



GLOBAL ENVIRONMENT FACILITY
INVESTING IN OUR PLANET

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Agenda Item 5

**UPDATED RESULTS-BASED MANAGEMENT FRAMEWORK FOR
ADAPTATION TO CLIMATE CHANGE UNDER THE LEAST DEVELOPED
COUNTRIES FUND AND THE SPECIAL CLIMATE CHANGE FUND**

Recommended Council Decision

The LDCF/SCCF Council, having reviewed document GEF/LDCF.SCCF.17/05, *Updated Results-Based Management Framework for Adaptation to Climate Change under the Least Developed Countries Fund and the Special Climate Change Fund*, welcomed the updated framework as a basis for enhanced results-based management of climate change adaptation under the LDCF and the SCCF.

EXECUTIVE SUMMARY

The LDCF/SCCF Council, at its 16th meeting in May 2014, endorsed the *GEF Programming Strategy on Adaptation to Climate Change for the Least Developed Countries Fund [LDCF] and the Special Climate Change Fund [SCCF]* (GEF/LDCF.SCCF.16/03). The Programming Strategy introduces a revised results framework for the GEF Adaptation Program, structured around three objectives with associated outcomes and indicators. This document presents the ways in which the Secretariat will operationalize the revised results framework and related aspects of the Programming Strategy as a basis for enhanced results-based management (RBM) of climate change adaptation under the LDCF and the SCCF.

The 2014-2018 Programming Strategy on Adaptation presents an opportunity to review and, where needed, improve on the policies, procedures, tools and practices that have been applied to results-based management of climate change adaptation over the past years. The present document complements and is aligned with the GEF Council document, GEF/C.47/05, *Results-based Management: Action Plan*. Specifically, based on past experience, the updated RBM framework for climate change adaptation attempts to address four critical needs:

- i. enable more comprehensive portfolio-level monitoring and reporting on progress and outcomes, based on more consistent definitions and methodologies;
- ii. introduce, where appropriate, qualitative tools and methodologies that allow portfolio-level monitoring and reporting to go beyond quantitative outputs;
- iii. establish appropriate indicators and methodologies for monitoring progress and outcomes in line with evolving guidance by the UNFCCC COP; and
- iv. seek, where appropriate, greater consistency with the tools and methodologies used by other funds, programs and agencies.

In order to address the needs identified, this document presents the final results framework of the GEF Adaptation Program for the period from July 1, 2014 to June 30, 2018; the revised tracking tool and guidelines for climate change adaptation projects financed through the LDCF and the SCCF; as well as an initial approach to future AMRs of the LDCF and the SCCF. Both the final results framework and tracking tool have benefited from consultation with GEF Agencies and other stakeholders.

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INTRODUCTION

1. The LDCF/SCCF Council, at its 16th meeting in May 2014, endorsed the *GEF Programming Strategy on Adaptation to Climate Change for the Least Developed Countries Fund [LDCF] and the Special Climate Change Fund [SCCF]* (GEF/LDCF.SCCF.16/03). The Programming Strategy introduces a revised results framework for the GEF Adaptation Program, structured around three objectives with associated outcomes and indicators. This document presents the ways in which the Secretariat will operationalize the revised results framework and related aspects of the Programming Strategy as a basis for enhanced results-based management (RBM) of climate change adaptation under the LDCF and the SCCF.

2. The present document complements the GEF Council document, GEF/C.47/05, *Results-based Management: Action Plan*. The updated RBM framework is aligned with the vision of the Action Plan; and the corporate initiatives and reforms proposed will apply to results-based management of climate change adaptation under the LDCF and the SCCF, as appropriate.

BACKGROUND AND RATIONALE

3. Since 2008, the Secretariat and the Evaluation Office have produced several guidelines and work plans on RBM as well as monitoring and evaluation of climate change adaptation under the LDCF and the SCCF, along with several iterations of the RBM framework. These include:

- i. GEF/LDCF.SCCF.4/Inf.4, *Background and Elements for a GEF Monitoring and Evaluation Framework on Adaptation* (March 2008);
- ii. GEF/LDCF.SCCF.5/3, *Results-Based Management Framework for LDCF and the SCCF* (October 2008);
- iii. GEF/LDCF.SCCF.6/4, *Results-Based Management Framework for the Least Developed Countries Fund (LDCF) and the Special Climate Change Fund (SCCF)* (May 2009);
- iv. GEF/LDCF.SCCF.7/4, *Implementation of Results-Based Management under the Least Developed Countries Fund and the Special Climate Change Fund* (October 2009);
- v. GEF/LDCF.SCCF.9/Inf.4, *Updated Results-Based Management Framework for the Least Developed Countries Fund and the Special Climate Change Fund and Adaptation Monitoring and Assessment Tracking Tool* (October 2010);
- vi. GEF/LDCF.SCCF.9/Inf.5, *Results-Based Management Work Plan* (October 2010); and
- vii. GEF/LDCF.SCCF.11/ME/01, *Monitoring and Evaluation Policy for the Least Developed Countries Fund and Special Climate Change Fund* (October 2011).

