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Results-Based Management and Adaptation Monitoring and Assessment Tool (AMAT)

Tunis, July 18, 2012



Monitoring and Evaluation of Adaptation at GEF

- LDCF and SCCF - two Funds under the UNFCCC that prioritize adaptation; managed by the GEF Secretariat
- **105 projects and programs approved to date (LDCF and SCCF): more than \$400 M approved in grants**
- LDCF and SCCF have their own
 - M&E Policy
 - Results- Based Management (AMR and Tracking tool)
 - Independent Evaluations

LDCF and SCCF – M&E Policy

- In November 2011, the Evaluation Office completed a **M&E Policy for LDCF and SCCF**, which:
- Explains the concept, role, and use of monitoring and evaluation within LDCF/SCCF and defines the institutional framework and responsibilities of stakeholders.
- Considers how RBM approaches can strengthen M&E
- Presents the evaluation principles and criteria, as well as minimum requirements at project and portfolio levels
- Presents guidelines on the different types of evaluations including projects, process, and overall performance evaluation.
- Defines adaptation benefits and additional cost principle



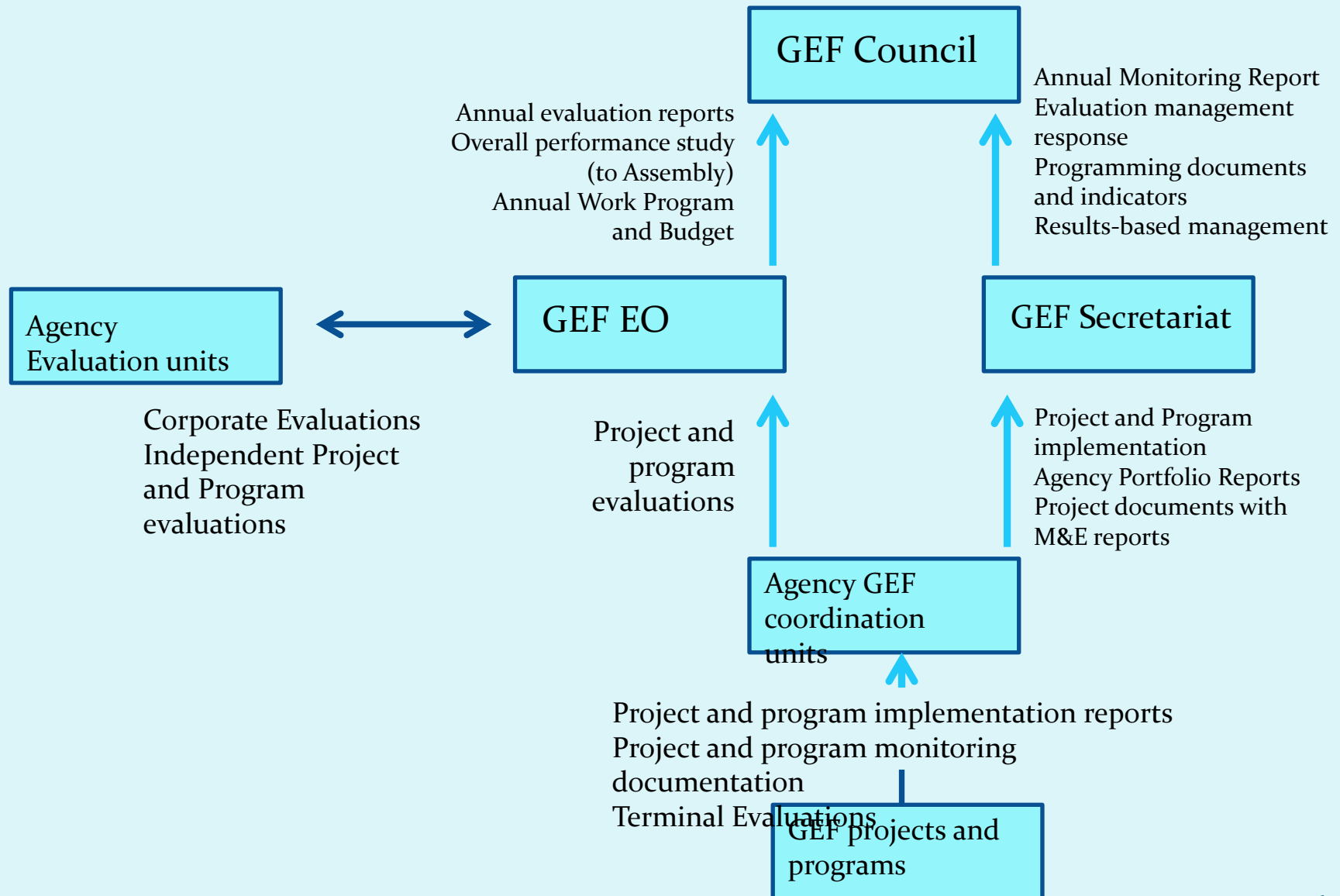
Monitoring in the GEF (LDCF and SCCF)

