

**GREEN
CLIMATE
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GCF Results Management Framework

Consultation document, April 2020

About this document

The following document presents an updated results management framework for the GCF. It defines the key results that the GCF will track (including paradigm shift, and the Fund's vision, objectives and priorities), the measurement and reporting approaches to be applied, and the roles that GCF stakeholders will have in the process. Step-by-step guidance then demonstrates how the results management framework will be applied in practice. The document and an accompanying [video briefing](#) will be used to support consultations with GCF stakeholders on the design and implementation of the results management framework.

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1. Introduction

The GCF's initial results management framework (RMF) was approved in 2014, with the aim of enabling effective monitoring of the GCF's investments, and of the Fund's organizational effectiveness and operation efficiency. However, the Independent Evaluation Unit's (IEU) 2019 review of the framework identified several technical and institutional shortcomings relating to the RMF. These weaknesses included a lack of clarity around the GCF's pathways to impact, a lack of consistent guidance on how to apply and measure GCF indicators, and a fragmentation and lack of coherence between the RMF and other GCF policies and tools such as the Investment Framework. Moreover, the 2014-approved RMF predates – and hence fails to reflect – major external developments that have a direct bearing on the GCF's work, most notably the Paris Agreement and the SDGs.

Following the IEU review, the GCF Board requested the Secretariat to develop and propose a revised results management framework. In tandem to this, the ongoing evolution of the Fund has seen refinements to the GCF's vision, objectives, priorities and – by extension – the results that it aims to deliver or contribute to. Based on initial consultations with GCF stakeholders, the following document proposes an updated RMF that responds to the IEU review, takes account of external developments such as the Paris Agreement and SDGs, and supports the delivery and monitoring of the GCF's vision, objectives and priorities.

2. Objectives and scope of the proposed RMF

The proposed RMF aims to deliver two objectives:

- To enable the consistent and credible measurement and reporting of results delivered through GCF-funded activities
- To generate data and learning that supports the continuous improvement of the GCF's efficiency, effectiveness and results

The updated RMF will only apply to projects receiving support **after** the RMF's approval by the GCF Board (currently scheduled for consideration at B.26, June 2020). Projects approved before that date are not obliged to report against the updated RMF, but the following overview and guidance will also be useful for Accredited Entities (AEs) and existing projects that voluntarily elect to adopt and align with the updated RMF.

3. Overview of the proposed RMF

The GCF's RMF provides a conceptual model of how the Fund's vision, objectives and priorities will be realised, and of how the Fund's work will contribute to climate compatible development, impact and – ultimately – paradigm shift. The framework establishes the results that the GCF and its projects strive to deliver, the interdependencies between those results, and the pathways through which climate compatible development, impact and paradigm shift could be attained. Crucially, the RMF also defines how progress towards results should be measured, reported and analysed, including the ways that learning can be captured and fed back into GCF decision-making processes. The framework establishes the requirements and processes for project-level monitoring, but also defines how that project-level data will be aggregated to report on the GCF's sector and portfolio-level progress.

The RMF is aligned with the GCF's Investment Framework, which sets the six investment criteria and underlying sub-criteria against which projects are assessed for support. Prior to project approval, the Investment Framework (supported by the Investment Criteria Scorecard) is used to define and assess – amongst other things – a prospective project's **results potential**, specifically the potential for delivering (i) **sustainable development**, (ii) **impact** and (iii) **paradigm shift**. While the Investment Framework establishes **potential** results in these domains, the RMF defines how **actual** results are measured (links between the Investment Framework and the RMF are detailed in Annex D). Moreover, the RMF goes beyond just measuring progress against Investment Framework criteria, also supporting projects to define and measure a more granular results journey through – for example – context and sector-specific indicators, and an increased emphasis on qualitative (as opposed to just quantitative) measurement. By supporting the definition and measurement of more granular, qualitative results, the

RMF in turn allows the GCF to develop a deeper understanding of not just **what** results are being achieved, but **why and how** those results are being achieved.

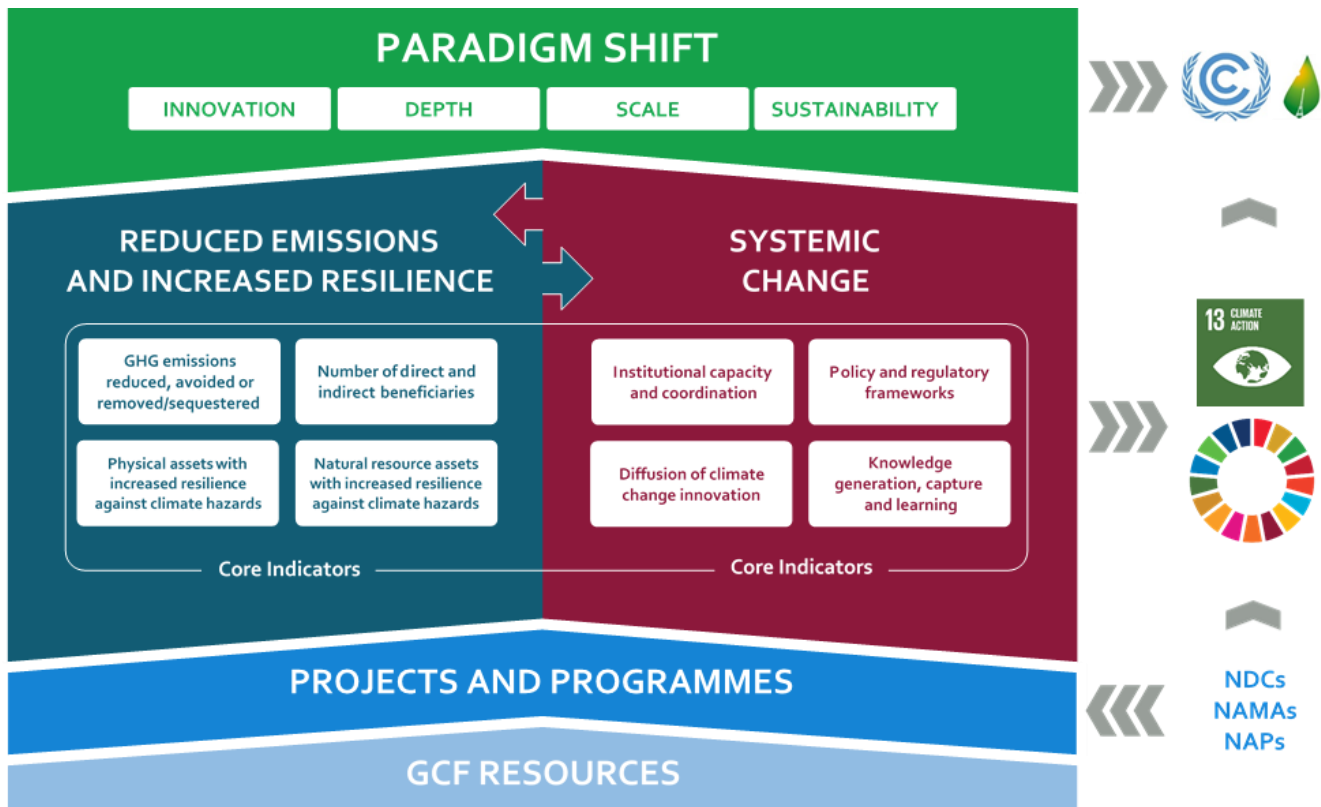


Figure 1: Updated GCF Results Management Framework

Figure 1 presents the overall structure of the RMF. Firstly, GCF resources (finance, expertise) support the design and delivery of projects, with projects being closely defined by national priorities, as expressed through – for example – nationally determined contributions (NDCs), nationally appropriate mitigation actions (NAMAs), and national adaptation plans (NAPs).

Every GCF-supported project will be required to define and target a **combination** of climate results (reduced emissions and increased resilience) **and** systemic change (e.g. strengthened institutions, capacities, policies, knowledge). This represents an important shift from the GCF’s initial RMF, which only emphasised the definition and measurement of climate results. Based on the GCF’s evolving understanding of paradigm shift, the updated RMF assumes that sustainable impact and paradigm shift can **only** be achieved if projects target **both** climate results **and** systemic change. Crucially, the RMF’s logic here is firmly grounded in the Investment Framework’s definition of paradigm shift potential as “*systemic change towards low carbon and climate-resilient development pathways*”. A series of core indicators (supported by more detailed sub-indicators) are used to aggregate project-level results, in turn supporting higher-level analyses across – for example – sectors, regions and the entire GCF portfolio. The GCF’s results, core indicators and sub-indicators at this level will, wherever possible, be aligned with SDG targets and indicators; alignment with SDG 13 (climate action) will be particularly close.

The RMF then requires projects to define and measure **paradigm shift** across the **four dimensions** of innovation, depth, scale and sustainability. A core assumption here is that ‘paradigm shift’ looks different depending on a project’s country, sector and starting conditions. The four dimensions – defined in full within the following section – enable projects to develop **context-specific** definitions of paradigm shift. Breaking down paradigm shift in this way allows for more nuanced, context-specific descriptions and measurement approaches, yet still allows the GCF to undertake a degree of aggregation and comparison of paradigm shift-related data at the portfolio level. Measuring paradigm

shift will also support an understanding of whether and how the GCF is progressing towards its overall vision, including the Fund's contributions to the UNFCCC and the Paris Agreement.