4. In addition, in April 2011, the Secretariat launched the Adaptation Monitoring and Assessment Tool (AMAT), the first GEF tracking tool for climate change adaptation projects, which has since been completed for more than 70 projects financed under the LDCF and the SCCF.

5. Previous Council documents and associated decisions contribute towards identifying and conceptualizing the challenges and opportunities for monitoring and evaluating adaptation. They also define the respective roles and responsibilities of the Secretariat, the Evaluation Office, GEF Agencies, country focal points, and other stakeholders in RBM of climate change adaptation projects under the LDCF and the SCCF. Finally, past decisions have established the basic processes and procedures for RBM of adaptation, including the Annual Monitoring Review (AMR) of the LDCF and the SCCF.

6. The 2014-2018 Programming Strategy on Adaptation presents an opportunity to review and, where needed, improve on the policies, procedures, tools and practices that have been applied over the past years; building on the corporate initiatives and reforms proposed in the RBM Action Plan. Specifically, based on past experience, the updated RBM framework for climate change adaptation attempts to address four critical needs:

- i. enable more comprehensive portfolio-level monitoring and reporting on progress and outcomes, based on more consistent definitions and methodologies;
- ii. introduce, where appropriate, qualitative tools and methodologies that allow portfolio-level monitoring and reporting to go beyond quantitative outputs;
- iii. establish appropriate indicators and methodologies for monitoring progress and outcomes in line with evolving guidance by the UNFCCC COP; and
- iv. seek, where appropriate, greater consistency with the tools and methodologies used by other funds, programs and agencies.

7. Consistent with the thrust of the GEF 2020 Strategy and the RBM Action Plan, the updated RBM framework also represents important steps to simplify the GEF's tools and approaches; and to enhance the information base for decisions on the provision and use of financing under the LDCF and the SCCF.

UPDATED RESULTS-BASED MANAGEMENT FRAMEWORK

8. In order to address the needs identified, this document presents the final results framework of the GEF Adaptation Program for the period from July 1, 2014 to June 30, 2018; the revised tracking tool and guidelines for climate change adaptation projects financed through the LDCF and the SCCF; as well as an initial approach to future AMRs of the LDCF and the SCCF.

Results framework of the GEF Adaptation Program

9. Based on consultations with GEF Agencies and other stakeholders, the results framework that was annexed to the GEF Programming Strategy on Adaptation (GEF/LDCF.SCCF.16/03) has undergone minor revision (see Annex I). Certain outcomes have been specified, and previous Outcome 2.2; "Improved scientific and technical knowledge base for the identification, prioritization and implementation of adaptation strategies and measures"; has been incorporated into previous Outcome 2.3, current Outcome 2.2; "Access to improved climate information and early-warning systems enhanced at regional, national, sub-national and local levels".

10. As indicated in the Programming Strategy, the initial selection of indicators has been reviewed and revised. While the results framework still contains 14 indicators, a majority of these has been clarified. Further details on each indicator; including units of measurement, definitions, guidelines and methodologies; may be found in the tracking tool in Annex II. Seven of the 14 indicators now request sex-disaggregated data.

11. Overall, the results framework is designed to capture the principal dimensions of the support provided through the LDCF and the SCCF for climate change adaptation. Objective 3; “Integrate climate change adaptation into relevant policies, plans and associated processes”; represents the most significant departure from the previous results framework, and it is specifically intended to reflect elements of the GEF’s mandate under the UNFCCC to support the preparation of the national adaptation plan (NAP) process. The revised results framework captures the two objectives of the NAP process, as defined by the Conference of the Parties to the UNFCCC, at its seventeenth session:

“(a) to reduce vulnerability to the impacts of climate change, by building adaptive capacity and resilience; [and]

(b) to facilitate the integration of climate change adaptation, in a coherent manner, into relevant new and existing policies, programmes and activities, in particular development planning processes and strategies, within all relevant sectors and at different levels, as appropriate” (decision 5/CP.17, paragraph 18).

12. The results framework has also been simplified. It now excludes outputs, which will not be monitored at the portfolio level. It is also designed to be broadly consistent with the results frameworks and logic models of other similar funds, including the Adaptation Fund, the Pilot Program for Climate Resilience (PPCR), and the Green Climate Fund.

13. As of July 1, 2014, funding proposals for climate change adaptation projects and programs under the LDCF and/or the SCCF are requested to identify one or more of the new strategic objectives towards which the project/ program is expected to contribute. At CEO Endorsement/Approval, projects will be requested to identify the outcomes of the GEF Adaptation Program towards which they are expected to contribute, and provide baselines and targets for relevant, associated indicators.

14. For a project that was approved prior to July 1, 2014, but for which CEO Endorsement/Approval has yet to be sought, GEF Agencies and their executing partners may align the Request for CEO Endorsement/Approval with the revised results framework. This will contribute towards rapidly bringing a significant share of the portfolio of adaptation projects under the LDCF and the SCCF in line with the new strategic objectives and outcomes; and it will help expand the use of the new tracking tool to enable a consistent approach to monitoring and reporting on progress and results across the portfolio (see also paragraph 18 below).

