacity. The strategy includes updates to the three strategic objectives and a stronger emphasis on private sector engagement for the LDCF and SCCF, presented in box A.1, with definitions provided in box A.2. The strategy also seeks to enhance gender equality and mainstreaming and strives to enhance coordinated and synergistic programming with other major climate funds as well as with other GEF focal areas.

[2] Source: Portal Extended Report, accessed August 2020.

Box A.2 Intergovernmental Panel on Climate Change definitions of key terms

The UNFCCC COP guidance and decisions on the SCCF (annex F) and GEF strategic objectives and pillars (box A.1) use several key terms defined by the Intergovernmental Panel on Climate Change:

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

Capacity building. The practice of enhancing the strengths and attributes of, and resources available to an individual, community, society, or organization to respond to change.

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

Vulnerability. The propensity or predisposition to be adversely affected. Vulnerability encompasses a variety of concepts and elements, including sensitivity or susceptibility to harm and lack of capacity to cope and adapt.

Source: IPCC 2018.

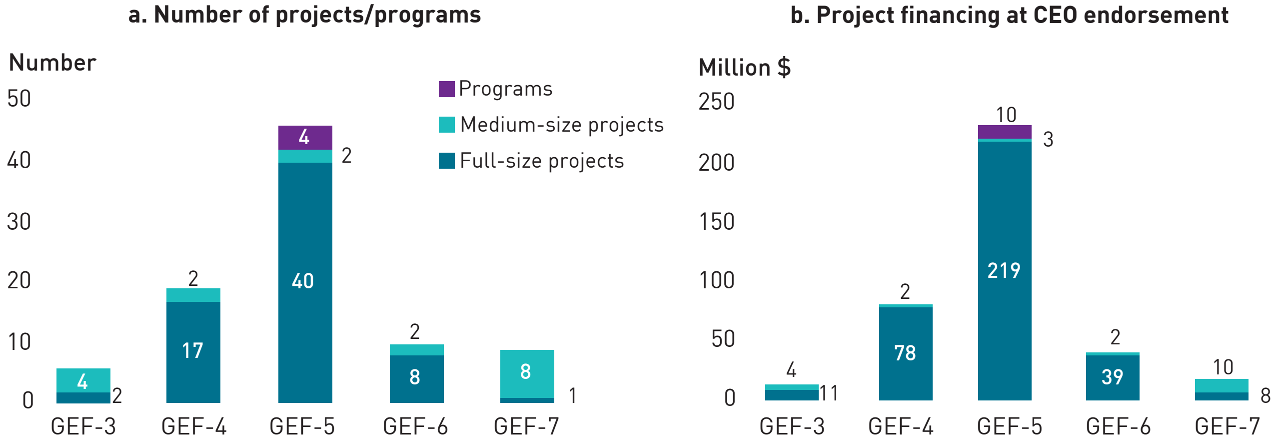
11. Figure A.1 presents the SCCF portfolio by project type. Eighty-six projects and four programs representing $385 million in grant funding have been approved at the project identification stage, with the largest share of projects and funding approved in the GEF-5 phase. The SCCF portfolio comprises 68 full-size projects, 18 medium-size projects, and 4 program framework documents. Twenty percent of the SCCF portfolio of projects, (18 of 90) and 25 percent of the funding are in multitrust fund projects ($97.9 million of $385 million), 14 of which were approved in the GEF-5 period and 4 approved in the GEF-7 period.

12. Figure A.2 presents the SCCF portfolio by Agency share of projects, and in terms of status, based on data in the GEF Portal. These numbers and project status will be confirmed in the course of the evaluation. As noted above, SCCF projects and programs have been approved for 13 Agencies, with UNDP and the World Bank Group implementing the largest share. Of the 90 approved projects and programs, 32 are completed, while the others are either approved and awaiting implementation start, or under implementation. Three of the four programs, all pertaining to the GEF-5 period, have one child project each under implementation.

13. The 2017 SCCF program evaluation (predecessor to this evaluation) covered through its portfolio review all submitted project proposals, regardless of their approval or implementation status (117 at the time.) This evaluation will restrict its review to projects which have met the threshold of approval at the project identification form (PIF) stage, or have advanced beyond this stage.[3] Accounting for this difference in threshold for review, the evaluation will review the 11 projects which have reached the threshold of PIF approval between October 2016, the cutoff date for the previous evaluation, and September 2020, the cutoff date for this evaluation. The evaluation will also conduct reviews of all completed projects with terminal evaluations received by September 2020, in order to provide information on outcomes and other results for the full cohort of completed SCCF projects. The list of projects for consideration is included in annex C.

[3] Projects meeting the approval threshold of CEO PIF cleared are included for consideration. Canceled, dropped, pending, and rejected projects are excluded.

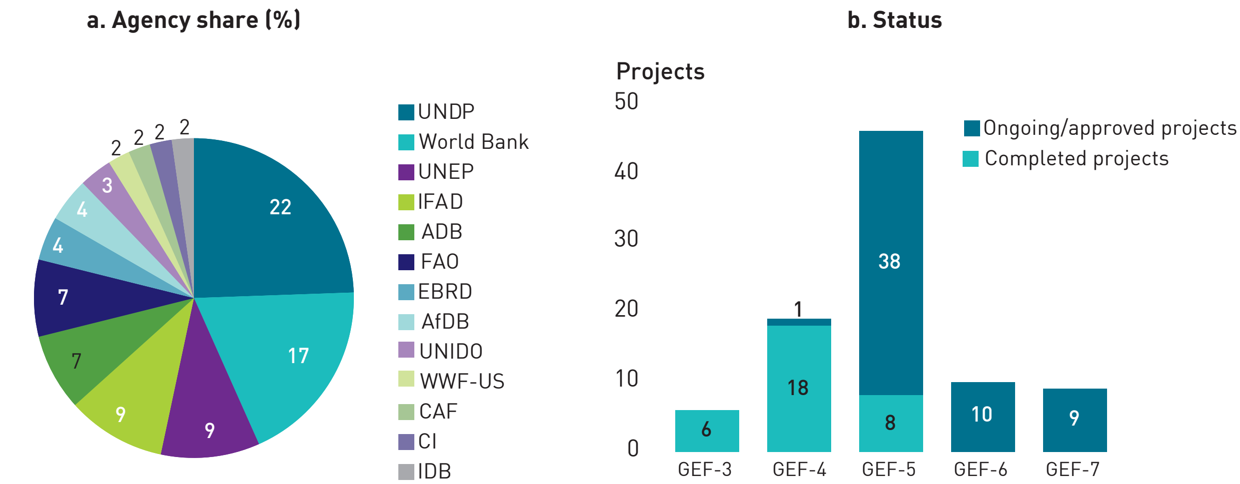
Figure A.1 SCCF portfolio by project modality and GEF replenishment period



Source: GEF PMIS and GEF Portal.

Note: Project financing includes PPG. Fees are excluded.

Figure A.2 CCF portfolio by Agency and status



Source: GEF PMIS and GEF Portal.

14. This evaluation will take advantage of the small number of projects for review to conduct an in-depth qualitative assessment of project design and performance documents, in order to assess impacts and factors affecting performance in completed projects, and quality of design at entry for recently designed projects. The aim will not be to add to the results of the portfolio review presented in 2017, which are unlikely to be much changed by a small number of new projects, but instead to complement them with more in-depth coverage of recent developments in the portfolio.

PREVIOUS EVALUATIONS OF THE SCCF

15. This is the third program evaluation of the SCCF undertaken by the GEF IEO, with two previous evaluations presented in 2011 and 2017. The 2011 evaluation focused on the first 10 years after the

inception of the SCCF. At this early stage of SCCF implementation relatively little evidence on performance of the fund was available, with only two completed projects (GEF IEO 2012). Recommendations focused on the relevance of the SCCF, the role of innovation and learning in the SCCF, the funding process and SCCF project branding.

16. As noted in the section presenting the SCCF portfolio, the 2017 program evaluation covered the complete portfolio of SCCF project proposals submitted. Through this review, the evaluation found that the SCCF portfolio was highly complementary to the three GEF adaptation strategic objectives of reducing vulnerability, strengthening capacities, and mainstreaming adaptation, as well as country driven and well aligned with national environmental and sustainable development policies, plans and priorities. It also found that while almost 45 percent of projects may potentially contribute to the land degradation focal area, potential for SCCF projects to contribute to other focal areas was limited (GEF IEO 2018b). The evaluation presented eight conclusions (presented in appendix A) and three recommendations: that the GEF Secretariat should prioritize the development of mechanisms to ensure predictable, adequate and sustainable financing for the Fund, that the GEF Secretariat should articulate and publicly communicate the SCCF's niche within the global adaptation finance landscape, including an explicit statement regarding its relation with—and complementarity to—the GCF, and that the GEF Secretariat should ensure that Project Management Information System (PMIS) data are up to date and accurate.

17. Aside from the series of SCCF program evaluations, SCCF has been covered to some degree through thematic evaluations conducted by GEF IEO and other entities. Early examples include a 2009 evaluation conducted by the UNDP Independent Evaluation Office of UNDP's work with LDCF/SCCF resources, a 2011 evaluation of the GEF Strategic Priority for Adaptation (SPA) pilot program, which aimed to inform climate change adaptation work supported by the GEF, and a 2012 evaluation of GEF focal area strategies conducted by GEF IEO, which included a technical paper focused on climate change adaptation under the LDCF and SCCF. As part of the Fifth Overall Performance Study (OPS5) of the GEF, SCCF was evaluated as part of OPS5 Technical Document 3, which analyzed the implementation of GEF focal area strategies. Finally, as part of the Sixth Comprehensive Evaluation of the GEF (OPS6) a climate change focal area study was completed and published in 2017, which included discussion of the SCCF portfolio, drawing evidence mainly from the 2017 evaluation. Evaluative evidence on adaptation to climate change and SCCF was also synthesized in OPS6 from evaluations and special studies of the GEF Trust Fund that included LDCF and SCCF projects.