The RMF also aims to provide a robust body of evidence to support assessment as to how women and men are benefitting from GCF interventions. Gender-disaggregated data is included as a requirement for all relevant quantitative indicators, and the qualitative assessments for both systemic change and paradigm shift will assess gender dimensions within an intervention. This gender-related data is not intended to replace, but rather be complementary to GCF gender assessments and project-level gender action plans.

4. Results levels

Each level of the RMF represents a discrete component of the GCF's pathway to results. The following section provides rationales and definitions for each of these levels, along with the broad monitoring approaches to be applied.

4.1 GCF Resources

The first RMF level tracks the basic inputs (finance, expertise) provided by the GCF to projects and programmes. This data feeds into analysis throughout the RMF, particularly efficiency-related assessments and reporting on resource allocations. GCF resource data is collated directly by the GCF Secretariat.

Separately from the RMF, the GCF Secretariat also monitors various aspects of organisational performance such as turnaround times and progress towards internal milestones. The GCF's **Results Tracking Tool** brings this internal data together with RMF data in order to provide a consolidated overview of GCF performance.

4.2 Projects and Programmes

As far as possible AEs should develop project-level theories of change, results frameworks and measurement approaches that are **based on the AE's own pre-existing monitoring policies, systems and processes**. In line with best practice, it is expected that AEs' existing monitoring approaches will ensure strong alignment between their projects and national monitoring systems, using and supporting national processes and indicators wherever feasible.

Although existing AE and national monitoring systems should be used as far as possible, project-level monitoring approaches will have to be capable of measuring and reporting progress against specific RMF elements. These mandatory elements and monitoring approaches are defined in more detail in subsequent sections, but to summarise, all GCF-supported projects will be required to undertake the following:

- Prior to implementation, define **Paradigm Shift** within the context of the project
- Monitor and report annually on **Paradigm Shift and its four dimensions** (innovation, depth, scale, sustainability)
- Monitor and report annually on **Reduced Emissions and Increased Resilience** core indicator 1 (*GHG emissions reduced, avoided or removed/sequestered*) **and** core indicator 2 (*Number of direct and indirect beneficiaries*), plus other Reduced Emissions and Increased Resilience core indicators if relevant to the project
- Monitor and report annually on **all relevant Reduced Emissions and Increased Resilience sub-indicators**, with relevant sub-indicators dependent on the focus area of the project
- Monitor and report annually on all four **Systemic Change** core indicators

Once provided by AEs, the GCF Secretariat will collate and aggregate all the above **project-level data** to support **portfolio-wide analysis and reporting**.

4.3 Reduced Emissions and Increased Resilience

The reduced emissions and increased resilience results level will be used to track the **major climate-focused results** that GCF-supported projects work towards. These include the ‘big ticket’ climate results that are routinely tracked by other climate financing mechanisms, are commonly tracked by national statistical authorities, and are often in full alignment with the SDGs. As the level’s title suggests, this will necessitate gathering data on resilience and emissions reductions, but will also cover results relating to economic assets and land management.

Four core indicators (all quantitative) will be used to track progress at this results level:

- **Core Indicator 1:** GHG emissions reduced, avoided or removed/sequestered
- **Core Indicator 2:** Number of direct and indirect beneficiaries
- **Core Indicator 3:** Physical assets with increased resilience against climate hazards
- **Core Indicator 4:** Natural resource assets with increased resilience against climate hazards

Every GCF-supported project will be required to monitor and report annually against **core indicators 1 and 2**. Projects will also be required to monitor and report annually against the other two core indicators **if those indicators are relevant to the project**: for example projects working to climate-proof housing stock will be required to report against core indicator 3, projects focused on afforestation will be required to report against core indicator 4. Wherever relevant, core indicator methodologies incorporate gender and social inclusion dimensions.

The four core indicators are supported by a suite of **sub-indicators** (again, all quantitative), which will allow the GCF to develop a more granular understanding of progress across the eight areas that the Fund targets. Projects will be required to monitor the appropriate sector-specific sub-indicator/s **for each focus area that the project works towards**. Sub-indicators are detailed in Annex C. As with core indicators, sub-indicator methodologies incorporate gender and social inclusion dimensions wherever relevant.

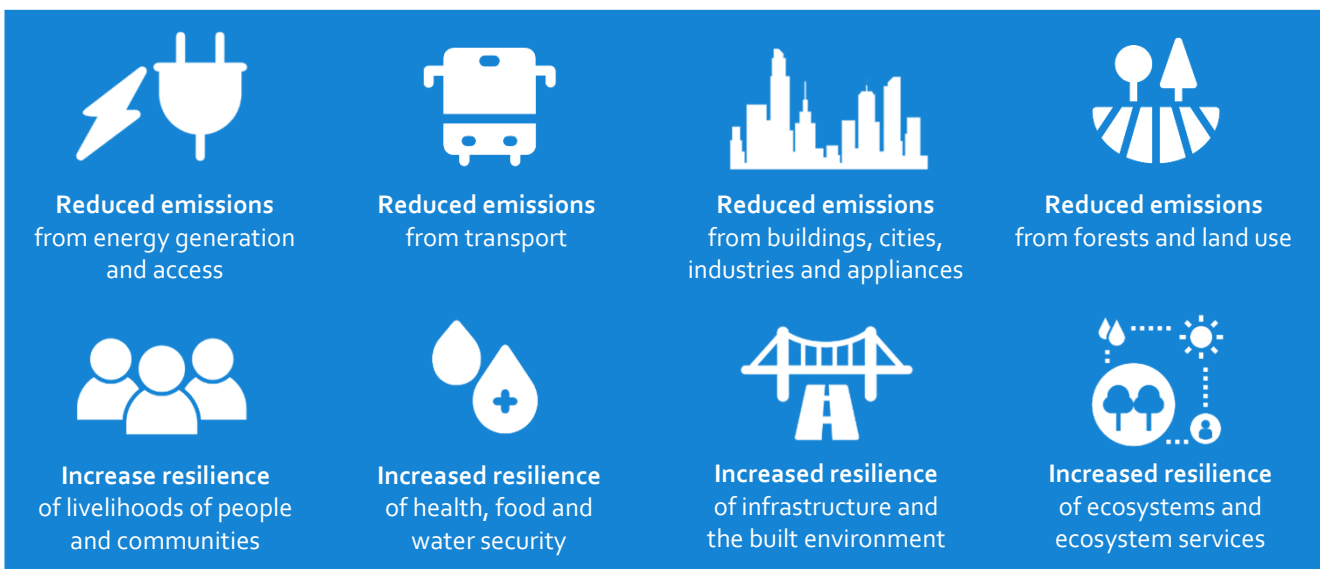


Figure 2: GCF focus areas

AEs will be responsible for overseeing the monitoring of project-level results at this level, and will be required to report against all project-relevant core indicators and sub-indicators on an annual basis. The GCF Secretariat will then collate and aggregate all project-level data in order to track portfolio-level data, with sub-indicator data also supporting sector-level analyses.

4.4 Systemic Change

Within this updated RMF, the reduced emissions and increased resilience results level will be the level that is most familiar to stakeholders who have worked with the GCF previously, as the level's results and underlying indicators are largely based on the GCF's initial RMF. However, the updated RMF assumes that sustainable impacts – and particularly paradigm shift – can only be achieved if projects explicitly target **both** climate-focused results (reduced emissions and increased resilience) **and** results that target **systemic change**. This assumption draws directly on the Investment Framework's definition of paradigm shift potential as “*systemic change towards low-carbon and climate-resilient development pathways*”.

‘Systemic change’ will be project and context-specific but could involve – for example – shifts in national policies and regulatory frameworks, new or strengthened institutions, improved application of knowledge, or the development of novel commercial markets. The RMF assumes that – regardless of what the *specifics* of systemic change look like – projects will need to target *some* form of systemic change in order to support the delivery and sustainability of their climate-focused results. For example, a project that is looking to reduce emissions through decarbonisation of a country's electricity supply (the climate-focused result) will necessarily have to engage with and probably support the development of that country's electricity regulatory bodies (the systemic change result). A project looking to build resilience across an agricultural sector may be providing new climate-resilient crops (the climate-focused result), but will need to accompany this with a programme of capacity development to ensure uptake of new farming techniques, and institutional strengthening to build new supply chains (the systemic change results).

The concept of working towards systemic change **in tandem** with working towards climate results is already inherent within existing GCF-supported projects: it is essentially a standard approach. However, the GCF's initial RMF was almost exclusively focused on the measurement of climate results, with virtually no measurement undertaken on systemic change. By introducing systemic change as a results level within this updated RMF, the data gathered will support a far deeper understanding of not just **what** climate results are being achieved, but **why and how** those results are being achieved.

While the reduced emissions and increased resilience results level requires the monitoring of quantitative data, the systemic change results level will predominantly require **qualitative** monitoring. Qualitative data and approaches will in turn help to build a more nuanced understanding around how projects support – for example – institutional strengthening, policy development, and knowledge generation.