15. The Secretariat, in its semi-annual Progress Reports, will continue to report on how the portfolio of LDCF/SCCF -financed adaptation projects aligns with the strategic objectives of the Adaptation Program.

Tracking tool for climate change adaptation projects

16. Based on lessons from the application of AMAT over the past three years, the revised tracking tool for climate change adaptation under the LDCF and the SCCF introduces 14 indicators, rather than the previous menu of 52. These indicators and their associated units of measurement are clearly and explicitly defined. The tool also comes with more comprehensive guidelines and methodologies for each indicator. These changes are intended to ensure a consistent use of each indicator, which in turn will facilitate the aggregation and communication of progress and outcomes across a meaningful number of projects and programs.

17. Importantly, recognizing that the GEF, through the LDCF and the SCCF, invests considerably in institutional capacity building and policy reform for climate change adaptation; the revised tracking tool introduces four qualitative scoring methodologies that aim to capture evidence beyond quantitative units of measurement, such as numbers of institutions and policies. These methodologies have been designed to be broadly consistent with those of PPCR and the Tracking adaptation and measuring development (TAMD) framework.

18. When requesting CEO Endorsement/ Approval of a project that seeks funding for climate change adaptation under the LDCF and/or the SCCF; GEF Agencies and their executing partners are requested to complete the tracking tool (Annex II), with information on baselines and targets for indicators associated with the strategic objectives and outcomes towards which the project is expected to contribute. The tracking tool should be re-submitted at mid-term and project completion, each time with actual results for selected indicators.

19. For any project that was approved prior to July 1, 2014, but for which CEO Endorsement/ Approval has yet to be sought, GEF Agencies and their executing partners may apply the new tracking tool. The Secretariat aims to rapidly grow the number of projects that use the new portfolio-level indicators.

20. The tracking tool is designed to be applicable to all LDCF/SCCF -financed adaptation projects. In the event that Agencies and their executing partners cannot find appropriate indicators for a given project, they are requested to contact the GEF Secretariat before seeking CEO Endorsement/Approval to identify appropriate ways to ensure that the project is adequately monitored vis-à-vis the strategic objectives and outcomes of the GEF Adaptation Program.

21. The tracking tool is designed to facilitate the collection, aggregation and communication of progress and outcomes across a large number of projects and programs. The tool is therefore focused on quantitative data and it is restricted to ensure the consistent use of each indicator and unit of measurement. As a result, the tracking tool necessarily represents a limited picture of the expected and actual results of a given project. It is not intended to replace the more specific and more comprehensive monitoring and evaluation frameworks designed for each project. Moreover, given that the tool is submitted only at CEO Endorsement/Approval, mid-term and project completion; it is not designed to capture outcomes that are not likely to be visible until years after project completion.

22. In addition to the indicators and methodologies specific to the GEF Adaptation Program, the tracking tool incorporates the GEF's corporate gender indicators in accordance with the GEF's Gender Equality Action Plan (GEF/C.47/09).

23. The tracking tool will be refined and adjusted based on experience of its application. Where new methodologies are introduced, the tool provides a degree flexibility, recognizing that some of the assumptions underlying the proposed methodologies have yet to be adequately validated based on evaluative evidence. The Secretariat welcomes feedback from all users and stakeholders.

Approach to Annual Monitoring Reviews of the LDCF and the SCCF

24. As of July 1, 2014, the revised results framework and indicators will form the basis for portfolio-level monitoring and reporting of the expected and actual results of LDCF/SCCF - financed adaptation projects. Progress Reports will continue to provide the former (see GEF/LDCF.SCCF.17/03), whereas the AMR of the LDCF and the SCCF represents the principal tool for capturing, analyzing and reporting on portfolio-level performance, actual results and lessons learned.

25. With respect to actual, portfolio-level results, the AMR will continue to draw data from project implementation reports, mid-term reviews, project completion reports and terminal evaluations until tracking tool data becomes more widely available. The Secretariat will work with GEF Agencies to explore the degree to which project-level data can be adjusted to the new portfolio-level reporting needs and expectations introduced by the new results framework and tracking tool. In response to the request made at the 16th meeting of the LDCF/SCCF Council in June 2013, the Secretariat, in its future AMRs, will report on cumulative, portfolio-level results as well as results related to the cohort of projects for which relevant reports have been received.

26. With regard to the qualitative analysis contained in the AMR, the Secretariat will continue to analyze key success factors and challenges behind project performance ratings. In addition, as per the practice introduced in the FY13 AMR (GEF/LDCF.SCCF.16/05), the AMR will explore, *inter alia*, good practices and challenges associated with integrating climate change adaptation into policies, plans and decision-making processes; and pathways to scaling up successful adaptation strategies, practices and technologies. The AMR will also consider experiences of gender mainstreaming and stakeholder engagement across the active portfolio of LDCF and SCCF projects.