A.2 Purpose, objectives, and audience

PURPOSE AND OBJECTIVE

18. The overall purpose of the evaluation is to provide the LDCF/SCCF Council with evaluative evidence of the Fund's relevance, outcomes and their sustainability.

19. The main objective of this evaluation of the SCCF is to evaluate the progress made by the SCCF since the 2017 SCCF program evaluation and the extent to which the SCCF is achieving the objectives set out in the GEF Programming Strategy on Adaptation to Climate Change for LDCF/SCCF (2018–2022). The evaluation also aims to provide recommendations on the way forward for the SCCF.

STAKEHOLDERS AND AUDIENCE

20. The primary stakeholders are GEF Secretariat staff, staff of GEF Agencies and the LDCF/SCCF Council members. Secondary stakeholders

are staff of the STAP, staff from Governments, country-level project implementers and other GEF stakeholders and beneficiaries.

21. The evaluation's target audience is LDCF/SCCF Council members, other LDCF/SCCF and GEF stakeholders, as well as the general public and professionals interested in climate change adaptation, national adaptation processes and development.

A.3 Evaluation questions and coverage

COVERAGE AND SCOPE

22. The focus of this evaluation will be on the developments since October 2016, which was the cutoff date for the 2017 evaluation of the SCCF. The evaluation will cover the relevance, coherence, effectiveness, efficiency, sustainability of outcomes and additionality of the SCCF, through the evaluation questions listed in the next section.

23. This evaluation will cover several themes and developments which were not the focus of the previous evaluation, reflecting changes in the GEF adaptation strategy and in the portfolio of the SCCF. Guidance from COP 23 encouraged the GEF to further enhance engagements with private sector. While the previous GEF adaptation strategy did include some attention to enhancing private sector engagement in climate resilience, the current strategy has elevated this issue, including private sector engagement as the focus of the two strategic pillars of the strategy: (1) expanding catalytic grant and non-grant investments, and (2) support enabling environments for the private sector to act as an agent for market transformation. The pillars are aligned with the approach to private sector engagement articulated in the GEF-7 Programming Directions (GEF 2018d). This evaluation will therefore cover private sector engagement in SCCF for the first time. The portfolio review will include an examination of the ways in which SCCF projects either engage with private sector entities or include activities aimed to improve the enabling environment for private sector engagement in climate resilience. This review will be guided by the models for private sector engagement outlined in the strategy. The SCCF aims to support local private actors and micro, small, and medium enterprises in their efforts to contribute to adaptation ambitions. To help address priorities identified by NAPs, private sector-relevant themes, such as value chains, market development, risk transfer and sharing mechanisms, insurance/re-insurance and eco-tourism, are relevant. The SCCF may also support incentives and policy measures to encourage private sector engagement, including fiscal and financial tools and instruments for climate risk transfer and management. The SCCF may utilize non-grant instruments in adaptation programming. Additionally, the GEF and GCF may collaborate to identify pathways and opportunities to facilitate private sector-oriented pilot initiatives supported by the SCCF (and LDCF) to be scaled up with the GCF.

24. Special attention will also be given to sustainability. The sustainability of GEF projects, or "the continuation/likely continuation of positive effects from the intervention after it has come to an end" is measured at completion through a rating which assesses risks to continuation of benefits from factors including environmental, financial, sociopolitical or institutional factors in the country (GEF 2019; GEF IEO 2019c). The GEF IEO has introduced a methodological approach for postcompletion verification that was piloted in the 2020 LDCF Program Evaluation (GEF IEO 2019b). This SCCF evaluation will review the sustainability ratings of SCCF projects at completion and include postcompletion assessments of two projects using a desk basked version of this approach, augmented with field verification from local consultants, if possible, given the COVID-19 pandemic.

25. During the GEF-7 period, there has been a notable shift towards more regional and global initiatives, with all but one of the nine projects which have reached approval during this period being regional or global in scope. In its review of relevance, the evaluation will assess the shift in SCCF projects towards more regional and global and how this has worked from the perspective of country stakeholders. Another trend in the portfolio has been towards multitrust fund projects, with four of the nine projects approved during the GEF-7 period combining funds from SCCF with the LDCF or GEF, and 20 percent of all approved SCCF projects being multitrust fund projects. Given this trend, as well as a focus within the GEF adaptation strategies on expanding synergies with other GEF focal areas the evaluation will pay special attention to SCCF's portfolio of multitrust fund projects, including their effectiveness, as well as any challenges in their approval and implementation.[4]

26. As with the previous SCCF evaluation, this evaluation will give special attention to gender considerations though it will follow a new approach, guided by changes in the GEF policies and requirements on gender, and in line with the approach taken by the concurrent IEO evaluation of GEF policies. In November 2017 the GEF adopted a new Policy on Gender Equity and a gender implementation strategy in June 2018 (GEF 2017, 2018e). The GEF Programming Strategy on Adaptation states that "the proposed results framework includes relevant disaggregated indicators for men and women so that impacts and outcomes, and their gender relevance, can be tracked and analyzed" (GEF 2018a). The focus of the evaluation will be on evidence of the operationalization of the new gender policy in the SCCF in project approved after it was introduced, though the evaluation will also review completed projects for inclusion of gender considerations. The evaluation will align its review of gender considerations in projects with the approach taken by the concurrent IEO evaluation of GEF policies, which will cover the policy on gender equality. The results framework on gender equality and women's empowerment is provided in annex H for reference.

27. Regarding climate resilience, the GEF Programming Strategy on Adaptation states that "In line with the IPCC-defined scope of climate finance for resilience, the LDCF and SCCF seek to enhance resilience to the impacts of climate variability and the projected climate change" (IPCC 2014). The GEF Secretariat first developed a programming strategy on adaption to climate change for the LDCF and SCCF in 2010 to cover the GEF-5 period. New strategies were introduced in 2014 and 2018 for the GEF-6 and GEF-7 periods, respectively. While the strategies have evolved over time, all have maintained the common fundamental goal of increasing resilience to climate change in developing countries (GEF 2010, 2014, 2018a). This evaluation will review recently approved projects for quality of design, in line with the strategies under which they were approved and performance toward the goal of supporting developing countries to increase resilience to climate change.

KEY EVALUATION QUESTIONS

28. Key evaluation questions are presented in table A.3, grouped by the core evaluation criteria.

ASSESSING PERFORMANCE

29. The Fund's performance will be assessed at the Fund's macro level as well as the project level.

[4] The second pillar of the previous GEF adaption strategy was devoted to expanding synergies with other GEF focal areas approved in 2014. The current strategy introduced in 2018 notes COP guidance to promote synergies across focal areas. Annex III of this strategy also outlines new programming features designed to facilitate countries programming multitrust fund projects combining GEF Trust Fund and LDCF/SCCF resources (GEF 2014, 2018a).

The former will be in terms of the degree to which the SCCF has operated according to the strategic objectives set, informed by the UNFCCC COP guidance and decisions received, to analyze the broader progress to impact. This also translates into evaluating the Fund's performance regarding the mainstreaming of adaptation into broader developmental policies, plans and programs and assessing how the SCCF has related to other GEF focal areas beyond climate change adaptation. The latter will focus on performance related to the achievement of project results against stated goals. The core evaluation criteria (relevance, coherence, effectiveness, efficiency, sustainability and additionality) will be applied as outlined in the previous paragraph.

A.4 Evaluation design

METHODOLOGY

30. The evaluation's methodological approach is expected to include the following main elements:

- **Document review:** Review of documentation will include GEF specific documents on the SCCF and related interventions, as well as additional literature beyond GEF and LDCF/SCCF Council and project documents, and GEF Secretariat policies, processes and related documents. Document review will also include non-GEF IEO evaluation materials, academic and gray literature on the Fund, and NAP developments. The GEF IEO Management Action Record (MAR), the GEF adaptation strategy for LDCF and SCCF approved in 2018, and any other guidance from GEF Secretariat on SCCF work will be reviewed for implementation of recommendations from the previous SCCF evaluation.
- **Portfolio review:**
    - **Quality at entry review.** All 11 projects which have been approved by the Council and/or CEO endorsed/approved since October 2016 will be reviewed to assess relevance to UNFCCC guidance and decisions, the GEF adaptation programming strategy, and countries broader development policies, plans and programs.
    - **Review of completed projects.** All 32 projects which have reached completion to date will be subject to a desk review for outcomes and other results.
- **Meta-assessment:** Since the 2017 SCCF program evaluation the GEF IEO and other agencies have conducted evaluations that have reviewed the SCCF. The evaluation team will conduct a meta-assessment to synthesize lessons, findings and experiences from such assessments of the SCCF and related activities.
- **Interviews:** Interviews regarding the results, operations and management of the SCCF will be conducted with select stakeholders from: the GEF Secretariat as the SCCF administrator, GEF Agencies, relevant government and non-governmental actors in selected countries where SCCF is active, the UNFCCC secretariat and private sector partners.
- **Field Visits:** If feasible, local consultants will be hired to conduct field visits, with a focus on gathering evidence of sustainability of project results postcompletion and gathering the perspective of country stakeholders. Where possible, visits to interview challenge program proponents, many of whom are based in the US, may be undertaken.
- **Triangulation:** The evaluation team will conduct an analysis of, and triangulate data collected to determine trends, formulate main findings, lessons and conclusions. Different stakeholders will be consulted during the process to test preliminary findings. Also see "V. Quality Assurance."