As with reduced emissions and increased resilience, four core indicators will be used to track progress on systemic change:

- **Core Indicator 5:** Institutional capacity and coordination
- **Core Indicator 6:** Policy and regulatory frameworks
- **Core Indicator 7:** Diffusion of climate change innovation
- **Core Indicator 8:** Knowledge generation, capture and learning

Guidance on measuring systemic change is provided in Annex B, but in summary each indicator is supported by an underlying ‘scorecard’ that presents a set of statements defining what constitutes – for example – ‘weak’ institutional capacity versus ‘strong’ institutional capacity. The scale-based scorecards are then periodically used to assess (‘score’) progress towards each indicator.

Every GCF-supported project will be required to monitor and report annually against **all four core indicators** of systemic change. Monitoring will be based on an annual scorecard assessment, undertaken by the AE in consultation with the project's main stakeholder groups. The GCF Secretariat will then collate and aggregate all project-level data in order to track portfolio-level trends. All four systemic change indicator methodologies incorporate gender and social inclusion dimensions.

4.5 Paradigm Shift

The Fund’s Investment Framework defines paradigm shift potential as the “*degree to which the Fund can achieve sustainable development impact beyond a one-off project or programme investment through replicability and scalability*” and “*systemic change towards low-carbon and climate-resilient development pathways*”. The updated RMF’s new, interdependent results layers of ‘Reduced Emissions and Increased Resilience’ and ‘Systemic Change’ already go some way towards supporting measurement of paradigm shift. But considering the **centrality** of paradigm shift to the GCF’s vision and the **complexity** of the concept, a further level of measurement is required to develop a more comprehensive understanding of whether and how the Fund is supporting paradigm shift.

Within the climate finance domain, approaches to measuring paradigm shift (and the synonymous concept of ‘transformational change’) are relatively new and underdeveloped. However, strategies have been proposed or tested by the World Bank, the Global Environment Facility, the Climate Investment Funds, and indeed the GCF’s own Independent Evaluation Unit. Building on that recent experience, the updated RMF ‘breaks down’ and simplifies paradigm shift into four separate and more readily measurable dimensions: innovation, depth, scale and sustainability.

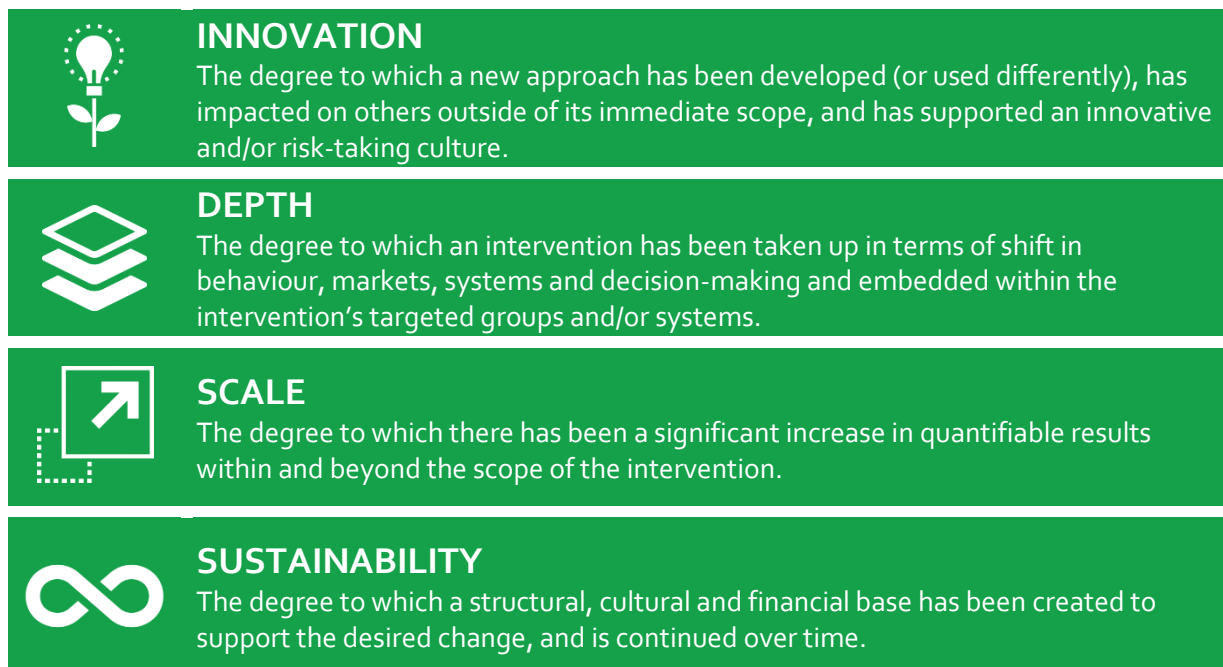


Figure 3: Paradigm Shift dimensions

Using these dimensions aims to strike a balance between – on the one hand – the complexity and context-specificity of paradigm shift and – on the other hand – the need to generate comparable data that can support cross-portfolio analysis. The dimensions firstly provide a structure against which AEs and projects can develop and measure project-specific definitions of paradigm shift. Then – through the application of the consistent ‘categories’ afforded by the dimensions – a degree of cross-portfolio comparability can be achieved, even where there is significant variability across the underlying individual projects.

Prior to considering the measurement approach in more detail, it is important to highlight that the **foundational principle** of the GCF’s approach to measuring paradigm shift is that **AEs and projects alone cannot be held accountable for paradigm shift**. GCF-supported projects can only ever expect to **contribute** to paradigm shift (indeed, if a paradigm shift could be solely attributed to a GCF intervention, that would raise serious questions about the ownership and sustainability of the shift). Instead, the paradigm shift measurement process is **squarely focused on learning**. The measurement process should incentivise AEs to report negative (and of course positive) experiences and lessons: so

long as any negative experience generates valuable learning, no ‘penalties’ should be imposed where an intervention fails to deliver paradigm shift.

The following summarises the approach, but full guidance on measuring paradigm shift is provided in Annex A. Firstly – and **as part of the assessment against the GCF’s Investment Framework** (i.e. prior to project approval) – AEs will be required to **define what ‘paradigm shift’ will look like** for their project, also **identifying how the project will contribute to that shift**. Developing project-level definitions recognises that paradigm shift is highly context-specific: for example, paradigm shift in a small island developing state will look completely different to paradigm shift in a large, populous country with diverse ecosystems. Project-level definitions of paradigm shift should be based on the above dimensions, although recognising that dimensions will have different ‘weights’ and degrees of relevance depending on the precise nature of the project.

In close consultation with the project’s main stakeholder groups, AEs will then monitor and annually report on progress towards the project-level definition of paradigm shift, including whether and how the project is contributing to any progress. In addition to these annual assessments, mid-term reviews and end-of-project evaluations will include independent assessments of paradigm shift. All these assessments – both the AE’s ‘internal’ annual assessment and the independent evaluations – will be based on a scorecard approach similar to that applied for the RMF’s systemic change results. Each paradigm shift dimension is supported by an underlying ‘scorecard’ that presents a set of statements defining what constitutes – for example – ‘weak’ sustainability versus ‘strong’ sustainability. The scale-based scorecards are then used to assess (‘score’) progress towards each dimension.

The GCF Secretariat will collate and aggregate all project-level scorecard data in order to track portfolio-level trends across the four dimensions of paradigm shift. However, given the emphasis on learning (as opposed to accountability) at this level, the Secretariat will also be responsible for continuous scanning of the portfolio’s qualitative data, with a view to identifying emerging lessons and trends, in turn ensuring that these lessons are fed back into GCF knowledge generation and decision making processes.

5. Reporting process

As part of their APRs, all projects will report progress annually against the three main RMF levels, providing quantitative indicator data for the Reduced Emissions and Increased Resilience level, scorecards and qualitative data for the Systemic Change level, and scorecard and qualitative data for the Paradigm Shift level. AEs will also commission independent mid-term and end-of-project evaluations, whose remits should include validation of RMF results reported via APRs. The GCF Secretariat will then quality assure and aggregate all APR and evaluation data to generate portfolio-level data. This portfolio-level data will then be fed into the Results Tracker Tool, which will also incorporate the GCF’s internal performance data, including data on resources. The Results Tracker Tool will then be continuously available for interrogation by the GCF Board, and indeed the general public. The Results Tracker Tool will also support more granular analysis, for example by sector or geographical region. Crucially, learning feedback loops will be developed to ensure that emerging lessons are fed back into GCF decision making processes, and are used to support the Fund’s knowledge work.