27. Finally, the AMR will serve as an important opportunity to review the assumptions that underpin this updated RBM framework, including the logical relationships between the portfolio-level indicators, outcomes and objectives. Consistent with the RBM Action Plan, the approach to AMRs of the LDCF and the SCCF will evolve in response to stakeholders' needs; and in line with changing corporate systems, approaches and practices.

ANNEX I: RESULTS FRAMEWORK OF THE GEF ADAPTATION PROGRAM

Goal	Increase resilience to the adverse impacts of climate change in vulnerable developing countries, through both near- and long-term adaptation measures in affected sectors, areas and communities; leading to a reduction of expected socio-economic losses associated with climate change and variability.
Objective 1	Reduce the vulnerability of people, livelihoods, physical assets and natural systems to the adverse effects of climate change
<u>Indicator 1</u>	Number of direct beneficiaries
<i>Outcome 1.1</i>	<i>Vulnerability of physical assets and natural systems reduced</i>
<u>Indicator 2</u>	Type and extent of assets strengthened and/or better managed to withstand the effects of climate change
<i>Outcome 1.2</i>	<i>Livelihoods and sources of income of vulnerable populations diversified and strengthened</i>
<u>Indicator 3</u>	Population benefiting from the adoption of diversified, climate-resilient livelihood options
<i>Outcome 1.3</i>	<i>Climate-resilient technologies and practices adopted and scaled up</i>
<u>Indicator 4</u>	Extent of adoption of climate-resilient technologies/ practices
Objective 2	Strengthen institutional and technical capacities for effective climate change adaptation
<i>Outcome 2.1</i>	<i>Increased awareness of climate change impacts, vulnerability and adaptation</i>
<u>Indicator 5</u>	Public awareness activities carried out and population reached
<i>Outcome 2.2</i>	<i>Access to improved climate information and early-warning systems enhanced at regional, national, sub-national and local levels</i>
<u>Indicator 6</u>	Risk and vulnerability assessments, and other relevant scientific and technical assessments carried out and updated
<u>Indicator 7</u>	Number of people/ geographical area with access to improved climate information services
<u>Indicator 8</u>	Number of people/ geographical area with access to improved, climate-related early-warning information
<i>Outcome 2.3</i>	<i>Institutional and technical capacities and human skills strengthened to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures</i>
<u>Indicator 9</u>	Number of people trained to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures
<u>Indicator 10</u>	Capacities of regional, national and sub-national institutions to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures
Objective 3	Integrate climate change adaptation into relevant policies, plans and associated processes
<i>Outcome 3.1</i>	<i>Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes established and strengthened</i>
<u>Indicator 11</u>	Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes
<i>Outcome 3.2</i>	<i>Policies, plans and associated processes developed and strengthened to identify, prioritize and integrate adaptation strategies and measures</i>

<u>Indicator 12</u>	Regional, national and sector-wide policies, plans and processes developed and strengthened to identify, prioritize and integrate adaptation strategies and measures
<u>Indicator 13</u>	Sub-national plans and processes developed and strengthened to identify, prioritize and integrate adaptation strategies and measures
<i>Outcome 3.3</i>	<i>Systems and frameworks for the continuous monitoring, reporting and review of adaptation established and strengthened</i>
<u>Indicator 14</u>	Countries with systems and frameworks for the continuous monitoring, reporting and review of adaptation

ANNEX II: TRACKING TOOL FOR CLIMATE CHANGE ADAPTATION PROJECTS AND PROGRAMS UNDER THE LDCF AND THE SCCF

Tracking Tool for Climate Change Adaptation Projects (Sheet 1 in Excel tool)

Project identification						
Project title:						
Country(ies):		GEF project ID:				
GEF Agency(ies):		Agency project ID:				
Executing Partner(s):		Council/ CEO Approval date:				
Project status at submission:		Tool submission date:				
Project baselines, targets and outcomes						
Indicator	Unit of measurement	Baseline at CEO Endorsement	Target at CEO Endorsement	Actual at mid-term	Actual at completion	Comments (e.g. specify unit of measurement)
Objective 1: Reduce the vulnerability of people, livelihoods, physical assets and natural systems to the adverse effects of climate change						
Indicator 1: Number of direct beneficiaries	number of people					
	% female					
	vulnerability assessment (Yes/No)					(if a vulnerability assessment has been carried out for the targeted population, please describe)
<i>Outcome 1.1: Vulnerability of physical assets and natural systems reduced</i>						
Indicator 2: Type and extent of assets strengthened and/or better managed to withstand the	ha of land					(specify asset type)
	km of coast					(specify asset type)
	km of roads					(specify asset type)

effects of climate change	other					(add rows as needed)
<i>Outcome 1.2: Livelihoods and sources of income of vulnerable populations diversified and strengthened</i>						
Indicator 3: Population benefiting from the adoption of diversified, climate-resilient livelihood options	number of people					(describe livelihood options, add rows as needed)
	% female					
	% of targeted population					
<i>Outcome 1.3: Climate-resilient technologies and practices adopted and scaled up</i>						
Indicator 4: Extent of adoption of climate-resilient technologies/practices	number of people					(describe technology, add rows as needed)
	% female					
	% of targeted population					
	number of ha					
	% of targeted area					
	other					
	other					
Objective 2: Strengthen institutional and technical capacities for effective climate change adaptation						
<i>Outcome 2.1: Increased awareness of climate change impacts, vulnerability and adaptation</i>						
Indicator 5: Public awareness activities carried out and population reached	Yes/No					
	number of people					
	% female					
<i>Outcome 2.2: Access to improved climate information and early-warning systems enhanced at regional, national, sub-national and local levels</i>						