Table A.3 Key evaluation questions by core evaluation criteria

Criterion	Question/discussion
1. Relevance	**Does SCCF support continue to be relevant to UNFCCC COP guidance and decisions, the GEF adaptation programming strategy, and countries' broader development policies, plans and programs? How has the lack of funding affected the relevance of the SCCF?** The evaluation will assess the relevance of newly approved SCCF projects in responding to the GEF adaptation programming strategy, and country priorities. (See annex F for UNFCCC COP guidance and decisions, and box A.1 for GEF strategic objectives and pillars.) The evaluation will also assess the shift of the SCCF portfolio towards more regional and global initiatives and how this has worked from the perspective of country stakeholders.
2. Coherence	**To what extent are SCCF projects complementary to interventions funded by other donors, such as the GCF?** The evaluation will assess coherence in terms of complementarity and coordination with other actors.
3. Effectiveness	**How effective is the SCCF at strengthening the resilience of non-LDC developing countries?** The evaluation will review completed projects to assess the extent to which they have delivered on expected outcomes around climate change resilience. The evaluation will pay special attention to multitrust fund projects, which there has been a concerted effort to facilitate during the GEF-7 period. **What are the gender equality objectives achieved and gender mainstreaming principles adhered to by the SCCF?** The evaluation will assess the application of GEF's gender policies during the past four years. **To what extent has the SCCF engaged the private sector?** The evaluation will assess newly approved projects in line with the 2018-2022 GEF adaptation strategy regarding private sector engagement and explore the extent of engagement with private sector in completed projects. **What are the synergies with other focal areas and global environmental benefits delivered through SCCF projects?** The evaluation will review completed projects for transformational contributions for adaptation benefits and global environmental benefits delivered in contribution to GEF focal areas, with an aim to present aggregate benefits that have been delivered by completed projects.[a] **What are lessons learned from implementation experience?** The evaluation will synthesize lessons learned from the portfolio of completed projects.
4. Efficiency	**How efficient has the Challenge for Adaptation preselection process been?** The evaluation will review the model used for selection for the Challenge for Adaptation program.
5. Sustainability	**To what extent have the outcomes achieved in SCCF projects been sustainable postcompletion?** The evaluation will review rating of the likelihood of sustainability ratings of SCCF projects at completion and include assessments of the factors that affect sustainability of outcomes of two projects post completion.
6. Additionality	**What has been the additionality, both environmental and otherwise, of the SCCF?** GEF additionality is defined as the additional outcome (both environmental and otherwise) that can be directly associated with the GEF-supported project or program (GEF IEO 2019a, 2020b).[b] The evaluation will assess SCCF's additionality in six areas: environmental, legal/regulatory, institutional, financial, socioeconomic and innovation outcomes of the SCCF. The evaluation will also pay special attention to the SCCF's ability to promote synergies across focal areas and what makes the SCCF distinctive from other climate funds.

a. The evaluation will use the definition of this term employed for the 2018 Evaluation of GEF Support for Transformational Change: "systemic, and sustainable change with large-scale impact in an area of global environmental concern" (GEF IEO 2018a).

b. GEF IEO (2020b) includes a more detailed discussion of definitions of additionality across Agencies, as well as of the definition adopted by the GEF IEO, which is: (1) changes in the attainment of direct project outcomes at project completion that can be attributed to GEF interventions; these can be reflected in an acceleration of the adoption of reforms, the enhancement of outcomes, or the reduction of risks and greater viability of project interventions, (2) spillover effects beyond project outcomes that may result from systemic reforms, capacity development, and socioeconomic changes; (3) clearly articulated pathways to achieve broadening of the impact beyond project completion that can be associated with GEF interventions.

DESIGN LIMITATIONS

31. Due to the COVID-19 pandemic, field verification by IEO staff will not be possible during the evaluation time frame. However, if possible, the evaluation will make use of local consultants for field verification, taking safety of in-country travel into consideration. If this is not achievable, the office will rely on desk-based research and phone based key informant interviews to gather information.

32. While the GEF Secretariat has reported extensive updates and improvements with the quality of project data as part of the migration from the PMIS to the new GEF Portal platform the GEF IEO continues to find issues in terms of accurate reporting of project status. Portal data will be compared with LDCF/SCCF Council progress reports for the SCCF and GEF Agencies will be requested to verify project data before projects are reviewed.

A.5 Quality assurance

33. In line with IEO's quality assurance practice, quality assurance measures have been set up for this evaluation. The draft approach paper and draft evaluation report will be circulated and validated before finalization through a comprehensive stakeholder feedback process with the key stakeholders. In the case of the draft evaluation report this will take place prior to the June Council in 2021. Key stakeholders include the GEF Secretariat, GEF Agencies, STAP, and select GEF focal points. Comments, feedback and suggestions will be considered, and the approach paper and final report will be adjusted accordingly. Additionally, the draft approach paper has been internally reviewed in the GEF IEO, and an internal and external peer reviewer with experience in adaptation to climate change evaluation has been selected to provide advice throughout the evaluation process. The internal and external peer reviewer will advise on the evaluation methods described in the approach paper, findings and recommendations of the evaluation, and the draft and final evaluation report.

A.6 Deliverables and dissemination

34. The main findings, conclusions, and recommendations will be presented as a working document to the LDCF/SCCF Council at the June 2021 meeting. It will be distributed to LDCF/SCCF Council members, GEF Secretariat, GEF Agencies, STAP and relevant GEF country focal points. A graphically edited version will be published on the IEO's website and will also be made available to interested parties through email. A four-page summary of the report will be produced and posted on the website. The above-mentioned outputs will be distributed through existing IEO mailing lists as well as to stakeholders involved in the conduct of the evaluation. The main findings, conclusions, and recommendations will be included in the Report of the GEF to the Conference of Parties to the UNFCCC. To reach a wider audience the evaluation will also be presented through webinars and at relevant evaluation conferences and workshops such as Adaptation Futures.

A.7 Resources

TIMELINE

35. The 2021 SCCF program evaluation will take place between October 2020 and June 2021. The initial work plan is shown in table A.4 and will be further revised and detailed as part of the further preparation.

BUDGET (INTERNAL)

36. The 2021 SCCF program evaluation is budgeted at $55,000. A further breakdown of cost elements has been provided for the IEO.

Table A.4 Work plan

Task	Oct 2020	Nov 2020	Dec 2020	Jan 2021	Feb 2021	Mar 2021	Apr 2021	May 2021	June 2021
I. Evaluation design									
Draft Approach Paper									
Feedback Process									
Approach Paper									
TORs									
Protocol Development									
II. Evaluation context									
Literature Review									
Meta-Evaluation Review									
Evaluation Matrix									
III. Data collection									
Interviews									
Project Desk Review									
Field Visits									
IV. Analysis									
Data Analysis									
Draft Report									
Feedback Process									
V. Outreach									
Final Document to Council									
Presentation to Council									
Final Graphically Edited Version of Report									
Webinar									
Report Summary									
Blog-post									

TEAM AND SKILLS MIX

37. The evaluation will be led by a task manager from the GEF IEO with oversight from the Chief Evaluation Officer and Director of the IEO. The manager will lead a team comprised of GEF IEO Evaluation Analyst and consultants. A mid-level short-term consultant with technical and policy expertise in adaptation to climate change and evaluation will be hired to provide guidance and specific inputs at major milestones of the evaluation.

Appendix A: Conclusions and recommendations of the 2017 program evaluation of the Special Climate Change Fund

CONCLUSIONS

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.**

Evaluation matrix

Key question	Indicators/measures	Source of information	Methodology
1. Relevance: Does SCCF support continue to be relevant to UNFCCC COP guidance and decisions, the GEF adaptation programming strategy, and countries' broader development policies, plans and programs?			
1a. How relevant has SCCF support been to UNFCCC COP guidance and decisions, including the Paris Agreement?	Extent of alignment between SCCF-related and COP guidance/decisions Extent of alignment between SCCF projects and COP guidance/decisions	GEF/SCCF guidance (including council decisions), COP guidance (including Paris Agreement), project documentation, GEF Secretariat staff, GEF IEO/external evaluations	Portfolio analysis, interviews, country level interviews, documentation review, meta-assessment review
1b. How relevant has SCCF support been to the GEF's adaptation programming strategy?	Extent of alignment between SCCF projects and GEF adaptation programming strategy, including the three strategic objectives and two strategic pillars	GEF/SCCF guidance (including council decisions), GEF adaptation strategy, project documents, GEF Secretariat staff, GEF IEO/external evaluations	Portfolio analysis, interviews, country level interviews, documentation review, meta-assessment review,
1c. How relevant has SCCF support been to country-level environmental and sustainable development policies, plans and programs?	Extent of alignment between SCCF projects and national policies, plans and programs, including NAPs and NDCs	Country stakeholders (government, GEF Agencies, project partners), NDCs, project documentation	Portfolio analysis, interviews, literature review, documentation review, meta-assessment review
1d. How has the lack of funding affected the relevance of the SCCF?	Funding profile (funding sources, volumes) of recently approved/completed projects Availability of resources for SCCF pipeline	Country stakeholders (GEF Agencies, government, project partners), Donors (Council members) GEF IEO/external evaluations	Interviews, literature review, documentation review, meta-assessment review
2. Coherence: To what extent are SCCF projects complementary to interventions funded by other donors? (such as the GCF, and others)			
2a. To what extent are newly approved and completed SCCF projects complementary to interventions funded by other donors?	Linkages with GCF and other projects as described in project approval and performance documents	Country stakeholders (government, GEF Agencies, project partners), GCF, project documentation	Portfolio analysis, interviews

