



GEF/LDCF.SCCF.11/Inf.03
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Washington, D.C

**PROGRESS REPORT ON THE IMPLEMENTATION OF THE
ADAPTATION RESULTS-BASED MANAGEMENT FRAMEWORK
FOR LDCF AND SCCF AND THE ADAPTATION MONITORING
AND ASSESSMENT TOOL (AMAT)**

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Introduction

1. As part of the Policy Recommendations for the Fifth Replenishment of the GEF Trust Fund (GEF/C.37/3) participants requested “the Secretariat, in collaboration with the GEF Agencies and the GEF Evaluation Office, to present a work-plan for the implementation of activities associated with RBM for Council review in November 2010. The work plan should establish a process to ensure the quality of objectives baselines, and results indicators, where each step of the results chain can be easily defined and tracked. Participants also recommend that a progress report on the implementation of RBM be submitted for Council review at its meeting in November 2011.”
2. The LDCF and SCCF are administered separately from the GEF Trust Fund. The policies and procedures and the governance structure of the GEF apply to the climate change funds, unless the LDCF/SCCF Council decides it is necessary to modify such policies and procedures, to be responsive to the guidance of the COP. On this regard, the LDCF/SCCF submitted a separate work plan, FY2011 Work Plan for Results Based Management and Evaluation under the LDCF and SCCF (GEF/LDCF.SCCF.9/Inf.5), to the LDCF/SCCF Council, on November of 2010.
3. The following document provides the progress made to date on the implementation of Adaptation RBM for LDCF/SCCF and the Adaptation Results Based Management and Monitoring and Assessment Tool (AMAT). Progress is reported on each one of the four key components below, included in the Work Plan, since the inception of GEF-5:
 - Development of the Annual Monitoring Report Process
 - Integration of data into PMIS
 - Development of Tools to Enhance Portfolio Monitoring
 - Development of a Knowledge Management Strategy
 - Development of Evaluation Guidance Processes

Component 1: Development of the Annual Monitoring Report Process

4. Regarding this Component, the GEF Secretariat submitted the *Least Developed Countries Fund and Special Climate Change Fund Annual Monitoring Report (AMR) for FY 2010* (GEF/LDCF.SCCF.10/3/Rev.2) to the tenth LDCF/SCCF Council, in May 2011. The AMR provided an overview of the Funds’ active portfolio of projects, an assessment of portfolio achievements, and progress towards results targets.

5. The AMR for FY 2010 covered 24 countries, for 13 projects and programs that began on or before July 1, 2009. This report included all LDCF/SCCF projects under implementation, for at least part of the period July 1, 2009 – June 30, 2010. The LDCF/SCCF AMR included: 1) LDCF portfolio overview, 2) SCCF portfolio overview, 3) performance information on LDCF and SCCF projects under implementation on or before June 30, 2009 and for at least a part of FY2010), and 4) LDCF and SCCF results highlights.
6. For the development of this AMR the GEF Secretariat analyzed 13 Project Implementation Reports, or PIRs, (three from LDCF and seven from SCCF) to collect in-depth data gathering and analysis on the issues identified by the Secretariat as potentially problematic areas as well as areas that provided learning opportunities about the portfolio.
7. The Secretariat will submit the *Least Developed Countries Fund and Special Climate Change Fund Annual Monitoring Report (AMR) for FY 2011* to the twelfth LDCF/SCCF Council in the spring of 2012.
8. Furthermore, the GEF Secretariat, in collaboration with the Adaptation Task Force, finalized and launched the Adaptation Monitoring and Assessment Tool (AMAT), and the Guidelines on its use. Both the AMAT tracking tool and the guidelines have been posted on the GEF website since March 2011, enabling easy access and use.
9. The AMAT measures the progress toward achieving the outputs and outcomes established at the portfolio level under the LDCF/SCCF results framework starting with the GEF-5 phase. As the GEF-5 phase will offer an opportunity to pilot the AMAT and to test how best the LDCF/SCCF can measure results at the portfolio level, Agencies are also encouraged to include project specific indicators that link directly to the LDCF/SCCF's portfolio objectives and outcomes.

Component 2: Integrate Data into PMIS

10. LDCF/SCCF now has tracking tools in Excel format, posted on the GEF website, for easy access and use by the Agencies. For the FY11 reporting process, Agencies will submit these Excel files to the Secretariat, which should allow for a more automated collection and analysis of the data received. In addition by the spring of 2012, the Secretariat will have additional fields programmed into the PMIS to improve data capture for both monitoring and evaluation.