Indicator 6: Risk and vulnerability assessments, and other relevant scientific and technical assessments carried out and updated	number of relevant assessments/ knowledge products					
Indicator 7: Number of people/ geographical area with access to improved climate information services	number of people					
	% female					
	% of targeted area (e.g. % of country's total area)					
Indicator 8: Number of people/ geographical area with access to improved, climate-related early-warning information	number of people					
	% female					
	% of targeted area (e.g. % of country's total area)					
<i>Outcome 2.3: Institutional and technical capacities and human skills strengthened to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures</i>						
Indicator 9: Number of people trained to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures	number of people					
	% female					
Indicator 10: Capacities of regional, national and	number of institutions					

sub-national institutions to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures	score					(if the scoring methodology is different from the recommended [see Sheet 2], please describe)
Objective 3: Integrate climate change adaptation into relevant policies, plans and associated processes						
<i>Outcome 3.1: Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes established and strengthened</i>						
Indicator 11: Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes	number of countries					
	score					(if the scoring methodology is different from the recommended [see Sheet 2], please describe)
<i>Outcome 3.2: Policies, plans and associated processes developed and strengthened to identify, prioritize and integrate adaptation strategies and measures</i>						
Indicator 12: Regional, national and sector-wide policies, plans and processes developed and strengthened to identify, prioritize and integrate adaptation strategies and measures	number of policies/ plans/ processes					
	score					(if the scoring methodology is different from the recommended [see Sheet 2], please describe)
Indicator 13: Sub-national plans and processes developed and	number of plans/ processes					

strengthened to identify, prioritize and integrate adaptation strategies and measures	score					(if the scoring methodology is different from the recommended [see Sheet 2], please describe)
<i>Outcome 3.3: Systems and frameworks for the continuous monitoring, reporting and review of adaptation established and strengthened</i>						
Indicator 14: Countries with systems and frameworks for the continuous monitoring, reporting and review of adaptation	number of countries					
	score					(if the scoring methodology is different from the recommended [see Sheet 2], please describe)
Reporting on GEF gender indicators						
Q1: Has a gender analysis been conducted during project preparation?				NA	NA	
Q2: Does the project results framework include gender-responsive indicators, and sex-disaggregated data?						
Q3: Of the policies, plans frameworks and processes supported (see indicators 12 and 13 above), how many incorporate gender dimensions (number)?						
Q4: At mid-term/ completion, does the mid-term review/ terminal evaluation assess progress and results in terms of gender equality and women's empowerment?						NA

Guidelines for Tracking Tool for Climate Change Adaptation Projects (Sheet 2)

General guidelines	
Introduction	The tracking tool for climate change adaptation facilitates the monitoring of a project's contribution towards the goal, objectives and outcomes of the GEF Adaptation Program, as defined in document GEF/LDCF.SCCF.16/03, <i>GEF Programming Strategy on Adaptation to Climate Change for the Least Developed Countries Fund and the Special Climate Change Fund</i> .
The LDCF/SCCF results framework	In accordance with the Programming Strategy, the results framework of the GEF Adaptation Program is structured around three strategic objectives with associated outcomes and indicators. As of July 1, 2014, funding proposals for the LDCF and/or the SCCF for climate change adaptation are requested to identify one or more of the strategic objectives towards which the project/ program is expected to contribute. At CEO Endorsement/ Approval, projects will be requested to identify the outcomes of the GEF Adaptation Program towards which they are expected to contribute, and provide baselines and targets for the associated indicators. These indicators will be monitored at the portfolio level, drawing on project-level information received at CEO Endorsement/ Approval, mid-term and project completion.

Application of Tracking Tool

GEF Agencies and their executing partners are requested to complete the tracking tool, with information on baselines and targets for indicators associated with the relevant objectives and outcomes of the GEF Adaptation Program. The tracking tool is designed to capture a project's expected and actual contribution towards all relevant objectives and outcomes consistent with the Focal Area Strategy Framework contained in the Request for CEO Endorsement/ Approval (Table A).

At CEO Endorsement/ Approval, the tracking tool should be completed with baselines and targets for relevant indicators. The tracking tool should be re-submitted at mid-term and project completion, each time with achieved results for selected indicators. The tracking tool is designed to be applicable to all LDCF/SCCF -financed adaptation projects. In the event that Agencies and their executing partners cannot find appropriate indicators for a given project, they should contact the GEF Secretariat before requesting CEO Endorsement/Approval to identify appropriate ways to ensure that the project is adequately monitored vis-à-vis the Programming Strategy.