Key question	Indicators/measures	Source of information	Methodology
3. Effectiveness: How effective is the SCCF at strengthening the resilience of non-LDC developing countries?			
3a. What are the catalytic effects of SCCF projects? What types of results have been achieved by SCCF projects?	Outcome ratings of SCCF projects Type/extent of SCCF project achievements in environmental, legal/ regulatory, institutional, financial, socio-economic and innovation outcomes.	Project documentation, external evaluations, country stakeholders (government, GEF Agencies, project partners, beneficiaries), GEF Secretariat staff	Portfolio analysis, interviews, documentation review, meta-assessment review
3b. What are the gender equality objectives achieved and gender mainstreaming principles adhered to by the SCCF?	Type/extent of gender analyses, actions or results delivered through SCCF projects	GEF/SCCF guidance (including council decisions), project documentation, external evaluations, country stakeholders (government, GEF Agencies, project partners, beneficiaries), GEF Secretariat staff	Portfolio analysis, interviews, documentation review, meta-assessment review
3c. To what extent has the SCCF engaged the private sector?	Type/extent of private sector engagement with SCCF projects Level of private sector cofinancing within SCCF projects	Project documentation, external evaluations, country stakeholders (government, GEF Agencies, project partners, beneficiaries), GEF Secretariat staff	Portfolio analysis, interviews, document review, meta-assessment review 1. Promoting innovation and technology transfer for concrete adaptation actions. 2. Attention to private sector aspects in mainstreaming adaptation/ resilience. 3. Fosters enabling conditions to crowd in private sector for integrated adaptation
3d. What lessons are learned from implementation experience?	Compilation of type and substance of lessons learned through SCCF projects	Project documentation, external evaluations, country stakeholders (government, GEF Agencies, project partners, beneficiaries), GEF Secretariat staff	Portfolio analysis, interviews, meta-assessment review
4. Efficiency: How efficient has SCCF support been?			
4a. What are the main factors affecting the SCCF's efficiency?	Availability of resources for SCCF project proposals Comparisons of time elapsed between project cycle milestones for SCCF projects with similar funds such as GEF, LDCF, and AF	Project documentation, GEF Agency staff, GEF Secretariat staff, country stakeholders	Interviews, documentation review
4b. How efficient has the Challenge Program preselection process been?	Criteria of the selection model Applicants accepted versus rejected	Project documentation, GEF Agency staff, GEF Secretariat staff, country stakeholders	Interviews, documentation review, meta-assessment review

Key question	Indicators/measures	Source of information	Methodology
5. Sustainability: To what extent are the results of SCCF support likely to be sustainable?			
5a. What are the main factors affecting the sustainability of SCCF-supported outcomes?	Sustainability ratings of SCCF projects	Project documentation, external evaluations, country stakeholders (government, GEF Agencies, project partners, beneficiaries), GEF Secretariat staff	Portfolio analysis, interviews, country level interviews, meta-assessment review
6. Additionality: What has been the additionality, both environmental and otherwise, of the SCCF?			
6a. What is the value added of the SCCF?	Type/extent of SCCF project achievements in environmental, legal/ regulatory, institutional, financial, socio-economic and innovation outcomes. Aspects that make the SCCF distinctive from other climate funds	Project documentation, external evaluations, country stakeholders (government, GEF Agencies, project partners, beneficiaries), GEF Secretariat staff	Portfolio analysis, interviews, meta-assessment review
7. Changing context of the SCCF in the climate finance architecture			
7a. How have the context and assumptions of SCCF change? Is the SCCF still suited to its purpose? **7b.** What role does the SCCF play in the climate finance architecture now? **7c.** How effectively has the SCCF filled the role it was intended to play and the gap it was intended to fill? **7d.** What should be the future niche or niches of the SCCF in the climate change architecture?	Coherence in climate finance delivery Also compare with the role in climate finance, and by making special reference to e.g., SIDS, Trust Funds, Challenge Program	Selected interviews of GEF Council members (observers), UNFCCC, GEF agencies GEF Secretariat staff; other funds, think tanks, other thinkers Literature review Country studies	Interview reports GCF and external reports and analysis on climate finance Reports from country visits.
8. Questions about the future of the SCCF: for what purposes and how?			
8a. Do donors still believe in the value of the SCCF and would they find it? If not, why not? **8b.** What should the SCCF really focus on to become a really “special” fund?	As compared to how it is now and to other existing climate Funds	Selected interviews of GEF Council members (observers), UNFCCC, GEF Secretariat staff; other funds, Think tanks, other thinkers	Interviews, documentation review, meta- assessment review

SCCF projects in evaluation portfolio

GEF ID	GEF Agency	Project title	Country	Year completed	GEF funding (mil. $)	Rating: Outcomes	Rating: Sustainability	Rating: M&E design	Rating: M&E implementation
Completed projects									
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 Resources Management in Pangani River Basin	Tanzania	2011	1.00	MS	ML	NR	MU
2902	WB	Design and Implementation of Pilot Climate Change Adaptation Measures in the Andean Region	Regional	2014	8.09	MS	ML	NR	NR
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)	Region	2014	13.45	MS	ML	MU	MU
3103	ADB	Climate-resilient Infrastructure in Northern Mountain Province of Vietnam	Vietnam	2017	3.50	MU	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	MS
3156	UNDP	Coping with Drought and Climate Change	Zimbabwe	2012	1.00	S	ML	MS	MS
3159	WB	Adaptation to Climate Change Impacts on the Coastal Wetlands	Mexico	2016	4.80	MS	ML	MU	MU
3218	UNDP	Integrating Climate Change into the Management of Priority Health Risks	Ghana	2015	1.72	MU	ML	U	MS
3227	WB	Conservancy Adaptation Project	Guyana	2013	3.8	MS	ML	NR	NR
3242	UNDP	Adaptation to Climate Change in the Nile Delta Through Integrated Coastal Zone Management	Egypt	2018	4.10	MU	ML	S	MS

GEF ID	GEF Agency	Project title	Country	Year com-pleted	GEF funding (mil. $)	Rating			
						Out-comes	Sus-tain-ability	M&E design	M&E imple-mentation
3249	WB	Adaptation to Climate Change in Arid Lands (KACCAL)	Kenya	2014	6.79	MS	ML	MU	MU
3265	WB	Mainstreaming Adaptation to Climate Change Into Water Resources Management and Rural Development	China	2012	5.32	S	L	NR	NR
3299	UNDP	Strengthening the Capacity of Vulnerable Coastal Communities to Address Risk of Climate Change and Extreme Weather Events	Thailand	2014	0.91	MS	ML	S	MU
3679	UNEP	Economic Analysis of Adaptation Options in Support of Decision Making	Global	2010	1.00	MU	MU	MU	MU
3695	IFAD	Mongolia Livestock Sector Adaptation Project	Mongolia	2017	1.63	S	ML	MS	MS
3907	UNEP	Technology Needs Assessment	Global	2013	8.18	S	L	S	S
3934	UNDP	Reducing Disaster Risks from Wildfire Hazards Associated with Climate Change	South Africa	2016	3.64	MS	ML	S	MS
3967	WB	Integrating Climate Change in Development Planning and Disaster Prevention to Increase Resilience of Agricultural and Water Sectors	Morocco	2015	4.55	MS	MU	MU	MU
4036	IFAD	TT-Pilot (GEF-4) DHRS: Irrigation Technology Pilot Project to face Climate Change Impact	Jordan	2018	2.15	MU	MU	MU	U
4255	UNDP	To Promote the Implementation of National and Transboundary Inte-grated Water Resource Management that is Sustainable and Equitable Given Expected Climate Change	Swaziland	2016	1.72	S	ML	S	S
4261	UNDP	Integrating climate change risks into water and flood management by vulnerable mountainous communities in the Greater Caucasus region of Azerbaijan	Azerbaijan	2017	2.80	MU	MU	MS	MS
4340	UNDP	Strategic Planning and Action to Strengthen Climate Resilience of Rural Communities in Nusa Tenggara Timor Province (SPARC)	Indonesia	2018	5.09	S	ML	MS	MS
4368	IFAD	Promoting Value Chain Approach to Adaptation in Agriculture	Ghana	2017	2.60	MU	ML	S	U
4492	WB	Adaptation of Nicaragua's Water Supplies to Climate Change	Nicaragua	2018	6.00	MS	NR	MS	MS
4512	ADB	Pilot Asia-Pacific Climate Technology Network and Finance Center	Regional	2019	10.91	MS	L	MU	U
4609	UNDP	Strengthening the Resilience of Post Conflict Recovery and Development to Climate Change Risks in Sri Lanka	Sri Lanka	2017	3.18	MS	ML	MS	MS
4616	FAO	Climate Change Adaptation to Reduce Land Degradation in Fragile Micro-Watersheds Located in the Municipalities of Texistepeque and Caldelaria de la Frontera	El Salvador	2018	1.57	MS	MU	MS	MS