- The LDCF/SCCF is concerned with **monitoring** of environmental status, climatic stress, progress towards project outcomes, and monitoring of performance in project, program, and corporate portfolio implementation.
- Three levels of monitoring at GEF (LDCF/SCCF):
 1. **Project and Program level:** implementation processes, including tracking of activities and financial resources
 2. **Portfolio Level:** trends in implementation, outputs, outcomes, and progress toward their achievement
 3. **National and Global Level:** of global climate change stress, trends, and benefits of adaptation
- Purposes of Monitoring: providing early information on progress or lack thereof toward achieving intended objectives and outcomes

GEF Evaluation Office (GEF EO)

- GEF EO Ensures independent **evaluation** function within the GEF.
- Three main functions:
 1. **Evaluative:** evaluate effectiveness of LDCF/SCCF programs and resource allocations on project, program, country, portfolio, and institutional levels.
 2. **Normative:** set minimum monitoring and evaluation standards; ensure improved and consistent measurements of LDCF/SCCF results
 3. **Oversight:** quality control of the minimum requirements of monitoring and evaluation practices in LDCF/SCCF

Flowchart of M&E Reporting at GEF



LDCF/SCCF Results- Based Management Architecture

- **Goal:** *Support developing countries to become climate resilient by integrating both immediate and longer-term adaptation measures in development policies, plans, programs, projects and actions*
- **Impact:** Reduced/prevented absolute economic losses at country level due to climate change, including variability

Objective 1: Reduce vulnerability to the adverse impacts of climate change, including variability, at local, national, regional and global level

Objective 2: Increase adaptive capacity to respond to the impacts of climate change, including variability, at local, national, regional and global level

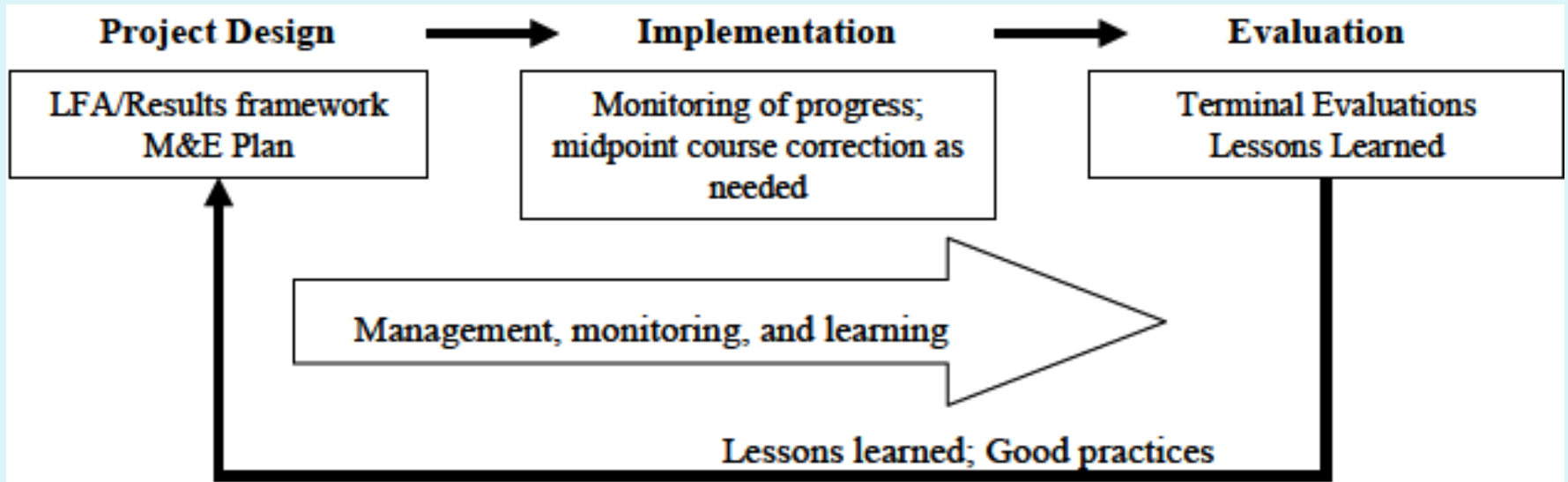
Objective 3: Promote the transfer and adoption of adaptation technology