The tracking tool is designed to facilitate the collection, aggregation and communication of progress and results across a large number of projects. The tool is focused on quantitative data and it is restricted to ensure consistent formatting. As a result, the tracking tool necessarily represents a limited picture of the expected and actual results of a given project. It is not intended to replace the more specific and more comprehensive monitoring and evaluation frameworks designed for each project.

The tracking tool will be refined and adjusted based on experience of its application. Accordingly, the GEF Secretariat welcomes feedback from all users and stakeholders. For further information, please refer to the sources listed below.

Indicator-specific definitions and guidance	
Indicator 1: Number of direct beneficiaries	<p>This indicator serves as a proxy for the number of people whose vulnerability to the adverse effects of climate change is reduced as a result of an LDCF/SCCF -financed adaptation project.</p> <p>'Direct beneficiaries' are defined as people who receive direct assistance aimed at reducing their vulnerability. Such assistance may include measures to reduce people's sensitivity, or to enhance their adaptive capacity (see IPCC 2014 for definitions of these terms). Direct beneficiaries include, in most cases, all members of a household that receives direct assistance.</p> <p>This indicator does not measure whether people's vulnerability has in fact been reduced. Where qualitative methodologies, such as vulnerability assessments, are used to capture the degree to which a project reduces the vulnerability of its direct beneficiaries, please indicate 'Yes' in the designated row and provide further information in the 'Comments' section.</p>
Indicator 2: Type and extent of assets strengthened and/or better managed to withstand the effects of climate change	<p>This indicator serves as a proxy for the extent to which an LDCF/SCCF -financed adaptation project reduces the vulnerability of physical assets and natural systems to the adverse effects of climate change.</p> <p>The tracking tool provides three examples of commonly used units of measurement based on past experience; while recognizing that there are numerous others that could be relevant, and these may be added to the tool. For the purposes of portfolio-level monitoring and reporting under the GEF Adaptation Program, however, any additional units of measurement included for this indicator should be quantitative, using absolute numbers in metric system, where applicable.</p>
Indicator 3: Population benefiting from the adoption of diversified, climate-resilient livelihood options	<p>This indicator serves as a proxy for the number of people whose vulnerability to the adverse effects of climate change is reduced through the adoption of more resilient livelihood options as a result of an LDCF/SCCF -financed adaptation project.</p> <p>The number of people includes all members of households and groups that benefit from the adoption of more resilient livelihood options. 'Livelihood options' refers to sources of income as well as subsistence.</p>

<p>Indicator 4: Extent of adoption of climate-resilient technologies/ practices</p>	<p>This indicator measures the extent to which more resilient technologies and practices are adopted/ deployed as a result of an LDCF/SCCF - financed adaptation project. It serves as a measure of the contribution of a project towards the transfer of adaptation technology as per the mandate of the LDCF and the SCCF under the UNFCCC. This indicator is closely associated with and may often capture progress towards other outcomes, including those measured through indicators 2, 3, 7 and 8.</p> <p>Climate-resilient technology, in this context, is understood broadly as tools and practices; including both hardware and software; that reduce the vulnerability of people, livelihoods, physical assets and natural systems to the adverse effects of climate change.</p> <p>Where multiple technologies are transferred and where additional units of measurement are added, please add rows to Indicator 4 and provide further information in the 'Comments' section.</p>
<p>Indicator 5: Public awareness activities carried out and population reached</p>	<p>This indicator monitors whether an LDCF/SCCF -financed adaptation project contributes towards people’s awareness of climate change impacts, vulnerability and adaptation (Yes/No); and estimates the population reached through public awareness activities. These people are not necessarily included among the direct beneficiaries (see Indicator 1) or the number of people trained (see Indicator 9), given that activities to promote people's awareness are not always associated with more in-depth training or measures directly seeking to reduce their vulnerability.</p>
<p>Indicator 6: Risk and vulnerability assessments, and other relevant scientific and technical assessments carried out and updated</p>	<p>This indicator measures the extent to which an LDCF/SCCF -financed adaptation project contributes towards enhancing the knowledge base for effective adaptation through relevant assessments and knowledge products. ‘Relevant’ assessments and knowledge products are ones that are applicable beyond the project in question, and that are available to decision-makers, planners, financiers and other stakeholders outside the project.</p>
<p>Indicator 7: Number of people/ geographical area with access to improved climate information services</p>	<p>This indicator measures the extent to which the collection, analysis, communication and application of climate information services are improved as a result of an LDCF/SCCF -financed adaptation project.</p> <p>'Access' is understood as regular access to information over an extended period of time. 'Improved' can refer to more accurate, more timely and/or more user-friendly climate information services. Where qualitative methodologies are used to capture the degree to which climate information services are improved, please provide further information in the 'Comments' section.</p>