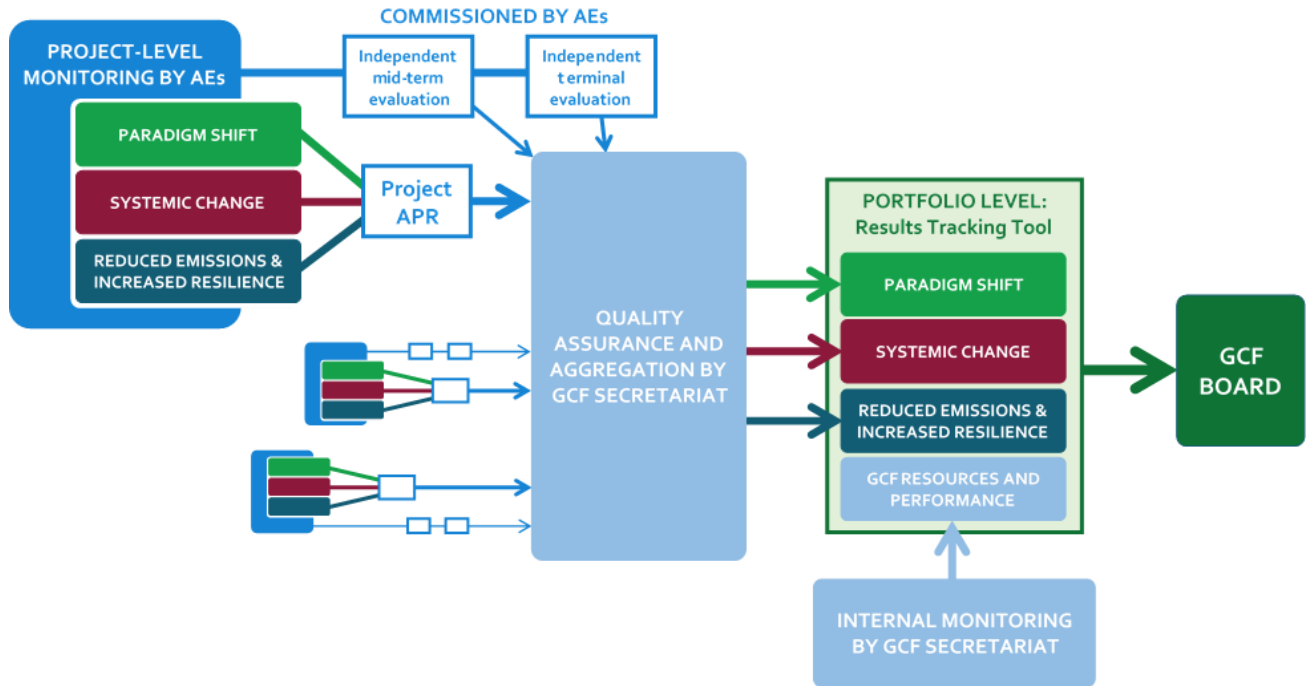


Figure 4: Reporting process

6. Applying the framework

The updated RMF introduces new concepts and approaches that, in turn, have practical and resource implications for GCF stakeholders and projects. The following section summarises the key steps and processes that GCF stakeholders and projects will need to apply in order to implement the RMF. While existing projects are not obliged to report against the updated RMF, the guidance will also be useful for AEs and existing projects that voluntarily elect to adopt and align with the updated RMF.

6.1 Project design, assessment and approval

A core principle is that AEs should develop project-level monitoring strategies (for example theories of change, results frameworks, measurement approaches) that are **based on their own pre-existing systems, processes and internal requirements**. However, those monitoring strategies will need to be aligned with the RMF and will need to be capable of measuring and reporting progress against certain RMF elements. Consequently, the mandatory RMF elements will need to be reflected within the project's design and incorporated within proposal documentation. Considering the requirements for each RMF level in turn:

PROJECT DESIGN: REDUCED EMISSIONS & INCREASED RESILIENCE

Project proposals will be required to demonstrate that monitoring strategies are capable of:

- **Tracking and annual reporting against core indicator 1 (emissions reductions) and core indicator 2 (beneficiaries)**. All projects are required to monitor both indicators, regardless of the project's focus. For example, even where a project does not target emissions reductions, a 'zero contribution' should still be recorded against core indicator 1.
- **If relevant to the project, tracking and annual reporting against core indicator 3 (physical assets) and/or core indicator 4 (natural assets)**.
- **Tracking and annual reporting against all relevant sub-indicators**. Proposal documentation will indicate which GCF focus areas the project is aligned with: **all** corresponding sub-indicators should be monitored (see annex C for the full suite of indicators). Where projects are targeting results across multiple GCF areas, all corresponding sub-indicators for all of the targeted areas should be tracked.

PROJECT DESIGN: SYSTEMIC CHANGE

Project proposals should **outline how the annual scorecard assessments of the four systemic change indicators will be undertaken**: for example who will be involved, what data will be used to inform the assessments.

Proposals should also include **baseline scorecard assessments for all four systemic change core indicators**, in order to establish the starting conditions against which the project will be working.

PROJECT DESIGN: PARADIGM SHIFT

Using the four dimensions of innovation, depth, scale and sustainability, **proposals should define paradigm shift within the context of the project**: what will paradigm shift look like? Are all four dimensions equally relevant and important? What will a shift look like within each dimension?

Accompanying this definition, proposals should **describe how the project is expected to contribute to that paradigm shift**, taking into account and explicitly identifying the other conditions, actors and processes that will influence paradigm shift.

Based on the above definition, proposals should then **outline how the annual scorecard assessment of the four paradigm shift dimensions will be undertaken**: for example who will be involved, what data will be used to inform the assessments.

Proposals should also include **baseline scorecard assessments for all four paradigm shift dimensions**, in order to establish the starting conditions against which the project will be working.

As before, the GCF's Investment Framework, criteria and sub-criteria continue to guide the proposal assessment and approval process. Compared to the initial RMF, the updated RMF strengthens alignment between the Investment Framework and ongoing results monitoring, to the point that if a proposal is aligned with the Investment Framework, it should be *inherently* aligned with the RMF. Moreover, by requiring projects to define paradigm shift and establish baselines for paradigm shift and systemic change, the RMF should also serve to **strengthen and deepen the Investment Framework and the GCF's assessment of a project's paradigm shift potential**.

6.2 Baseline validation

Baselines will have been developed during project design and will have been presented as part of the proposal. However, **baselines should be validated by the AE at project launch**, particularly where a significant amount of time has elapsed since the project design and/or since the original baselines were established. This process should include **validation of the baseline scorecards for the systemic change indicators and for the paradigm shift dimensions**. The project-level **definition of paradigm shift** should also be re-validated at project launch.

6.3 Ongoing monitoring and annual reporting

As above, AEs should as far as possible use their own pre-existing systems and processes to undertake the ongoing monitoring and reporting of GCF-support projects. As a minimum though, all GCF projects are required to submit Annual Progress Reports (APRs), which include a section for reporting against the RMF results levels. Considering the monitoring and annual reporting requirements for each RMF level in turn:

PROJECT MONITORING: REDUCED EMISSIONS & INCREASED RESILIENCE

Project APRs should include progress reports including **quantitative data** for:

- **Core indicator 1** (reduced emissions)
- **Core indicator 2** (beneficiaries)
- If relevant to the project, **core indicator 3** and/or **core indicator 4**, as agreed during the project approval process
- **All sub-indicators**, as agreed during the project approval process

PROJECT MONITORING: SYSTEMIC CHANGE

Project APRs should include:

- **Annual scorecard assessments for all four systemic change core indicators**. These assessments can be undertaken solely by the AE, but involving other project stakeholder groups will help to deepen the assessment and strengthen the learning process.

PROJECT MONITORING: PARADIGM SHIFT

Project APRs should include:

- **Annual scorecard assessments for all four paradigm shift dimensions**. These assessments can be undertaken solely by the AE, but involving other project stakeholder groups will help to deepen the assessment and strengthen the learning process.

6.4 Independent validation

AEs should continue to commission independent mid-term and terminal evaluations of their projects. However, the terms of reference for those evaluations should incorporate a new requirement for evaluators to **undertake or validate the latest ‘internal’ scorecard assessments of both systemic change and paradigm shift**. These independent assessments should use the **same guidance, approach and scorecard templates** as annually applied by AEs during preparation of their APRs.

6.5 Data aggregation and portfolio-level reporting

The GCF Secretariat will **quality assure all APRs, mid-term evaluations and terminal evaluations**, ensuring that all RMF-related data is credible, consistent and comparable. Quality assured data will be entered into the Fund’s Results Tracking Tool, which can then be used to support **analysis and reporting on aggregated data**. This will include **portfolio-level reporting** but will also enable – for example – reporting by sector, by geographical region, and by individual sub-indicators.

The Results Tracking Tool will provide the basis for an annual report to the GCF Board on progress against the RMF, but will also be publicly available on an ongoing basis.

6.6 Learning

APRs and independent evaluations will gather project-level lessons as a matter of course, with the GCF Secretariat aggregating and analysing cross-portfolio lessons and trends (extending to analyses at sector, regional and country level). Learning feedback loops will be developed to ensure that emerging lessons are fed back into all relevant GCF decision making and management processes, whether at Board, Secretariat or Project level. Periodic synthesis of learning (potentially including external reviews) will also be used to formally codify lessons, and to support the Fund’s knowledge work.

7. RMF development process: next steps

The RMF proposed within this document is still a **draft** framework. Following the current consultation process the RMF will be revised, finalised, and submitted to the GCF Board for approval (currently scheduled for consideration at B.26, June 2020). Once approved, a comprehensive **results handbook** will be developed, including detailed indicator guidance sheets that outline methodologies for all RMF measurement approaches, including quantitative indicators and the qualitative scorecards. A programme of **capacity building** for GCF project stakeholders will also be developed and implemented by the GCF Secretariat.

The RMF will also require **adjustments to some of the GCF’s broader processes and templates**. Following approval of the RMF it will be necessary to revise **Funding Proposal** templates, **Annual Progress Report** templates some **legal agreement** templates. However – and as emphasised above – the RMF will only apply to projects receiving support **after** the RMF’s approval by the GCF Board. Projects approved before that date will not be obliged to report against the updated RMF, although AEs and existing projects may choose to voluntarily adopt the updated RMF.