GEF ID	GEF Agency	Project title	Country	Year com-pleted	GEF funding (mil. $)	Rating			
						Out-comes	Sus-tain-ability	M&E design	M&E imple-mentation
4960	UNDP	Scaling up Adaptation in Zimbabwe, with a Focus on Rural Livelihoods by Strengthening Integrated Planning Systems	Zimbabwe	2018	4.08	MS	ML	MS	MS
4967	UNDP	Scaling up risk Transfer Mechanisms for Climate Vulnerable Agriculture-based Communities in Mindanao	Philippines	2017	1.10	S	M	S	S
9941	CI	Structuring and Launching CRAFT: the First Private Sector Climate Resilience & Adaptation Fund for Developing Countries	Global	2019	1.08	S	L	MS	NR
Recently approved projects									
9670	UNEP	Enhancing Regional Climate Change Adaptation in the Mediterranean Marine and Coastal Areas	Regional		1.05				
10195	FAO	CSIDS-SOILCARE Phase 1: Caribbean Small Island Developing States (SIDS) multicountry soil management initiative for Integrated Landscape Restoration and climate-resilient food systems	Regional		8.36				
10296	CI	Adaptation SME Accelerator Project (ASAP)	Global		2.03				
10431	ADB	Partnerships for Coral Reef Finance and Insurance for Asia and the Pacific	Regional		1.28				
10433	UNIDO	Piloting innovative financing for climate adaptation technologies in medium-sized cities	Global		0.73				
10434	UNEP	Blended finance facility for climate resilience in coffee and cacao value chains: CC-Blend	Regional		1.14				
10436	WWF-US	Investment Readiness for the Landscape Resilience Fund	Global		1.19				
10437	WWF-US	Financial tools for small scale fishers in Melanesia	Regional		1.06				
10438	CAF	UAVs/drones for Equitable Climate Change Adaptation: Participatory Risk Management through Landslide and Debris Flow Monitoring in Mocao, Colombia	Colombia		0.50				
10632	UNIDO	Using systemic approaches and simulation to scale nature-based infrastructure for climate adaptation	Global		2.05				

Source: GEF Portal.

Note: CI = Conservation International; NR = not recorded; WB = World Bank. GEF funding amount excludes Agency fees. If available, at-completion values are used; otherwise, values at endorsement are used. 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 GEF Agencies on a four-point scale: L = likely, ML = moderately likely, MU = moderately unlikely, and U = unlikely.

Interviewees

D.1 GEF Secretariat

Aoki, Chizuru, GEF Secretariat, Lead Environmental Specialist

Barnwal, Aloke, GEF Secretariat, Senior Climate Change Specialist

Dorji, Tshewang, GEF Secretariat, Climate Change Specialist

Iqbal, Fareeha, GEF Secretariat, Senior Climate Change Specialist

Kuang-Idba, Katya, GEF Secretariat, Climate Change Specialist

Rodriguez, Carlos Manuel, GEF Secretariat, CEO

Shiga, Yuki, GEF Secretariat, Environmental Specialist

Spensley, Jason, GEF Secretariat, Senior Climate Change Specialist

D.2 GEF Agencies

Abraham, Arun, ADB, Senior Environmental Specialist

Armstrong, Angela G., World Bank, Senior Operations Officer, Acting GEF Contact

Braun, Genevieve, FAO, Program Officer, GEF Focal Point

Gómez, René, CAF, GEF Coordinator

Gonzalez Riggio, Valeria, FAO, Natural Resources Officer

Gordiievska, Olga, UNIDO, Environment Partnerships Division

Kamila, Srilata, UNDP, Results Management and Evaluation Advisor

Koeszegvary, Akos, UNIDO, Division Chief, GEF Coordinator

Kontorov, Anna, UNEP, GEF Climate Change Adaptation Unit, Task Manager

Kurukulasuriya, Pradeep, UNDP, Global Environmental Finance, Executive Coordinator

Lefeuvre, Hervé, WWF-US, Senior Director, GEF Coordinator

Nash, Alexander, ADB, Urban Development Specialist

O'Brien, Noelle, ADB, Pacific Department, Principal Climate Change Specialist

Palomeque, Jessica, CAF, Project Manager

Samaroo, Orissa, CI, Program Officer GEF Focal Point, Natural Resources Officer

Besekei Sutton, Dinara, World Bank, Natural Resources Management Specialist

Troni, Jessca, UNEP, Climate Change Adaptation, Portfolio Manager

Velasquez, Mauricio, CAF, Green Business Unit, Principal Executive

Vignati, Federico, CAF, Regional Biodiversity Program Coordinator, Principal Executive

D.3 UNFCCC

Kim, Hyunwoo (Noah), UFCCC, Means of Implementation Division, Climate Finance Sub-division, Associate Program Officer

Moehner, Annett, UNFCCC, Adaptation Program, Program Officer van der Plas, Bert, UNFCCC, Means of Implementation division, Climate Technology sub-division, Program Officer, Team Lead

D.4 Operational focal points

Enkhbat, Altangerel, Ministry of Environment and Tourism, Mongolia, Department of Climate Change, Director General

Firadi, Rachid, Secretariat of State in Charge of Sustainable Development, Morocco, Communication and Cooperation, Director of Partnership

Mundoga, Tanyaradzwa, Zimbabwe, Ministry of Environment, Climate, Tourism, and Hospitality Industry, Deputy Director

D.5 Donors – Council members

Abou-Chaker, Tatyana, Global Affairs, Canada, Environment Officer

Biallas, Shella, Department of State, United States of America, Office of Global Change, Adaptation Lead

Blatter, Gabriela, Federal Office for the Environment, Switzerland, International Environment Finance, Principal Policy Advisor

Bui, Tom, Global Affairs, Canada, Environment, Director

Gaul, Matthew, Environment and Climate Change, Canada, Multilateral Affairs, Policy Analyst

Green, Ben, Foreign Commonwealth and Development Office, United Kingdom, Senior Responsible Officer for the GEF

Moglestue, Mette, Ministry of Foreign Affairs, Norway, Senior Advisor

Schwager, Stefan, Landscape Resilience Fund, President of the Foundation, and former Swiss Council Member

Sherikar, Pallavi, Department of State, United States of America, Climate Adaptation Specialist

D.6 SIDS – Council members

Bussier, Gerard Pascal, Ministry of Finance, Economic Planning and Development, Mauritius, Deputy Financial Secretary

Queeley, Lavern, Ministry of Sustainable Development, St. Kitts and Nevis, Department of Economic Affairs and PSIP, Senior Director, Challenge Program

Buenfil, Jacinto, FAO, Environment and Climate Change Policy Officer

Rataj, Olga, UNIDO, Directorate of Environment and Energy, Department of Energy, Climate Technology and Innovation Division, Associate Industrial Development Officer

Rajiv Garg, UNEP, Regional Manager, Africa, Climate Technology Center and Network

D.7 Think tanks

Adams, Kevin, London School of Economics, Grantham Research Institute on Climate Change and the Environment

Larsen, Gaia, Finance Center, Climate Finance Access and Deployment, Director

Thwaites, Joe, World Resources Institute, Sustainable Finance Center, Associate II

Portfolio review protocol

The portfolio analysis protocol was developed in SurveyMonkey and includes branching and skip-logic elements. It consists of 71 questions over 15 pages, but not all questions apply to all projects being reviewed. Specifically, Q1–Q46 were asked for all projects; Q47–Q50 were asked for recently approved projects only; and Q51–Q71 were asked for completed projects only.

GENERAL INFORMATION

Information on data entry

Q1. Who is entering the data for this project?

Q2. Which documents will be used for this review?

Basic project information

Q3. GEF ID

Q4. Project Name

Q5. Main focal area

Q6. Type of primary in-country executing partner

Q7. Is project a multitrust fund project?

Q8. Please provide the implementation state date

Q9. Please provide the implementation end date.

Q10. Please provide the cumulative length of project extensions in months.

Type, duration of project, and country targeted

Q11. What is the project's regional scope?

Q12. Select the region(s) that apply to the project.

Q13. Please list the country (or countries) in which the project is implemented.

Objectives and components (1/2)

Q14. What is the project's overarching objective?

Q15. Please write down the project components.

Outcome areas (2/2)

Q16–Q25: Expected outcomes under project components 1 to 10:

Q26. What SCCF activity window applies to the project?

Q27. Which of the following SCCF activity windows apply to the project?

Q28. Describe the adaptation benefits the project plans to produce.

Q29. Describe the mitigation benefits the project plans to produce.

Q30. Did the project design include plans for private sector engagement in any of the following ways?

- Cofinancing from private sector partner is promised in the project documents
- Project has identified private sector partners
- Private sector entities will be beneficiaries of project activities

- Project design includes activities aiming to increase private sector involvement.
- Investments/leveraged funds from private sector have been promised in project documents.

Additionality at entry

Q31. Which types of activities are funded by the project?

Q32. Does the project design include linkages with GCF funding projects?

Q33. Does project document show any evidence of collaboration with GCF in the following ways?

Q34. Does project include activities designed to help country/countries access GCF funds?

Q35. Selected focal areas—other than the main focal area—to which the Implementation Project (potentially) contributes.

Quality at entry

Q36. Has the project indicated risks—including climatic as well as non-climatic risks—that might prevent the project objectives from being achieved?

Q37. Does the project provide risk mitigation strategies, or actions to be taken in the case that identified risks would materialize?

Financing information

Q38. Cofunding source(s), if applicable.

Gender

Q39. Did stakeholder consultations include individuals or groups with a gender perspective?

Q40. Does the project include a gender analysis or equivalent?

Q41. Does the project include a gender action plan (GAP) or equivalent?

Q42. Does the project's results framework include gender/sex disaggregated or gender specific indicators?

Q43. Is there evidence that the project collected gender disaggregated indicators?

Q44. Does the terminal evaluation report on gender?