Component 3: Tools to Enhance Portfolio Monitoring

11. In 2010, the Secretariat had identified three tools to strengthen its role in portfolio monitoring: 1) portfolio monitoring missions; 2) portfolio level risk assessments; and 3) piloting geographic information systems (GIS) to support M&E. Progress made on each one of these tools is identified below:
12. *Portfolio learning missions*: the Secretariat has developed a proposal for integrating learning missions in partnership with agencies and STAP to project and program sites on a semi-annual basis, to capture specific lessons and good practices relevant to the portfolio. The proposal is integrated into the broader *Knowledge Management Strategy for LDCF and SCCF* (GEF/LDCF.SCCF.10/Inf.4) under Output 3.1 of the Two-year implementation Plan (Annex I).
13. *Portfolio risk assessment*: no significant progress has been made to develop a methodology for assessing the overall risk of the LDCF/SCCF portfolio. The Secretariat will include a methodology in the version of the AMR that will be presented to Council in the Spring 2012.
14. *GIS to support M&E*: The Secretariat plans to undertake the work in two phases. Phase I will develop a web-based interactive map using the current data received through the AMR process; Phase II will develop a more complex mapping for results platform that would be tailored more directly to each focal area's needs in this area. A contract is in place to undertake phase I and a beta map should be ready for Council to view at the November 2011 meeting. On this regard, the LDCF/SCCF staff will work closely with the GEF RBM staff in order to begin the integration of this work into the LDCF/SCCF portfolio.
15. Two additional tools which are also critical in portfolio monitoring currently exist: quality at entry and socioeconomic and gender issues. The progress on those is as follows:
16. *Quality at entry*: The Secretariat, including the LDCF/SCCF staff, is engaging closely with STAP and the Evaluation Office to develop a methodology to examine specific aspects of quality at entry at project design. The methodology combines work that is already being or has been undertaken by STAP and the GEFEO with work the Secretariat will need to implement. The Secretariat will focus its review on three main issues at project design: gender and socio-economic aspects, climate change risk and vulnerability assessments, and quality of baselines. A summary report of findings will be submitted to the Fall 2012 Council meeting. The LDCF/SCCF portfolio will also be examined for the purposes of this methodology.

17. *Socioeconomic and Gender issues*: Gender inclusion in LDCF/SCCF portfolio is embedded in the “*Strategy on Adaptation for the Least Developed Countries Fund and the Special Climate Change Fund*”. As the LDCF/SCCF have prioritized a broad range of sectors that support livelihoods, while focusing on the most vulnerable, project design and the RBM functions must adequately assess vulnerability, considering socioeconomic gender issues. This issue is addressed in the Adaptation Monitoring and Assessment Tool, as it includes indicators that are disaggregated by gender, as appropriate, to emphasize the inclusion of women in decision-making in at-risk populations from project design phase.

Component 4: Develop Knowledge Management Strategy

18. The GEF Secretariat developed a *Knowledge Management Strategy for LDCF and SCCF*, (GEF/LDCF.SCCF.10/Inf.4), in collaboration with the Evaluation Office, STAP, and the Agencies, and submitted it to the tenth LDCF/SCCF Council, on May 2011. Such Strategy focused on identified learning and knowledge management (KM) as one of the areas on which RBM implementation focuses. KM; i.e. the ways in which knowledge is generated, captured, stored, shared and applied; was seen as crucial to the mandate of the LDCF and the SCCF, particularly given the limited knowledge of adaptation in practice. Accordingly, a set of learning objectives and knowledge products were proposed to integrate KM in LDCF/SCCF operations. The Strategy draws on these proposals and it is aligned with a parallel GEF Trust Fund strategy on KM (GEF Knowledge Management Initiative: Strategic Framework and Work Plan for GEF-5, GEF/C. 40, May 24–26, 2011)¹. The Strategy lays out a framework that fully mainstreams KM in the LDCF/SCCF results architecture, operational processes and stakeholder interactions.

Component 5: Evaluation Office

Process and Thematic Evaluations

19. The Evaluation Office completed the *Evaluation of the Special Climate Change Fund* (GEF/LDCF.SCCF.11/ME/02) and will submit it for approval to the eleventh LDCF/SCCF Council, on November 2011.

20. Secondly, the Evaluation Office developed a *Monitoring and Evaluation Policy for the Least Developed Countries Fund and the Special Climate Change Fund*

¹ While drawing on the parallel GEF Trust Fund strategy, the KM Strategy for LDCF and SCCF has been developed specifically with a view of the adaptation mandate of the LDCF and the SCCF, focusing in particular on the priorities in learning and knowledge sharing that bare on the performance of the two Funds. Nevertheless, wider reform of KM practices in the GEF Trust Fund is pivotal for the successful implementation of this strategy.

(GEF/LDCF.SCCF.11/ME/01) and submitted it for approval to the Eleventh LDCF/SCCF Council, on November 2011.

21. Moreover, the Evaluation Office is in the process of updating the current guidelines for the preparation and review of the Terminal Evaluations.

Conclusion

22. Consistent with the FY2011 Work Plan for Adaptation RBM on Adaptation for LDCF and SCCF, regarding the LDCF/SCCF portfolio, the Secretariat has achieved progress towards each of the Components of the Work Plan.

23. Progress is reflected specifically in the following:

- *Least Developed Countries Fund and Special Climate Change Fund Annual Monitoring Report (AMR) for FY 2010*, submitted and approved by LDCF/SCCF Council on May 2011.
- Completion, launching and piloting of the *Adaptation Monitoring and Assessment Tool (AMAT)*, since March 2011.
- Adaptation Tracking Tools available in Excel and posted in the GEF website, for a more automated collection and analysis of data.
- Development of a *Knowledge Management Strategy for LDCF and SCCF*, submitted to LDCF/SCCF Council as an information document, on May 2011, which includes a proposal for portfolio learning missions.
- *Evaluation of the Special Climate Change Fund*, submitted by the Evaluation Office to the LDCF/SCCF Council for approval, in November 2011.
- *Monitoring and Evaluation Policy for the Least Developed Countries Fund and the Special Climate Change Fund*, submitted by the Evaluation Office, to the LDCF/SCCF Council for approval, in November 2011.