LDCF/SCCF Results-Based Management: 3 Levels

- **Program Level**
(LDCF/SCCF adaptation programs) >> *Thematic evaluations*
- **Portfolio Level** >>>
Annual Monitoring Report (AMR) and AMAT
- **Project Level** >>>
Project Implementation Report (PIR)



LDCF/SCCF Results-Based Management



RBM- Continued

- **Adaptation Monitoring and Assessment Tool (AMAT or tracking tool):** measure progress toward achieving the outputs and outcomes established at the portfolio level under the LDCF/SCCF. Submitted 3 times during a project's life: CEO Endorsement, project mid-term, and project completion.
 - Indicators specified for different vulnerable sectors
 - Refined through continuous consultations- living document
- **Annual Monitoring Report:** performance information on LDCF and SCCF active portfolio (projects under implementation); Management effectiveness and efficiency indicators for LDCF and SCCF; and LDCF and SCCF lessons learned (on implementation of adaptation activities on the ground).
- **AMR interactive web-based Map:** to be launched in June 2012 for LDCF/SCCF portfolio

How do we measure adaptation?

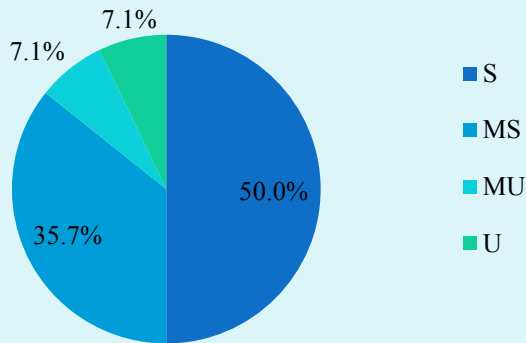
AMAT (Tracking tool)

- Flexible tool – pilot phase. LDCF/SCCF paves the way on adaptation indicators and monitoring
- Agencies are only required to choose at least ONE outcome indicator and ONE output indicator per each of the 3 CC-A Objectives targeted in the project
- Agencies can include their OWN indicators
- Once core indicators are selected at CEO Endorsement, projects will fill in the baseline and expected target level for each indicator
- Last updated in June 2012

Mid-term Results		Target at CEO Endorsement		Baseline	
e areas					
Number	Type	Number	Type	Number	Type
		0	-	0	
		0	-	0	
		0	-	0	
		0	-	0	
		0	-	0	
		0	-	0	
		0	-	0	
Type	YES/NO	Type	YES/NO	Type	
		-	-	-	
		-	-	-	
		-	-	-	
		-	-	-	
		-	-	-	
Type	Score	Type	Score	Type	
		-	-	-	
		-	-	-	
		-	-	-	
		-	-	-	

FY 11 Annual Monitoring Report- Highlights

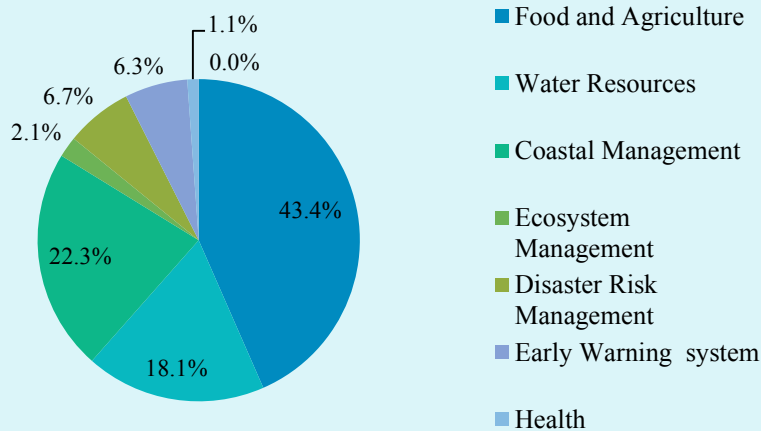
LDCF Portfolio Development Objectives Rating