Q45. Is there evidence that the project generated socioeconomic benefits for women?

Completed programs/projects

Q46. Is there a terminal evaluation (TE) document for the completed program/project? (If yes, continued to **completed projects**; If no, continue to **approved projects**)

APPROVED PROJECTS

Q47. Alignment of project with GEF adaptation strategic objectives.

Q48. Alignment of projects with strategic pillars.

Q49. Extent of alignment between projects and national policies, plans and programs, including NAPs and NDCs.

Q50. Do you have any other comments about the project to add?

COMPLETED PROJECTS

Catalytic effects

Q51. Identify the implementation project's alignment with the following catalytic effects:

- **Public good:** The project developed or introduced new technologies and/or approaches
- **Demonstration:** Demonstration sites and/or training was given to further catalyze the new technologies/approaches
- **Replication:** Activities, demonstrations, and/or techniques are repeated in or outside the project
- **Scaling up:** Approaches developed through the project are taken up on a regional or national scale, becoming widely accepted

Q52. Catalytic effects—Part 2: Identify the implementation projects' alignment with the following catalytic effects:

- Project generated significant social, economic cultural and human well-being co-benefits
- Project built on the traditional knowledge and practices of local communities
- The project had impact on multiple sectors and at different levels of society
- Project built foundations for larger scale project(s) through analytic work, assessments, and capacity-building activities

- The project was instrumental in developing longer-term partnerships
- Project was successful in developing new cost sharing approaches/leveraging new resources
- Project improved management effectiveness of adaptation-relevant (sub-)national systems

Q53. Is there evidence that the project engaged private sector engagement in any of the following ways?

Additionality at completion

Q54. Based on performance information in available PIRs/MTRs and TEs, which types of results did the project achieve?

Q55. Did the project include linkages with GCF funded projects?

Q56. Does project document show any evidence of collaboration with GCF in the following ways?

Q57. Did project activities help country/countries access GCF funds?

Q58. Select focal areas—other than the main focal area—to which the project results successfully contributed.

Likelihood of sustainability

Q59. Please provide a description of any **project-related factors** that contributed to the likelihood of sustainability of project outcomes?

Q60. Please provide a description of any **project-related factors** which hindered the likelihood of sustainability of project outcomes?

Q61. Please provide a description of any **context related factors** that contributed to the likelihood of sustainability of project outcomes?

Q62. Please provide a description of any **context related factors** which hindered the likelihood of sustainability of project outcomes?

Q63. Please describe provisions for continued financing or support to project activities postcompletion.

Lessons learned

Q64. What are the lessons learned on Communications and Stakeholder Involvement?

Q65. What were the lessons learned on Project Management?

Q66. What were the lessons learned on Monitoring and Evaluation?

Q67. What were the content-technical lessons learned in relation to Climate Change Adaptation?

Q68. What were the lessons learned in relation to engagement with the private sector?

Q69. What were the lessons learned in relation to gender?

Q70. Add any other lessons learned that would not be covered in the answers to the above 4 questions.

Q71. Do you have any other comments about the project to note?

UNFCCC COP guidance and decisions

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

Decision/guidance		Subject
Decision 5/CP.7: I. Adverse effects of climate change	Par. 8. Decides that the implementation of the following activities shall be supported through the special climate change fund (in accordance with decision 7/CP.7) and/or the adaptation fund (in accordance with decision 10/CP.7), and other bilateral and multilateral sources: a. Starting to implement adaptation activities promptly where sufficient information is available to warrant such activities, inter alia, in the areas of water resources management, land management, agriculture, health, infrastructure development, fragile ecosystems, including mountainous ecosystems, and integrated coastal zone management;	SCCF funding priorities
	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;	SCCF—Health
	c. Supporting capacity building, including institutional capacity, for preventive measures, planning, preparedness and management of disasters relating to climate change, including contingency planning, in particular, for droughts and floods in areas prone to extreme weather events; d. Strengthening existing and, where needed, establishing national and regional centres and information networks for rapid response to extreme weather events, utilizing information technology as much as possible;	SCCF—DRM
Decision 5/CP.7: III. Impact of the implementation of response measures	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;	Funding priorities—General
Decision 7/CP.7: Funding under the Convention	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: a. Adaptation, in accordance with paragraph 8 of decision 5/CP.7; b. Transfer of technologies, in accordance with decision 4/CP.7; c. Energy, transport, industry, agriculture, forestry and waste management; d. Activities to assist developing country Parties referred to under Article 4, paragraph 8(h), in diversifying their economies, in accordance with decision 5/CP.7;	SCCF funding priorities
	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;	SCCF general
COP-8: New Delhi, India, October 23–November 1, 2002 (FCCC/CP/2002/7/Add.1)		
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	The Conference of the Parties,... 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: a. Promote complementarity of funding between the Special Climate Change Fund and other funds with which the operating entity is entrusted; b. Ensure financial separation of the Special Climate Change Fund from other funds with which the operating entity is entrusted; c. Ensure transparency in the operation of the Special Climate Change Fund; d. Adopt streamlined procedures for the operation of the Special Climate Change Fund while ensuring sound financial management;	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	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: a. Initiating a process now with a view to providing further guidance to the Global Environment Facility, this process to consist of: 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; 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; 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; 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.	SCCF funding priorities
COP-9: Milan, Italy, December 1–12, 2003 (FCCC/CP/2003/6/Add.1)		
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	The Conference of the Parties,...Par. 1. Decides that: a. The Special Climate Change Fund should serve as a catalyst to leverage additional resources from bilateral and other multilateral sources; b. Activities to be funded should be country driven, cost-effective and integrated into national sustainable development and poverty-reduction strategies;	SCCF funding principles
	c. Adaptation activities to address the adverse impacts of climate change shall have top priority for funding;	SCCF—Adaptation overall
	d. Technology transfer and its associated capacity-building activities shall also be essential areas to receive funding from the Special Climate Change Fund;	SCCF—Technology transfer
	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: 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;	SCCF—Adaptation overall
	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;	SCCF—Health
	c. Supporting capacity building, including institutional capacity, for preventive measures, planning, preparedness and management of disasters relating to climate change, including contingency planning, in particular, for droughts and floods in areas prone to extreme weather events; d. Strengthening existing and, where needed, establishing national and regional centres and information networks for rapid response to extreme weather events, utilizing information technology as much as possible;	SCCF—DRM

<table>
<tr><th colspan="2">Decision/guidance</th><th>Subject</th></tr>
<tr><td rowspan="5">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</td><td>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:
a. Implementation of the results of technology needs assessments;
b. Technology information;
c. Capacity building for technology transfer;
d. Enabling environments;</td><td>SCCF—Technology transfer</td></tr>
<tr><td>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;</td><td>SCCF funding priorities</td></tr>
<tr><td>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;</td><td>SCCF—Resource approval and disbursement</td></tr>
<tr><td>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;</td><td>SCCF—Resource mobilization</td></tr>
<tr><td>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;</td><td>SCCF—Reporting</td></tr>
<tr><td colspan="3">COP-10: Buenos Aires, Argentina, December 6–18, 2004 (FCC/CP/2004/10/Add.1)</td></tr>
<tr><td>Decision 1/CP.10: Buenos Aires programme of work on adaptation and response measures</td><td>The Conference of the Parties, ...
Par. 3. Urges Parties included in Annex II to the Convention (Annex II Parties) to contribute to the Special Climate Change Fund and other multilateral and bilateral sources, to support, as a top priority, adaptation activities to address the adverse impacts of climate change;</td><td>SCCF—Financial resources</td></tr>
<tr><td colspan="3">COP-12: Nairobi, Kenya, November 6–17, 2006 (FCCC/CP/2006/5/Add.1)</td></tr>
<tr><td>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</td><td>The Conference of the Parties, ...
Par. 1. Decides that the Special Climate Change Fund shall be used to finance activities, programmes and measures relating to climate change in the areas set out in decision 7/CP.7, paragraph 2 (c), that are 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:
a. Energy efficiency, energy savings, renewable energy and less-greenhouse-gas-emitting advanced fossil-fuel technologies;
b. Innovation including through research and development relating to energy efficiency and savings in the transport and industry sectors;
c. Climate-friendly agricultural technologies and practices, including traditional agricultural methods;
d. Afforestation, reforestation and use of marginal land;
e. Solid and liquid waste management for the recovery of methane;</td><td>SCCF—Sectors (SCCF-C)</td></tr>
</table>

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	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: a. Capacity building at the national level in the areas of: b. Economic diversification; c. Energy efficiency in countries whose economies are highly dependent on consumption of fossil fuels and associated energy-intensive products; d. Support through technical assistance the creation of favourable conditions for investment in sectors where such investment could contribute to economic diversification; e. Support through technical assistance the diffusion and transfer of less-greenhouse-gas emitting advanced fossil-fuel technologies; f. Support through technical assistance innovative national advanced fuel technologies; 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;	SCCF—Diversification (SCCF-D)
	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;	SCCF general
	Par. 4. Decides that the operational principles and criteria of the Special Climate Change Fund and the manner in which they are carried out in the operation of the Special Climate Change Fund will apply only to Global Environment Facility activities financed under the Special Climate Change Fund;	SCCF funding principles
COP-16: Cancun, Mexico, November 29–December 10, 2010 (FCCC/CP/2010/7/Add.2)		
Decision 2/CP.16: Fourth review of the financial mechanism	Par. 5. Decides that the Global Environment Facility should continue to provide and enhance support for the implementation of adaptation activities, including the implementation of national adaptation programmes of action, through the Least Developed Countries Fund and the Special Climate Change Fund;	CCA funding in general
	Par. 6. Requests the Global Environment Facility, in its regular report to the Conference of the Parties, to include information on the steps it has taken to implement the guidance provided in paragraphs 3, 4 and 5 above;	Reporting general
Decision 4/CP.16: Assessment of the Special Climate Change Fund	The Conference of the Parties, ... Decides to conclude the assessment of the status of implementation of paragraph 2 of decision 1/CP.12 and to request the entity entrusted with the operation of the Special Climate Change Fund to include in its report to the Conference of the Parties at its seventeenth session information on the implementation of paragraph 2 (a–d) of decision 7/CP.7.	SCCF review
COP 18: Doha, Qatar, 26 November - 8 December 2012 (FCCC/CP/2012/8/Add.1)		
Decision 9/CP.18: Report of the Global Environment Facility to the Conference of the Parties and additional guidance to the Global Environment Facility	The Conference of the Parties, ... Par. 1. Requests the Global Environment Facility, as an operating entity of the financial mechanism of the Convention: (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;	SCCF—NAP process