8. Consultation questions

The above – and the accompanying [video briefing](#) – provide an outline of a **proposed** RMF. Prior to finalising the RMF for consideration by the GCF Board, the GCF Secretariat now wish to gather views from GCF stakeholders on the proposal. To that end, a consultation exercise involving interviews, webinars and surveys will be undertaken during May 2020. While comments on all aspects of the RMF are welcome, key questions to consider include:

- Is the overall approach clear and feasible?
- Are the proposed measurement approaches feasible?
- Are the proposed indicators definitions, methodologies and reporting frequencies appropriate and realistic?
- What are the potential gaps with the framework?

Annex A: Measuring paradigm shift

KEY PRINCIPLES

CONTRIBUTION, NOT ATTRIBUTION

The focus should be on identifying contribution to paradigm shift, not attribution. There are two main reasons for this:

- The sustainability of any paradigm shift relies on the change continuing after the GCF-supported intervention, so other actors must contribute and take ownership if the intervention is to continue (this would suggest high levels of attribution could actually have a *negative* impact on paradigm shift);
- GCF activities will play quite different roles across different projects, so for example some projects may be about funding the implementation of a major infrastructure project; some may be catalytic, perhaps funding a series of pilot projects or proof of concept studies that provide evidence for future scale; others could be about influencing policy change or leveraging finance from new parties.

Consequently, the focus should be on identifying **the level of a GCF investment's contribution to paradigm shift.**

LEARNING, NOT ACCOUNTABILITY

The primary purpose of assessing paradigm shift should be for learning rather than accountability purposes. Paradigm shift must take place over and above the activities of GCF and **GCF interventions alone cannot be accountable for whether or not paradigm shift takes place** (accountability needs to sit lower down the results chain). Any assessment process needs to focus on learning and not just on 'reporting success'.

PARADIGM SHIFT IS CONTEXT SPECIFIC

Paradigm shift is context specific: that means metrics across projects may not be comparable. For example, the absolute number of beneficiaries should not be used to compare and contrast the scale of paradigm shift across countries of different sizes that have different key issues and change dynamics. Measures like percentage of population/land/energy use etc. are better but still not really helpful, as they don't take into account the different levels of attitudinal change required, possible resistance, different 'tipping points' or hitting hard-to-reach areas; they also don't take into account other environmental/socio-economic differences.

When defining and measuring paradigm shift, it is therefore important to identify the unit of analysis. This is going to be different across GCF interventions depending on their context/target. For example, the unit of analysis could be a country-wide paradigm shift in smaller countries, but a city or state may be a more appropriate unit of analysis in larger countries.

DEALING WITH COMPLEXITY: PARADIGM SHIFT DIMENSIONS

Within the climate finance domain, approaches to measuring paradigm shift (and the closely associated concept of ‘transformational change’) are relatively new and underdeveloped. However, strategies have been proposed or tested by the World Bank, the Global Environment Facility, the Climate Investment Funds, and indeed the GCF’s own Independent Evaluation Unit. All that experience indicates that **measuring paradigm shift – or at least assessing the degree to which it is taking or has taken place – requires it to be broken down into component elements.**

There are a number of different ‘dimensions’ that could be used – there is no definitive ‘right’ list. However, there need to be a sufficient number of dimensions to capture the complexity and different interlinked aspects of paradigm shift, but not so many that it becomes too difficult to operationalize or communicate. Between 3 and 5 key dimensions is ideal. These dimensions should provide the basis for a consistent, measurable assessment model.

The proposed dimensions are as follows: they draw from other sectors, actors and best practice in other arenas. They are likely to need further consultation and refinement to meet expectations:



INNOVATION

The degree to which a new approach has been developed (or used differently), has impacted on others outside of its immediate scope, and has supported an innovative and/or risk-taking culture.



DEPTH

The degree to which an intervention has been taken up in terms of shift in behaviour, markets, systems and decision-making and embedded within the intervention’s targeted groups and/or systems.



SCALE

The degree to which there has been a significant increase in quantifiable results within and beyond the scope of the intervention.



SUSTAINABILITY

The degree to which a structural, cultural and financial base has been created to support the desired change, and is continued over time.

Given the context specificity of paradigm shift, **the four dimensions will have different weights and degrees of relevance depending on the nature of the project.** For example, an intervention may have already been well-demonstrated within a country (innovation) to the point that it has shifted norms within a certain group or market (depth); but perhaps that success is still rather constrained, benefiting a relatively low number of individuals – the ‘new’ intervention may therefore consider scale to be the most important dimension to target and measure. Another intervention may be completely novel, yet still have ambition for widespread uptake and societal change: so that intervention may view all four dimensions as equally important for targeting and measuring.

It follows that to consistently assess paradigm shift **an approach is required that looks at levels of change across the four dimensions**, with an assessment of **what level of shift has taken place in each dimension.**

Assessments should also explore dimension-level shifts **from the perspectives of women and men**, including whether and how these shifts have been experienced differently. For example:

- **Innovation:** the adoption and success of innovative approaches, systems, and technologies, especially those with the potential to overcome traditional barriers for women
- **Depth:** behavioural, market, resilience changes and decision-making that may have been experienced by women
- **Scale:** how GCF interventions have been replicated and adopted especially by women within and beyond the intended scope
- **Sustainability:** how GCF supported interventions can have a continued and long-term effect for women

ASSESSMENT PROCESS

In summary, every GCF intervention will track progress towards the **four dimensions** of paradigm shift using a **scorecard approach**, with a scorecard used for each dimension. As well as measuring progress towards each dimension – and in line with the principle of measuring contribution rather than attribution – scorecards will also be used to measure **the level of the GCF investment’s contribution to any change**. Scorecards will be **‘internally’ assessed annually** by at least the AE, with **external validation at least through mid-term and terminal evaluations**.

Considering the main assessment steps in turn:

PROJECT DEVELOPMENT AND APPROVAL

As part of a proposal’s assessment against the GCF’s Investment Framework (i.e. prior to project approval) AEs will be required to **define what ‘paradigm shift’ will look like** for their project, also **identifying how the project will contribute to that shift**. Developing project-level definitions recognises that paradigm shift is highly context-specific: for example, paradigm shift in a small island developing state will look completely different to paradigm shift in a large, populous country with diverse ecosystems.

Project-level definitions of paradigm shift should be based on the four dimensions of paradigm shift, although recognising that dimensions will have different ‘weights’ and degrees of relevance depending on the precise nature of the project.

BASELINE DEVELOPMENT

As part of the above project-level definition of paradigm shift, **AEs should complete ‘baseline’ scorecard assessments** for each of the four dimensions that, in turn, will outline the starting conditions against which the project is working.

Baselines should be validated by the AE at project launch, particularly where a significant amount of time has elapsed since the project design and/or since the original scorecards were developed. The project-level definition of paradigm shift should also be re-validated at project launch.

ANNUAL REVIEWS / APRs

Using the four dimension scorecards, AEs will monitor and **annually report** on progress towards the project-level definition of paradigm shift, including whether and how the project is contributing to any progress. These assessments can be undertaken solely by the AE, but involving other project stakeholder groups will help to deepen the assessment and strengthen the learning process.

Assessments should be annual as it is important that any significant positive evidence of progress is identified and reported early. This should not be considered a burden of reporting but is an opportunity to highlight success


INDEPENDENT VALIDATION




Terms of reference for mid-term and terminal evaluations should incorporate a new requirement for evaluators to **undertake or validate the latest ‘internal’ scorecard assessments of paradigm shift**. These independent assessments should use the **same guidance, approach and scorecard templates** as annually applied by AEs during preparation of their APRs.

SCORECARDS

When measuring dimensions it is tempting to have a high level of granularity (so for example a 6-point scale), however the greater the granularity the more difficult it is to get consistency across AEs and assessment processes, particularly considering the diversity of the GCF’s portfolio. Consequently, a 4-point scale is proposed (where 0 = no evidence of change, 3 = high degree of evidence of change).

As well as measuring progress towards each dimension – and in line with the principle of measuring contribution rather than attribution – scorecards will also be used to measure **the level of the GCF investment’s contribution to any change**. For each dimension, the **intensity of contribution** (high, medium, low) should be measured. The scale recognizes that ‘high intensity’ does not necessarily mean better than ‘low intensity’, as the expected contribution might be different dependent on other actors involved and the required need.