<p>Indicator 8: Number of people/ geographical area with access to improved, climate-related early-warning information</p>	<p>This indicator measures the extent to which an LDCF/SCCF -financed adaptation project contributes towards improving the capacities needed to generate and disseminate timely and meaningful warning information to enable individuals, communities and organizations threatened by a climate-related hazard to prepare and to act appropriately and in sufficient time to reduce the possibility of harm or loss (adapted from the definition of 'early warning' in UNISDR 2006).</p> <p>The terms 'access' and 'improved' are treated as under Indicator 7 above. Where qualitative methodologies are used to capture the degree to which early-warning systems are improved, please provide further information in the 'Comments' section.</p>
<p>Indicator 9: Number of people trained to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures</p>	<p>This indicator measures the extent to which an LDCF/SCCF -financed adaptation project strengthens people's capacity to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures. The indicator aims to capture capacity building provided in relation to one or more of these key elements of the adaptation process.</p> <p>While the focus here is on imparting knowledge and developing skills through <i>training</i>, an LDCF/SCCF -financed adaptation project may develop capacities through means other than training, e.g. learning by doing. Where such capacity development is measured, please provide further information in the 'Comments' section.</p>
<p>Indicator 10: Capacities of regional, national and sub-national institutions to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures</p>	<p>This indicator monitors the number of regional, national and sub-national institutions that receive capacity building through an LDCF/SCCF -financed adaptation project to identify, prioritize, implement, monitor and/or evaluate adaptation strategies and measures (number of institutions); and measures the extent to which the project strengthens those capacities (score). As with Indicator 9 above, this indicator aims to capture capacity development in relation to one or more of these key elements of the adaptation process in line with the role and functions of the institution in question.</p> <p>To capture evidence of the degree to which relevant capacities are in place, a scoring methodology is described below.</p>

<p>Indicator 11: Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes</p>	<p>This indicator measures the extent to which an LDCF/SCCF -financed adaptation project contributes towards establishing and/ or strengthening relevant institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes.</p> <p>For single-country projects, the first unit of measurement seeks to simply ascertain <i>whether</i> the project contributes to the above (yes = 1). For multi-country projects, please provide the number of countries in which the project contributes towards the above institutional arrangements. To capture evidence of the degree to which relevant institutional arrangements are in place and effective, a scoring methodology is described below.</p>
<p>Indicator 12: Regional, national and sector-wide policies, plans and processes developed and strengthened to identify, prioritize and integrate adaptation strategies and measures</p>	<p>This indicator measures the extent to which national and sector-wide policies, plans and processes are strengthened and/or developed to identify, prioritize and integrate adaptation strategies and measures as a result of an LDCF/SCCF -financed adaptation project.</p> <p>The terms 'policy' and 'plan' are understood broadly, and may include strategies, laws and regulatory frameworks. 'Process' refers simply to the process by which a relevant policy or plan is developed, implemented, monitored, reviewed and updated. The policies and plans included here should be <i>relevant</i>, i.e. they should shape decision-making on matters that are of relevance to climate change adaptation. 'Regional', in this context, refers to multi-country policies and plans.</p> <p>To capture evidence of the degree to which policies, plans and processes have been strengthened, a scoring methodology for indicators 12 and 13 is described below.</p>
<p>Indicator 13: Sub-national plans and processes developed and strengthened to identify, prioritize and integrate adaptation strategies and measures</p>	<p>This indicator measures the extent to which sub-national plans and processes are strengthened and/or developed to identify, prioritize and integrate adaptation strategies and measures as a result of an LDCF/SCCF -financed adaptation project.</p> <p>The terms 'plan' and 'process' are treated as under Indicator 12 above. 'Sub-national' can refer to any administrative division where relevant planning occurs.</p> <p>To capture evidence of the degree to which policies, plans and processes have been strengthened, a scoring methodology for indicators 12 and 13 is described below.</p>

<p>Indicator 14: Countries with systems and frameworks for the continuous monitoring, reporting and review of adaptation</p>	<p>This indicator measures the extent to which an LDCF/SCCF -financed adaptation project contributes towards establishing and/or strengthening systems and frameworks for the continuous monitoring, reporting and review of adaptation measures and strategies.</p> <p>The indicator is closely associated with indicators 10 and 12 above, as it may directly refer to monitoring systems linked with enhanced national policies and plans (Indicator 12), and given that the effectiveness of such monitoring systems may depend on the degree to which relevant institutional capacities are strengthened (Indicator 10). Importantly, this indicator refers to frameworks and systems that are owned and managed by relevant national institutions; rather than external partners involved in project implementation and execution; and that remain effective over an extended period of time beyond project completion.</p> <p>To capture evidence of degree to which monitoring systems and frameworks are in place and effective, a scoring methodology is described below.</p>
<p>GEF gender indicators</p>	<p>For definitions and guidance pertaining to the GEF's corporate gender indicators, please refer to document GEF/C.47/09, <i>Gender Equality Action Plan</i>.</p>