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
COP-21: Paris, France, November 30–December 13, 2015 (FCC/CP/2015/10/Add.1)		
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
COP 22: Marrakech, Morocco, 07 November-18 November 2016 (FCC/CP/2015/10/Add.1)		
Decision 6/ CP.22- National adaptation plans	Par 10. Encourages developed country Parties to contribute to the Least Developed Countries Fund and the Special Climate Change Fund and invited additional voluntary financial contributions to the LDCF, the SCCF, and other funds under the Financial Mechanism, as appropriate, recognizing the importance of the process to formulate and implement NAPs	SCCF - Resource mobilization
COP 24: Katowice, Poland, 2 December-14 December 2018 (FCC/CP/2018/10/Add.1)		
Decision 8/ CP.24-National adaptation plans	Par 9. Notes that funding has been made available for developing country Parties under the Green Climate Fund, and the Least Developed Countries Funds, and the Special Climate Change Fund for the process to formulate and implement national adaptation plans.	SCCF - NAP process
COP 25: Madrid, Spain, 2 December-13 December 2019 (FCC/CP/2019/13/Add.1)		
Decision 13/ CP.25- Report of the Global Environment Facility to the Conference of the Parties and guidance to the Global Environment Facility	Par. 3 Welcomes contributions made by Switzerland to the Special Climate Change Fund during the reporting period amounting to $3.3 million, and encourages additional voluntary financial contributions to these funds to provide support for adaptation.	SCCF - Resource mobilization

GEF-7 portfolio alignment with COP guidance

COP guidance	Proposed GEF-7 action	Relevant indicators from the SCCF GEF-7 portfolio
Decision -/CP.23 Report of the Global Environment Facility to the Conference of the Parties and guidance to the Global Environment Facility (Agenda item 10d) **Improved access for LDCs, SIDS.** Invites the Global Environment Facility to further consider ways to improve its access modalities for developing country Parties, including small island developing states and the least developed countries.	The LDCF will remain dedicated to serving the adaptation needs of least developed countries (LDCs) and to seek opportunities to engage in joint programming with the GEF Trust Fund. SIDS will receive special consideration for SCCF programming, subject to approval of the proposed strategy.	3 of the 9 (33%) GEF-7 projects are to be implemented in SIDS countries.
Enhanced engagement with private sector and technology transfer. Encourages the Global Environment Facility to further enhance engagement with the private sector including its technology projects.	The conclusion of GEF-6 saw the approval of an innovative private sector-oriented adaptation project with potential to mobilize more than $500 million in cofinancing. Further such engagement with the private sector is anticipated for the Adaptation Program in GEF-7.	4 of the 9 (44%) GEF-7 projects include promised cofinancing from private sector. 4 of the 9 (44%) GEF-7 projects identified private sector partners. 6 of the 9 (67%) GEF-7 projects identified private sector entities as beneficiaries of project activities. 8 of the 9 (89%) GEF-7 projects included activities which aim to increase private sector involvement (e.g., policy work to strengthen enabling environment for private sector).

COP guidance	Proposed GEF-7 action	Relevant indicators from the SCCF GEF-7 portfolio
Decision -/CP.23 Sixth review of the Financial Mechanism (Agenda item 10e) **Enhanced complementarity between operating entities of the Financial Mechanism.** Takes note of the efforts made by the operating entities of the Financial Mechanism to enhance complementarity and coherence between them and between the operating entities and other sources of investment and financial flows; and *Decision 8/CP.21, paragraph 13* **Engagement with GCF.** Welcomes the efforts to date of the Global Environment Facility to engage with the Green Climate Fund and encouraged both entities to further articulate and build on the complementarity of their policies and programmes within the Financial Mechanism of the Convention.	The GEF is committed to ensuring complementarity with other operating entities of the Financial Mechanism, including the GCF. Over GEF-6, there has been strong bilateral engagement with the GCF, and examples have started to emerge of GEF pilots selected for scale-up by the GCF. In GEF-7, the GEF anticipates consultative joint programming efforts with the GCF, where the GEF may finance innovative adaptation pilots to explore feasibility and adaptation potential, and the GCF scaling up selected initiatives among these, as well as crowding in private sector partners. Such coordinated programming, however, will also require Agencies and countries to also heighten their internal coordination in developing proposals for both Funds. The GEF is well-positioned to engage with the Adaptation Fund. There is already a precedent of technical cooperation with the AF in the form of GEF co-reviewing AF project proposals.	6 of the 9 (67%) GEF-7 projects includes plans for complementarity with GCF.
Decision -/CP.13 Establishment of Gender Action Plan **Mainstreaming gender.** Invites Parties, members of constituted bodies, United Nations organizations, observers and other stakeholders to participate and engage in implementing the gender action plan referred to in paragraph 1 above (hereinafter referred to as the gender action plan), with a view to advancing towards the goal of mainstreaming a gender perspective into all elements of climate action SBI 49: In Decision 15/CP.22, paragraph 21, the COP requested the Financial Mechanism and its operating entities to include in their respective annual reports to the COP information on the integration of gender considerations into all aspects of their work.	The GEF has a new gender policy (GEF 2017) in place that applies to all its programming. According to the IEO, in GEF-6 over 90% of LDCF projects either include or give a strong indication that a gender mainstreaming strategy or plan is being or will be developed. In recognition of the critical role that women can play in adaptation and community resilience, as well as the unique vulnerabilities of men and women, the LDCF and SCCF will continue to provide leadership in promoting gender equality mainstreaming and women's empowerment in GEF-7. The GEF reported on its efforts towards gender mainstreaming in its report to the COP 23 and will continue to do so in subsequent reports to the COP.	4 of the 9 (44%) projects included stakeholder consultations with individuals or groups with a gender perspective. 6 of the 9 (67%) projects included a gender analysis or plans to conduct one. 6 of the 9 (67%) projects included a Gender Action Plan (GAP) or equivalent or plans to develop one. 8 of the 9 (89%) projects contained gender/sex disaggregated indicators or plans to include them in design.

COP guidance	Proposed GEF-7 action	Relevant indicators from the SCCF GEF-7 portfolio
Draft text: SBI 47 agenda item 10 **Matters relating to the least developed countries — Support to countries recently graduated from LDC status.** Invites the operating entities of the Financial Mechanism and relevant bodies under the Convention and the Paris Agreement to consider the extension, for a fixed period of time, of LDC specific support to countries that have recently graduated from LDC status as a way to contribute towards making this transition smooth for such countries.	The GEF is exploring options and modalities to address this issue in GEF-7.	No GEF-7 projects have been approved in graduated LDC countries.
Decision 11/CP.22, para 12 **Synergies.** Encourages the GEF to continue its efforts to encourage countries to align, as appropriate, their GEF programming with priorities as identified in their Nationally Determined Contributions (NDCs), where they exist, during the seventh replenishment, and to continue to promote synergies across its focal areas.	The GEF will seek to align its adaptation programming with country-identified priorities in NAPAs, NAPs, and NDCs. An important aspect of GEF-7 adaptation programming will be integrated and synergistic programming with other GEF focal areas to ensure delivery of robust and climate-resilient operations that address key drivers of environmental degradation and vulnerability.	All of the 9 GEF-7 projects included a connection to NDCs, NAPs, NAPAs, or other national policies, plans or programs.
Decision 1/CP.21, para 64 **Enhanced coordination/delivery of support to LDCs.** Urges the institutions serving the Agreement to enhance the coordination and delivery of resources to support country-driven strategies through simplified and efficient application and approval procedures, and through continued readiness support to developing country Parties, including the least developed countries and small island developing States, as appropriate.	As in GEF-6 through the NAP Global Support Program (GSP), the GEF will continue to fund programs and projects that enhance country readiness to engage in needed in-country adaptation actions. A new means by which efficiency in application and approval procedures will be enhanced in GEF-7 is through joint CCA-GEF Trust Fund programming in cases where mutual gains can be reaped through such integration (see Synergies, above).	4 of the 9 (44%) GEF-7 projects are MTFs.
Decision 16/CP.21, para 6 **Alternative policy approaches.** Notes that the financing entities referred to in decision 9/CP.19, paragraph 5, are encouraged to continue to provide financial resources, including through the wide variety of sources referred to in decision 2/CP.17, paragraph 65, for alternative policy approaches, such as joint mitigation and adaptation approaches for management of forests.	The GEF is actively seeking approaches in GEF-7 that will enable joint programming across adaptation and GEF Trust Fund focal areas to deliver integrated and cross-cutting solutions that can generate multiple benefits – global as well as local. Through the adaptation portfolio, the GEF has been delivering resilience benefits to communities by improving forest management, reversing land degradation, and strengthening coasts, for example. Joint programming with relevant focal areas can ensure that the global environmental benefits of such initiatives are fully realized and tracked.	4 of the 9 (44%) GEF-7 projects are MTFs, and 5 of 9 (56%) GEF-7 projects address both CCA and CCM.