Dimension	0 (No evidence of change)	1	2	3 (High degree of evidence of change)	Intensity of GCF contribution
Innovation 	No evidence of new or transferable approaches being supported, tested or replicated	<p>Clear examples of new approaches or technology being initiated</p> <p>Early signs of capacity developed to collect evidence as to whether new approaches or technologies can lead to improved outcomes</p> <p>Some evidence of innovative approaches promoted by GCF being successfully replicated in at least one additional setting</p>	<p>Examples of effective collection and communication of evidence to provide proof of concept for innovative approach</p> <p>Evidence of uptake and replication of innovative approaches promoted by GCF</p>	<p>Strong and consolidated evidence of continuous learning and innovation processes made routine</p> <p>Clear evidence of widespread take up and replication of new approach or transfer to new setting/contexts</p>	<p>High: GCF funded activity played a central role and the change wouldn’t have happened without it</p> <p>Medium: GCF funded activities enhanced an existing initiative to significantly improve outcomes</p> <p>Low: GCF played a catalytic/ facilitative role which supported a broad coalition of actors</p>
	Limited if any increase in funds or resources being dedicated to testing innovative approaches	Some emerging signs of additional leveraged funds for innovative approaches promoted by GCF	Increasingly strong evidence of additional leveraged funds for innovative approaches promoted by GCF	Evidence of additional leveraged funds for innovative approaches promoted by GCF	
	Limited interaction between different stakeholders to stimulate innovation	Development of new cross sector working groups or coalitions focused on generating new solutions	Evidence of an innovation being successfully taken up by another implementer	The innovative approach promoted by GCF becomes the new normal and is taken up by multiple implementing stakeholders	

Dimension	0 (No evidence of change)	1	2	3 (High degree of evidence of change)	Intensity of GCF contribution
Depth 	No or little evidence that the GCF supported intervention is contributing towards a behavioural change or decision-making process among beneficiaries or project/program stakeholders, with a particular focus on women	Some emerging signs that the intervention contributes towards a behavioural change among beneficiaries or project/program stakeholders, with a particular focus on women	Increasingly strong evidence that the intervention contributes towards a behavioural change among beneficiaries or project/program stakeholders, with a particular focus on women	Strong and consolidated evidence that the intervention contributes towards a behavioural change among beneficiaries or project/program stakeholders, with a particular focus on women	High: GCF funded activity played a central role and the change wouldn't have happened without it Medium: GCF funded activities enhanced an existing initiative to significantly improve outcomes Low: GCF played a catalytic/ facilitative role which supported a broad coalition of actors
	No or little evidence that the intervention is contributing towards a market or other type of systems change	Some emerging signs that the intervention is contributing towards a market or other type of systems change	Increasingly strong evidence that the intervention is contributing towards a market or other type of systems change	Strong and consolidated evidence that the intervention is contributing towards a market or other type of systems change	
Scale 	No replication or multiplying effects across population, markets, institutions, sectors and geographic areas of GCF-supported interventions	Some emerging signs of clear pathway to replication or multiplying effects across population, markets, institutions, sectors and geographic areas of GCF-supported interventions	Evidence of replication or multiplying effects across population, markets, institutions, sectors and geographic areas of GCF-supported interventions	Evidence of a significant replication or multiplying effects across population, markets, institutions, sectors and geographic areas of GCF-supported interventions	High: GCF funded activity played a central role and the change wouldn't have happened without it Medium: GCF funded activities enhanced an existing initiative to significantly improve outcomes Low: GCF played a catalytic/ facilitative role which supported a broad coalition of actors
Sustainability 	No evidence of continuity of project results beyond project support	Some emerging signs that project results are likely to continue beyond GCF's support	Clear signs that the project results are likely to continue beyond GCF's support	Strong evidence that project results will continue beyond GCF's support	High: GCF funded activity played a central role and the change wouldn't have happened without it Medium: GCF funded activities enhanced an existing initiative to significantly improve outcomes Low: GCF played a catalytic/ facilitative role which supported a broad coalition of actors
	No improvement in organisational capacity across public and private sector to deliver effective interventions	Examples where there is evidenced improvements in the organisational capacity of either key public or private sector organisations	Clear evidence of improvements in the organisational capacity of either key public or private sector organisations	Organisational resourcing, staffing, structures and relationships are designed and resourced to support new ways of working	
	No movement in creating an enabling policy environment	Leaders across relevant organisations provide tangible show of commitment to change	Clear commitment and progress made towards policy changes which support change	Policy environment encourages new norms	
	No or limited increase in regular funding for climate change	There is noticeable increased budget for intervention area	Clear changes in the priorities and resource allocations of key stakeholder groups in both public and private sector	Commercial thriving markets established Sufficient public finance is available and flowing for sustainable change No/limited reliance on donor funding	

Annex B: Reduced Emissions and Increased Resilience – proposed indicators

Core Indicator 1	GHG emissions reduced, avoided or removed/sequestered
Unit	Tonnes of carbon dioxide equivalent (tCO ₂ eq)
Rationale	<p>This has been a core GCF indicator since 2014, is routinely reported on through Board meetings, and continues to be a central measure of the GCF's impact. It is tightly aligned with core indicators of numerous other climate finance mechanisms, and with the objectives of the UNFCCC and Paris Agreement.</p> <p>The Fund promotes low-emission and climate-resilient development pathways by providing support to developing countries to limit or reduce their greenhouse gas (GHG) emissions and to adapt to the impacts of climate change. Monitoring the level of GHG emissions abated from Fund projects is a key indicator of progress and results of Fund projects/programmes. The indicator will report on the net change in GHG emissions measured in tonnes of carbon dioxide equivalent (t CO₂eq), estimated relative to the assumed business-as-usual emissions trajectory, and will reflect abatement results directly attributable to GCF mitigation projects over the lifetime of the projects.</p> <p>This indicator is well aligned with GCF's Investment Framework criterion on Impact Potential (mitigation impact) and with the indicative investment factor '<i>Expected tonnes of carbon dioxide equivalent (t CO₂ eq) to be reduced or avoided</i>'.</p> <p>This indicator is well aligned with SDG 13 'Take urgent action to combat climate change and its impacts' and with the targets set in the Paris Agreement.</p> <p>This indicator may also be aligned with the mitigation priorities identified by developing countries in the relevant Nationally Determined Contributions (NDCs) and in the Nationally Appropriate Mitigation Actions (NAMAs).</p>
Definition	<i>Note: the definition will be grounded in the GCF's original guidance (Annex V of B.08/07), but will be amended according to the final methodology.</i>
Result areas	Energy generation and access; transport; buildings, cities, industries and appliances; forests and land use.
Disaggregation	<ul style="list-style-type: none"> tCO₂eq reduced by result area (as per sub-indicators 1.1, 1.2, 1.3 and 1.4)
Methodology	<p><i>Note: The methodology will build on the GCF's original guidance (Annex V of B.08/07) but will need to take into account the GCF's result areas, including any sector-specific guidance and approaches to calculations of emission reductions.</i></p> <p>Data reported for this core indicator will be the aggregate of the following sub-indicators, corresponding to the four GCF mitigation result areas: 1.1 Reduced emissions through increased low emission energy access and power generation; 1.2 Reduced emissions through increased access to low emission transport; 1.3 Reduced emissions from buildings, cities, industries and appliances; and 1.4 Reduced emissions from land use, deforestation, forest degradation, and through sustainable management of forests and conservation and enhancement.</p>
Data Sources	<i>Dependent on result area-specific requirements.</i>
Baseline	<i>Depends on final methodology.</i>
Frequency	Project duration, updated annually.
Reporting Responsibility	Underlying data reported by AEs, then aggregated by GCF Secretariat (OPM).
Reporting Format	Underlying data provided via APRs, then aggregated and reported via GCF website and to the Board.
Additional Notes	
References	https://sustainabledevelopment.un.org/sdg13

Sub-indicator 1.1	Reduced emissions through increased low emission energy access and power generation
Unit	Tonnes of carbon dioxide equivalent (tCO ₂ eq)
Rationale	<p>This has been a core GCF indicator since 2014 and continues to be a central measure of the GCF's impact.</p> <p>This indicator is well aligned with GCF's Investment Framework criterion on Impact Potential (mitigation impact) and with the indicative investment factor 'Expected increase in the number of households with access to low-emission energy' and 'Degree to which the programme/project supports the scaling up of low-emission energy in the affected region by addressing key barriers'.</p> <p>This indicator is well aligned with SDG 13 'Take urgent action to combat climate change and its impacts', the targets set in the Paris Agreement and also with SDG 7 "Ensure access to affordable, reliable, sustainable and modern energy for all".</p> <p>This indicator may also be aligned with the mitigation priorities identified by developing countries in the relevant NDCs and in the NAMAs.</p>
Definition	<i>The definition will be grounded in the GCF's original guidance (Annex V of B.08/07), but will be amended according to the final methodology.</i>
Result areas	Energy generation and access
Disaggregation	None
Methodology	<p><i>Note: The methodology will build on the GCF's original guidance (Annex V of B.08/07). Methods to calculate avoided GHG emissions will be informed by multilateral development banks'/international financial institutions' (MDBs/IFIs) GHG accounting harmonization work on energy efficiency and renewable energy.</i></p> <p>It is suggested to draw a baseline with country-specific data, provided there is sufficient and reliable data available to enable estimation of GHG emissions. In this case, all assumptions should be clearly documented.</p>
Data Sources	Project and nationally available data
Baseline	<i>Depends on final methodology.</i>
Frequency	Project duration, updated annually.
Reporting Responsibility	Underlying data reported by AEs, then aggregated by GCF Secretariat (OPM).
Reporting Format	Underlying data provided via APRs, then aggregated and reported via GCF website and to the Board.
Additional Notes	
References	<p>IFI framework for harmonized GHG accounting http://www.worldbank.org/content/dam/Worldbank/document/IFI_Framework_for_Harmonized_Approach%20to_Greenhouse_Gas_Accounting.pdf https://sustainabledevelopment.un.org/sdg13 https://sustainabledevelopment.un.org/sdg7</p>