Scoring methodologies	
<p>Indicator 10: Capacities of regional, national and sub-national institutions to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures</p>	<p>To capture evidence of the capacity of regional, national and sub-national institutions to identify, prioritize, implement, monitor and evaluate adaptation strategies and measures; the tracking recommends a scoring methodology that considers the following five criteria, expressed as questions:</p> <p>(a) Does the institution have access to and does it make use of climate information in decision-making? (b) Are climate change risks as well as appropriate adaptation strategies and measures integrated into relevant institutional policies, processes and procedures? (c) Does the institution have adequate resources to implement such policies, processes and procedures? (d) Are there clear roles and responsibilities within the institution, and effective partnerships outside the institution to address adaptation? (e) Is the institution equipped to monitor, evaluate and learn from its adaptation actions?</p> <p>Each question is answered with an assessment and score for the extent to which the associated criterion has been met: not at all (= 0), partially (= 1) or to a large extent/ completely (= 2). An overall score is calculated, with a maximum score of 10 given five criteria.</p> <p>If necessary, the list of criteria can be adapted to the nature and responsibilities of the institution in question. Please describe such adjustments in the 'Comments' section of the tracking tool.</p>

Indicator 11:
Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes

To capture evidence of the degree to which relevant institutional arrangements are in place and effective to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes; the tracking tool adapts elements of the TAMD (2013) and PPCR (2014) scorecard indicators for institutional coordination for integration and strengthened coordination mechanisms, respectively. The indicator is based on five criteria expressed as questions:

1. Are there institutional arrangements in place to coordinate the integration of climate change adaptation into relevant policies, plans and associated processes?
2. Are those arrangements based on (a) clear and strong mandate(s) and supported by adequate budget allocations?
3. Do those arrangements include authority over fiscal policy?
4. Do those arrangements include broad stakeholder participation across relevant, climate-sensitive sectors?
5. Are those arrangements effective, i.e. is climate change adaptation coordinated across key national and sectoral decision-making processes?

Each question is answered with an assessment and score for the extent to which the associated criterion has been met: not at all (= 0), partially (= 1) or to a large extent/ completely (= 2). An overall score is calculated, with a maximum score of 10 given five criteria.

Indicators 12 and 13

To capture evidence of the degree to which policies, plans and processes are strengthened and/or developed to identify, prioritize and integrate adaptation strategies and measures; the tracking tool adapts elements of the TAMD (2013) and PPCR (2014) scorecard indicators for the integration of climate change into planning. The indicator is based on five criteria expressed as questions:

1. Does the policy/ plan identify climate change risks and appropriate adaptation strategies and measures?
2. Are adaptation strategies and measures prioritized and specified with budget allocations and targets?
3. Does the policy/ plan assign clear roles and responsibilities for the coordination and implementation of adaptation strategies and measures?
4. Does the policy/ plan provide for the continuous monitoring, evaluation, learning and review of adaptation strategies and measures?
5. Is there evidence of the effective implementation of the policy/ plan?

Each question is answered with an assessment and score for the extent to which the associated criterion has been met: not at all (= 0), partially (= 1) or to a large extent/ completely (= 2). An overall score is calculated, with a maximum score of 10 given five criteria.

The list of criteria is not exhaustive, and may -- where necessary -- be adjusted given the nature and scope of the policy/plan in question. Please describe such adjustments in the 'Comments' section of the tracking tool.

<p>Indicator 14: Countries with systems and frameworks for the continuous monitoring, reporting and review of adaptation</p>	<p>To measure the effectiveness of systems and frameworks for the continuous monitoring, reporting and review of adaptation; the tracking tool recommends an assessment of such systems and frameworks against the following basic criteria:</p> <ol style="list-style-type: none"> 1. Are there clear mandates, roles and responsibilities for monitoring, evaluation, reporting, learning and review associated with adaptation at the national level? 2. Are systems and frameworks for monitoring and evaluation supported by adequate budget allocations that extend beyond individual projects and programs? 3. Are these systems and frameworks effective, i.e. are monitoring, evaluation, reporting, learning and review of adaptation strategies and measures taking place; and are they informing decision-making in climate-sensitive sectors? <p>Each question is answered with an assessment and score for the extent to which the associated criterion has been met: not at all (= 0), partially (= 1) or to a large extent/ completely (= 2). An overall score is calculated, with a maximum score of 6 given three criteria.</p>
<p>Sources of additional information, guidance and support</p>	
<p>GEF Secretariat contact</p>	<p>Roland Sundstrom, Climate Change Specialist, ksundstrom@thegef.org</p>
<p>Relevant LDCF/SCCF Council documents</p>	<p>GEF/LDCF.SCCF.16/03, <i>GEF Programming Strategy on Adaptation to Climate Change for the Least Developed Countries Fund and the Special Climate Change Fund</i> (http://www.thegef.org/gef/sites/thegef.org/files/documents/GEF.LDCF_SCCF_16.03%20Programming%20Strategy%20on%20Adaptation%20to%20Climate%20Change%20for%20the%20LDCF%20and%20the%20SCCF%20205-20-14.pdf)</p> <p>GEF/LDCF.SCCF.17/05, <i>Updated Results-Based Management Framework for Adaptation to Climate Change under the Least Developed Countries Fund and the Special Climate Change Fund</i></p>
<p>Other resources</p>	<p>Tracking Adaptation and Measuring Development (TAMD) framework (http://www.iied.org/tracking-adaptation-measuring-development)</p> <p>PPCR Core Indicator Methodologies (https://www.climateinvestmentfunds.org/cif/node/14652)</p>