Source: GEF 2018a.

Note: COP Guidance and proposed actions are presented in the GEF Adaptation Strategy. GEF-7 SCCF portfolio comprises nine projects.

Results frameworks

H.1 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, 2018, project and program proponents that seek funds from the LDCF or the SCCF for climate change adaptation will be asked to align their proposals with one or more of these strategic objectives.

Table H.1 Adaptation Program results framework

Goal	To strengthen resilience and reduce vulnerability to the adverse impacts of climate change in developing countries, and support country efforts to enhance adaptive capacity
Objective 1	Reduce vulnerability and increase resilience through innovation and technology transfer for climate change adaptation
Outcome 1.1	Technologies and innovative solutions piloted or deployed to reduce climate-related risks and/or enhance resilience
Outcome 1.2	Innovative financial instruments and investment models enabled or introduced to enhance climate resilience
Objective 2	Mainstream climate change adaptation and resilience for systemic impact
Outcome 2.1	Strengthened cross-sectoral mechanisms to mainstream climate adaptation and resilience
Outcome 2.2	Increased ability of country to access climate finance or other relevant, large-scale, programmatic investment
Objective 3	Foster enabling conditions for effective and integrated climate change adaptation
Outcome 3.1	Climate-resilient planning enabled by stronger climate information decision support services, and other relevant analysis
Outcome 3.2	Institutional and human capacities strengthened to identify and implement adaptation measures

Table H.2 GEF-7 results framework on gender equality and women's empowerment (GEWE)

Indicators	Baselines	Verification
Outcome area: Gender-responsive GEF program and project design and development		
1. Percentage of projects that have conducted a gender analysis or equivalent socioeconomic assessment	Baseline: 66%	Project documents at PIF and CEO Endorsement/ Approval Gender tags in the GEF Portal
2. Percentage of projects that plan to carry out gender-responsive activities—Number of projects with specific gender action plans	Baseline: Not available	
3. Percentage of projects that include sex-disaggregated and gender sensitive indicators	Baseline: 78%	
4. Percentage (and number) of anticipated GEF beneficiaries that are female	Baseline: Not available	GEF Core indicator
5. Percentage of projects that are tagged for expected contribution to closing gender gaps and promoting GEWE in one or more of the following categories: • Contributing to equal access to and control of natural resources of women and men • Improving the participation and decision making of women in natural resource governance • Targeting socioeconomic benefits and services for women	Baseline: Not available	Gender tags in the GEF Portal
Outcome area: Gender-responsive program and project reporting and results		
6. Percentage (and number) of GEF beneficiaries that are female	Baseline: Not available	PIRs/MTRs/ TEs (Qualitative analyses)
7. Percentage of projects that report on progress on gender-responsive measures, sex-disaggregated and gender-sensitive indicators, and lessons learned	Baseline: 73%	
8. Percentage of projects that report on results in one or more of the following categories: • Contributing to equal access to and control of natural resources of women and men • Improving the participation and decision making of women in natural resource governance • Targeting socioeconomic benefits and services for women	Baseline: Not available	

Source: GEF 2018b.

Donor contributions to climate funds over time

Table I.1 SCCF donations, 2004–20 (million $)

Country	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020
Belgium								12.90	12.03	16.28							
Canada			5.24	7.66													
Denmark		2.02	2.10	2.47	2.40												
Finland		0.42	0.97	0.65	1.92	1.29	1.14	1.30	3.71	2.60	3.36	0.96					
Germany		6.79		6.99	13.50			52.25		40.92							
Ireland		0.55	0.53	0.53	0.53												
Italy				5.00													
Netherlands		3.13															
Norway		3.13	2.60	4.76	7.74	5.24	2.57	2.52	2.99	2.51	2.32						
Portugal		1.30															
Spain			2.60		4.26		5.49										
Sweden		1.43		2.31	2.38												
Switzerland	0.25	1.27	1.07	0.40	0.45	0.55	0.59	1.34	1.32	1.34	1.32	1.24		0.54	0.51	0.79	0.83
United Kingdom		18.60															
United States							20.00		10.00	10.00	10.00						
Total	0.25	38.64	15.11	30.77	33.18	7.08	29.79	70.31	30.05	73.65	17.00	2.20		0.54	0.51	0.79	0.83

Source: World Bank Financial Intermediary Funds webpage; accessed July 2021.

Table I.2 Contributions to other climate funds since 2014 (million $)

Country	2014	2015	2016	2017	2018	2019	2020
Adaptation Fund							
Belgium	1.22	1.92	10.31	4.22	5.40	4.93	6.72
Canada						2.24	
France		5.56			17.06		
Finland	6.80						
Germany	62.99	54.62	52.26	59.25	79.64	33.56	59.35
Ireland				0.36	0.34	0.33	0.37
Italy		2.17		14.20		7.92	36.71
Luxembourg		2.11					
New Zealand						1.97	
Norway						10.20	5.79
Poland						1.00	
Qatar							
Spain						0.98	1.37
Sweden			21.55	17.51	15.57	58.15	
Switzerland						15.31	
Total	71.01	66.38	84.12	95.54	118.01	136.59	110.31
Green Climate Fund							
Australia		151.55	0.11	0.80	0.07		
Austria		22.36	6.69			33.36	118.91
Belgium	48.33	4.35	29.87			28.10	26.25
Bulgaria		0.11					0.06
Canada		227.23					36.98
Chile		0.30					
Colombia			0.29				
Cyprus				0.42			
Czech Republic	0.45	4.11					
Denmark	24.31	37.34					40.12
Estonia		1.12					
Finland		37.61			51.34	172.00	53.98
France	1.28	893.67	1.18			649.82	1644.29
Germany		862.54				558.77	
Hungary			3.51				
Iceland		0.15	0.35	0.20	0.20	0.20	0.70
Indonesia	0.25						
Ireland			2.08	2.38	2.28	2.23	19.03
Italy	0.62	55.25		172.07			115.38
Japan	1.00	1,384.25					1136.02
Latvia	0.42						
Lichtenstein		0.05					0.11
Lithuania			0.11				

Country	2014	2015	2016	2017	2018	2019	2020
Luxembourg		5.39	22.49		11.22		23.56
Malta		0.06	0.11	0.11	0.11	0.11	0.12
Mexico		10.00					
Monaco		0.28		0.53	0.86	0.84	3.48
Mongolia				0.05			
Netherlands		111.93					106.93
New Zealand		2.20				10.07	
Norway	0.07	194.14		9.75		43.64	349.67
Panama		0.50	0.50				
Poland	0.10					3.00	
Portugal		2.17					1.21
Republic of Korea	11.00	85.39					50.74
Romania			0.05				
Russian Federation					3.00		7.00
Slovak Republic						2.00	1.76
Slovenia						1.11	
Spain			137.08			85.94	
Sweden	1.40	454.55				922.71	
Switzerland	0.56	30.00	70.00				112.50
United Kingdom	4.13	851.63		88.65	48.71		1480.74
United States			500.00	500.00			
Vietnam							1.00
Total	93.92	5,430.23	774.42	774.96	117.79	2,513.90	5,330.54
GEF Trust Fund							
Australia	88.41				44.90		
Austria		67.98				45.31	
Belgium	104.46				75.28		
Bangladesh		0.10					
Brazil					6.00		
Bulgaria							
Canada		226.01				182.12	
China	20.00				22.00		
Côte d'Ivoire					5.70		
Czech Republic	6.04				5.70		
Denmark	82.12				76.07		
Finland	91.26					38.71	
France	300.00				360.00		
Germany	460.33				502.45		
India	12.00				15.00		
Ireland	8.05				7.18		
Italy		121.00			110.06		
Japan	607.09					212.52	

Country	2014	2015	2016	2017	2018	2019	2020
Luxembourg	6.04				5.70		
Mexico	19.58				20.00		
Netherlands	109.03				100.01		
New Zealand	6.04				8.54		
Norway	73.08				64.91		
Pakistan	7.04				6.13	5.69	
Republic of Korea	8.01				6.35		
Slovenia	6.04				5.69		
South Africa	6.57				7.21		
Spain		40.52			11.96		
Sweden	203.64				252.56		
Switzerland		135.10				122.00	
United Kingdom	324.04				337.04		
United States		546.25				273.20	136.56
Total	2,548.87	1,136.96	0.00	0.00	2,056.44	879.55	136.56
LDCF							
Austria	2.09						
Belgium	14.60		7.27	12.23	3.40	19.87	27.31
Canada				22.71			
Denmark			23.20			22.33	30.68
Finland	7.09	1.70			2.29		8.33
France			26.73		22.61		
Germany		53.50		58.23			
Iceland		0.15	0.25	0.10	0.10	0.10	
Ireland	1.13	1.10	3.35			3.36	2.34
Italy			2.00				
Japan				0.83			
Netherlands					9.10	23.50	22.50
Norway	3.41						
Sweden	2.06		16.39	17.87	14.72	58.25	
Switzerland	1.05	0.98	1.70	2.03	1.63	2.52	2.63
United Kingdom			38.11				
United States	27.01	26.18					
Total	58.44	83.61	119.00	114.00	53.85	129.93	93.79

Source: World Bank Financial Intermediary Funds webpage; accessed July 2021.

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