Sub-indicator 1.2	Reduced emissions through increased access to low emission transport
Unit	Tonnes of carbon dioxide equivalent (tCO ₂ eq)
Rationale	<p>This has been a core GCF indicator since 2014 and continues to be a central measure of the GCF's impact.</p> <p>This indicator is well aligned with GCF's Investment Framework criterion on Impact</p>

	<p>Potential (mitigation impact) and with the indicative investment factor 'Expected increase in the use of low-carbon transport'.</p> <p>This indicator is well aligned with SDG 13 'Take urgent action to combat climate change and its impacts', the targets set in the Paris Agreement and also with SDG 11 "Make cities and human settlements inclusive, safe, resilient and sustainable".</p> <p>This indicator may also be aligned with the mitigation priorities identified by developing countries in the relevant NDCs and in the Nationally Appropriate Mitigation Actions NAMAs.</p>
Definition	<i>The definition will be grounded in the GCF's original guidance (Annex V of B.08/07), but will be amended according to the final methodology.</i>
Result areas	Transport
Disaggregation	<p>By transport type</p> <ul style="list-style-type: none"> • Public transportation (bus, train, ships, airplane) • Private transportation (cars, motorbikes) • Cargo transportation (trucks, train, ships, airplane)
Methodology	<p><i>Note: The methodology will build on the GCF's original guidance (Annex V of B.08/07). Methods to calculate avoided GHG emissions will be informed by multilateral development banks'/international financial institutions' (MDBs/IFIs) GHG accounting harmonization work on energy efficiency and renewable energy.</i></p> <p>It is suggested to draw a baseline with country-specific data, provided there is sufficient and reliable data available to enable estimation of GHG emissions. In this case, all assumptions should be clearly documented.</p> <p>The GHG accounting methodology may be informed by MDB/IFI joint approach to GHG assessment in the Transport Sector.</p>
Data Sources	Project and nationally available data
Baseline	<i>Depends on final methodology.</i>
Frequency	Project duration, updated annually.
Reporting Responsibility	Underlying data reported by AEs, then aggregated by GCF Secretariat (OPM).
Reporting Format	Underlying data provided via APRs, then aggregated and reported via GCF website and to the Board.
Additional Notes	
References	<p>IFI Joint approach to GHG assessment in the Transport Sector</p> <p>https://unfccc.int/sites/default/files/resource/Transport_GHG%20accounting.pdf</p> <p>https://sustainabledevelopment.un.org/sdg13</p> <p>https://sustainabledevelopment.un.org/sdg11</p>

Sub-indicator 1.3	Reduced emissions from buildings, cities, industries and appliances
Unit	Tonnes of carbon dioxide equivalent (tCO ₂ eq)
Rationale	<p>This has been a core GCF indicator since 2014 and continues to be a central measure of the GCF's impact.</p> <p>This indicator is well aligned with GCF's Investment Framework criterion on Impact Potential (mitigation impact) and with the indicative investment factor 'Expected decrease in energy intensity of buildings, cities, industries and appliances'.</p> <p>This indicator is well aligned with SDG 13 'Take urgent action to combat climate change and its impacts', the targets set in the Paris Agreement and also with SDG 9 "Build resilient infrastructure, promote inclusive and sustainable industrialization</p>

	and foster innovation” and SDG 11 “Make cities and human settlements inclusive, safe, resilient and sustainable”. This indicator may also be aligned with the mitigation priorities identified by developing countries in the relevant NDCs and in the NAMAs.
Definition	<i>The definition will be grounded in the GCF’s original guidance (Annex V of B.08/07), but will be amended according to the final methodology.</i>
Result areas	Buildings, cities, industries and appliances
Disaggregation	None
Methodology	<i>Note: The methodology will build on the GCF’s original guidance (Annex V of B.08/07). Methods to calculate avoided GHG emissions will be informed by multilateral development banks’/international financial institutions’ (MDBs/IFIs) GHG accounting harmonization work on energy efficiency and renewable energy.</i> It is suggested to draw a baseline with country-specific data, provided there is sufficient and reliable data available to enable estimation of GHG emissions. In this case, all assumptions should be clearly documented. GHG accounting for emissions from <u>buildings</u> , <u>industries</u> and <u>appliances</u> may be informed by guidance provided in “IFI GHG accounting harmonization work on energy efficiency”. GHG accounting for emissions from <u>cities</u> may be informed by guidance provided in “Community Scale GHG emissions by the Cities Alliance”.
Data Sources	Project and nationally available data
Baseline	<i>Depends on final methodology.</i>
Frequency	Project duration, updated annually.
Reporting Responsibility	Underlying data reported by AEs, then aggregated by GCF Secretariat (OPM).
Reporting Format	Underlying data provided via APRs, then aggregated and reported via GCF website and to the Board.
Additional Notes	
References	IFI Approach to GHG Accounting for Energy Efficiency Projects http://documents.worldbank.org/curated/en/893531467991051828/pdf/101531-WP-P143154-PUBLIC-Box394816B-Joint-IFI-EE-GHG-Accounting-Approach-clean-final-11-30.pdf Community Scale GHG emissions by the Cities Alliance http://c40-production-images.s3.amazonaws.com/other_uploads/images/143_GHGP_GPC_1.0.original.pdf?1426866613 https://sustainabledevelopment.un.org/sdg13 https://sustainabledevelopment.un.org/sdg11

Sub-indicator 1.4	Reduced emissions from land use, deforestation, forest degradation, and through sustainable management of forests and conservation and enhancement
Unit	Tonnes of carbon dioxide equivalent (tCO ₂ eq)
Rationale	This has been a core GCF indicator since 2014 and continues to be a central measure of the GCF’s impact. This indicator is well aligned with GCF’s Investment Framework criterion on Impact Potential (mitigation impact) and with the indicative investment factor ‘Expected improvement in the management of land or forest areas contributing to emission reductions’.

	<p>This indicator is well aligned with SDG 13 ‘Take urgent action to combat climate change and its impacts’, the targets set in the Paris Agreement and also with SDG 15 “Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss”.</p> <p>This indicator may also be aligned with the mitigation priorities identified by developing countries in the relevant Nationally Determined Contributions (NDCs) and in the Nationally Appropriate Mitigation Actions (NAMAs).</p>
Definition	<i>The definition will be grounded in the GCF’s original guidance (Annex V of B.08/07), but will be amended according to the final methodology.</i>
Result areas	Forests and land use
Disaggregation	None
Methodology	<p><i>Note: The methodology will build on the GCF’s original guidance (Annex V of B.08/07).</i></p> <p>It is suggested to draw a baseline with country-specific data, provided there is sufficient and reliable data available to enable estimation of GHG emissions. In this case, all assumptions should be clearly documented.</p> <p>GHG accounting for emissions may be informed by guidance provided in the CDM Sectoral scope: Afforestation and Reforestation; Agriculture and by the EX-ACT tool.</p>
Data Sources	Project and nationally available data
Baseline	<i>Depends on final methodology.</i>
Frequency	Project duration, updated annually.
Reporting Responsibility	Underlying data reported by AEs, then aggregated by GCF Secretariat (OPM).
Reporting Format	Underlying data provided via APRs, then aggregated and reported via GCF website and to the Board.
Additional Notes	
References	<p>CDM Sectoral methodologies https://cdm.unfccc.int/methodologies/methodologiesAccrv6/index.html EX-ACT tool http://www.fao.org/tc/exact/ex-act-home/en/ https://sustainabledevelopment.un.org/sdg15 https://sustainabledevelopment.un.org/sdg13</p>

Sub-indicator 1.5	Installed capacity
Unit	Megawatts (MW)
Rationale	<p>This sub-indicator measures the increase in the "installed capacity" for low-emission energy as a result of GCF interventions. This sub-indicator should be reported if a GCF intervention increases low-emission energy generation or storage capacity. Energy storage capacity may refer to systems such as: pumped storage, home, commercial or grid scale batteries and thermal storage.</p> <p>The installed capacity reported in this indicator demonstrates progress towards a transformed low-emission energy supply. Low or zero carbon energy generation can partially or fully displace fossil fuel energy generation, depending on the type and scale of technology used.</p> <p>This sub-indicator monitors the full-load capacity of clean energy or the rated power capacity of the clean energy technology when operational. Installed capacity of low-emission energy is linked to sub-indicator 1.1 on ‘Increased low emission energy access and power generation’.</p>