•50% of LDCF active portfolio is rated “Satisfactory” or higher

•85% is rated “Marginally Satisfactory” or higher

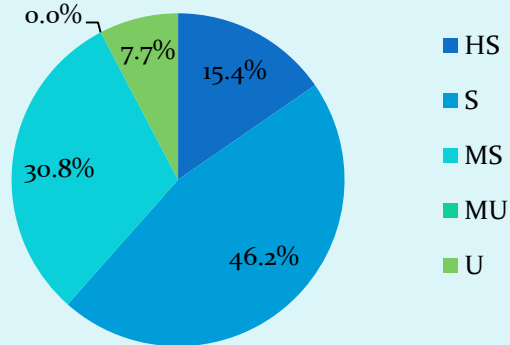
Sector Distribution LDCF Active Portfolio



•Consistent with NAPA priorities, 43.4% of LDCF active portfolio targets the Food and Agriculture Sector; followed by Coastal Management; and Water Resources

FY 11 AMR- Highlights

SCCF Portfolio Development Objectives
Rating



•61.6% of SCCF active portfolio is rated “Satisfactory” or higher

Qualitative Analysis and Lessons Learned focused on:

- 1) Policy level measures and how they enhance adaptive capacity
- 2) Community participation in decision-making for effective implementation; including women
- 3) Scaling-up, sustainability, and/or replication

Independent Evaluations

- Conducted and completed by the Independent GEF Evaluation Office
- Assess results and lessons learned from operations of LDCF, SCCF, and SPA; including countries, agencies, donors, and Secretariat.
- Evaluators conduct field visits, interviews, and evaluations of reforms and operational processes
- Case studies are prepared, reflecting best practices

What is effective adaptation?

- **Relevant:** Adaptation should be relevant to national sustainable development agendas of beneficiary countries, contributing to socio-economic development goals
- **Effective:** Projects that employ innovative approaches to overcome the lack of data on many emerging adaptation issues; adaptation should be geared towards replication and up-scaling, yet follow-up is uncertain due to lack of funding
- **Efficient:** projects should be cost-effective (LDCF/SCCF have lower management costs than GEF Trust Fund)
- **Results- based and Sustainable:** Positive impacts from projects that can be replicated, and/or catalyze additional funding for the project's sustainability; sustainable capacity-building and knowledge management

Criteria used by the GEF Evaluation Office to measure LDCF/SCCF and SPA projects → proving effectiveness of the Funds

Effective Adaptation on the Ground - Results from Evaluations- **SCCF**

- **Scientific information:** Innovative approaches to limited CC data → SCCF projects combine data from different sources to generate a better understanding of local vulnerability.
- **Water Management:** Installation of water harvesting devices; Reduction of river flow sedimentation processes; use local water user associations (WUAs) that play a catalyzing role for cooperation among local water users; support drafting of water distribution policies that integrate CC-A, to help future adaptation projects

Effective Adaptation on the Ground - Results from Evaluations- **SCCF**

- **Disaster Risk Reduction:** SCCF projects have strengthened meteorological forecasts and early warning systems; projects incorporate future CC into existing DRM plans → improving national level policies and legislation
- **Agriculture:** SCCF projects have introduced water-saving and soil moisture techniques; diversified livelihoods; projects have successfully acted as economic safety net → reduced risks to farmers and increase their ability to experiment with long-term adjustments
- **Coastal Zone Management:** SCCF projects have achieved: Implementation of vulnerability assessments of coastal zones to CC impacts; integration of climate change impacts into low elevation zone development planning;

Effective Adaptation on the Ground - Results from Evaluations- **LDCF**

- NAPAs have become key government statements of adaptation needs in some countries.
- 390 NAPA priorities had been identified, out of which food security was the most prioritized. Aligned with this, 40% of LDCF implementation projects target food security.
- NAPA implementation projects: 1) mainstream CC-A priorities into sectoral planning through the generation of high level then more local scale policy developments; 2) elaborate policy instruments for adaptation and development objectives in areas such as food security, water resources, public health, DRR; 3) assess best approaches to project interventions, integration into development, capacity development, and policy reform

Effective Adaptation on the Ground - Results from Evaluations- **SPA**

- Pilots of adaptation measures working on the ground with vulnerable communities and ecosystems.
- Policy revisions and regulatory activities enabled conditions for immediate and long-term adaptation
- Pragmatic technical capacity development translated into on-the-ground measures
- All SPA projects contain a plan for gathering and disseminating lessons learned
- Capacity building project measures included activities to strengthen livelihoods for adaptive capacity



End of Session 6