	<p>This sub-indicator enables to measure progress towards the strategic vision of the GCF, as indicated in GCF's Strategic Plan to 'promote the paradigm shift towards a low-emission and climate-resilient pathways'.</p> <p>This sub-indicator is well aligned with GCF's Investment Framework' mitigation impact criterion, in particular with the assessment factor "Expected number of MW of low-emission energy capacity installed, generated and/or rehabilitated", and with "Degree to which the programme/project supports the scaling up of low-emission energy in the affected region by addressing key barriers".</p>
Definition	This indicator refers to the potential low-emission energy generation or energy storage installed, generated and/or rehabilitated as a result of GCF support.
Disaggregation	<ul style="list-style-type: none"> • Technology type (biomass, geothermal, ocean, small hydro, solar photovoltaic, solar thermal, wind power, and storage). • On-grid vs. Off-grid
Methodology	<p>This sub-indicator measures total installed capacity of electricity or heat generation by low-emission energy as a result of GCF interventions. Both installed capacity of grid-connected and off-grid systems should be reported.</p> <p>The sub-Indicator will also account for projects that increase energy storage capacity of grid power for load shifting and variable renewable energy integration or storage of self-generated renewable power for later use.</p> <p>Targets should be reported on the first year of the project implementation. Results on installed capacity should be reported on an annual basis, only once power installations are operational (e.g. technology is installed and low-emission energy is being generated).</p> <p>If applicable, baseline should be reported at project start, in order to show the additionality of the GCF intervention.</p>
Data Sources	Project and nationally available data
Baseline	<i>Depends on final methodology.</i>
Frequency	Project duration, updated annually.
Reporting Responsibility	Underlying data reported by AEs, then aggregated by GCF Secretariat (OPM).
Reporting Format	Underlying data provided via APRs, then aggregated and reported via GCF website and to the Board.
Additional Notes	
References	

Core Indicator 2	Number of direct and indirect beneficiaries (OPTION 1: BASED ON ANNEX V OF B.08/07)
Unit	Absolute number of HHs and individuals (female/male)
Rationale	<p>This indicator seeks to measure the number of people who have received an input of support from Fund projects as a proxy for increasing adaptive capacity and resilience to climate change. It follows the same approach as the beneficiary indicators for the Adaptation Fund and DFID ICF.</p> <p>This indicator speaks to the GCF’s Investment Framework criterion on Adaptation Impact and the Indicative Investment Factor “Expected total number of direct and indirect beneficiaries,(reduced vulnerability or increased resilience); number of beneficiaries relative to total population, particularly the most vulnerable groups”.</p> <p><i>Note: resilience impact on businesses rather than households/individuals is covered as a sub-indicator of core indicator 3.</i></p>
Definition	<p><i>Note: the definition follows the GCF’s original guidance (Annex V of B.08/07).</i></p> <p>‘Support’ is defined as direct assistance from the project in question, with the explicit intention of helping people deal with climate change impacts. It could include, for example, financial resources, assets, agricultural inputs, training, communications (e.g. early warning systems) or information (e.g. weather forecasting).</p> <p>‘People Supported’ should relate to populations or households identified by the project in question with a direct relationship to it.</p> <p>‘Effects of climate change’ are defined as the effects of changes both in the mean state of the climate and in its variability. Normally resulting from the primary consequences of climate change: changes to precipitation, temperature and sea level rise, these may be sudden onset or gradual, and can include floods, droughts, storms, landslides, salinization, coastal inundation, heat or cold waves, and biodiversity loss.</p> <p>Two dimensions of support are defined:</p> <p>1) Targeted: defined as whether people (or households) can be identified by the project as receiving direct support, can be counted individually and are aware they are receiving support in some sort. This implies a high degree of attribution to the project.</p> <p>2) Intensity: defined as the level of support/effort provided per person on a continuum, but broad levels may be defined as:</p> <p>a) <i>Low:</i> e.g. people falling within an administrative area of an institution (e.g. ministry or local authority) receiving capacity-building support.</p> <p>b) <i>Medium:</i> e.g. people receiving information services such as flood warnings or weather forecast by text; people within catchment area of structural flood defenses; people living in a community where other members have been trained in emergency flood response; people within a catchment area or a river basin subject to a water resources management plan.</p> <p>c) <i>High:</i> e.g. house raised on plinths, cash transfers, agriculture extension services, training of individuals in communities to develop emergency plans.</p> <p>Based on the two dimensions of support, there are two main categories of beneficiaries for reporting:</p> <p>1) Direct: Targeted and High intensity. Must fulfil both criteria; e.g. people receiving social protection through improved household assets, houses raised on plinths, agricultural extension services, training of individuals in communities to develop emergency plans and use early warning systems.</p>

	<p>2) Indirect category covers the following:</p> <p>a) <i>Targeted and medium intensity</i>: e.g. people receiving weather information and text messages early warnings.</p> <p>b) <i>Not targeted and medium intensity</i>: e.g. people within the coverage of an early warning system, or catchment area of a large infrastructure project (e.g. flood defences), or living in a discrete community in which others have been trained in emergency response.</p>
Result areas	This indicator applies to all 8 result areas.
Disaggregation	<p>For each of these two defined categories of beneficiaries, direct and indirect, further disaggregation is required on the following dimensions:</p> <ol style="list-style-type: none"> 1. Household / individual 2. Female / male individuals 3. The main result area where the benefits were achieved. <p>Note: a project can work in more than one result area, but beneficiaries should be counted under one result area only to avoid double counting.</p>
Methodology	<p>Each individual / HH beneficiary can only be counted once at this overall core indicator level, even though the same beneficiary can be counted under more than several sub-indicators (e.g. under both sub-indicator 2.2. on food security and 2.3 on water security).</p> <p>The indicator is expressed in absolute numbers of beneficiaries disaggregated by category of reporting (direct/indirect) and gender. It is possible for one project to reach both direct and indirect beneficiaries, in which case these should be reported separately.</p> <p>Monitoring data on direct and indirect beneficiaries can be collected at the level of the individual (number of people) or household (number of households). Where primary data on beneficiaries are based on households, a standard multiplier for household size based on the most recent national census or nationally representative household survey should be used to convert number of households to number of people. The converse applies if the primary data on beneficiaries are based on individuals. Disaggregation by gender should be based on primary data or national statistics.</p>
Data Sources	<ol style="list-style-type: none"> 1. Project surveys 2. National statistics
Baseline	N/A
Frequency	Project duration, updated annually
Reporting Responsibility	Underlying data reported by AEs, then aggregated by GCF Secretariat (OPM).
Reporting Format	Underlying data provided via APRs, then aggregated and reported via GCF website and to the Board.
Additional Notes	<p>Note: this method of reporting on beneficiaries does not explicitly consider the success in building climate resilience, i.e. a project that provides strong support to a large number of beneficiaries, but fails to build their resilience, would still be reporting a high number of “intensity” beneficiaries.</p> <p>An alternative approach has therefore been formulated that would also consider the success in building resilience of the beneficiaries, as per the next sheet.</p>
References	ICF KPI 1 Adaptation Fund Core indicator on Number of beneficiaries.

Core Indicator 2	Number of direct and indirect beneficiaries (absolute and impact-adjusted) (OPTION 2: ALTERNATIVE APPROACH)
Unit	1. Absolute number of HHs and individuals (female/male) 2. Impact-adjusted number of HHs and individuals (female/male)
Rationale	<p>This core indicator provides a measurement of the scale and depth of impact achieved by the projects in building the climate change resilience of targeted households and individuals.</p> <p>Adding a unit of “impact-adjusted beneficiaries” through incorporating a weighting factor for direct and indirect beneficiaries on the depth of impact on building their resilience allows for a better assessment of how successful the project has actually been in resilience building, compared to just reporting on the absolute number of beneficiaries. It also allows for more meaningful comparison of results achieved across projects and more meaningful aggregation of beneficiaries at GCF portfolio.</p> <p>This indicator speaks to the GCF’s Investment Framework criterion on Adaptation Impact and the Indicative Investment Factor “Expected total number of direct and indirect beneficiaries,(reduced vulnerability or increased resilience); number of beneficiaries relative to total population, particularly the most vulnerable groups”.</p> <p><i>Note: impact on businesses rather than households/individuals is covered as a sub-indicator of core indicator 3.</i></p>
Definition	1. Absolute number of <u>HHs and individuals</u> (female/male) benefitting directly and indirectly from a GCF funded project. 2. Impact-adjusted number of <u>HHs and individuals</u> (female/male) benefitting directly and indirectly from a GCF funded project. Direct beneficiary = household / individual receiving any kind of direct support from the project, whether hardware or software. Indirect beneficiary = household/individual who is not receiving any direct support from the project but who is benefitting from any spin-off effects of the project. Impact-adjusted = adjusted number of direct and indirect beneficiaries based on a weighting factor for the depth of impact on their resilience . The number of individuals includes all members of households that benefit directly and indirectly from the project.
Result areas	This indicator applies to all 8 result areas.
Disaggregation	There are several disaggregation dimensions. The main category is direct and indirect beneficiaries. Reporting on each of these need to be disaggregated as follows: <ol style="list-style-type: none"> 1. Absolute numbers and impact-adjusted numbers 2. Households and individuals 3. Gender 4. The main result area where the benefits were achieved. <p>Note: a project can work in more than one result area, but beneficiaries should be counted under one result area only to avoid double counting.</p>
Methodology	Each individual / HH beneficiary can only be counted once at this overall core indicator level, even though the same beneficiary can be counted under more than several sub-indicators (e.g. under both sub-indicator 2.2. on food security and 2.3 on water security).

	<p>The weighting factor for impact on building the direct and indirect beneficiaries' CC resilience will be calculated through a scorecard approach measuring increased resilience / reduced vulnerability. This scorecard will be self-assessed by the project implementing agencies on an annual basis, based on their own analysis of success with building the target beneficiaries' resilience. An average weighting factor should be calculated separately for direct and indirect beneficiaries and then applied to the respective number of beneficiaries to calculate the impact-adjusted number of direct and indirect beneficiaries. The results will be validated during external evaluations (mid-term, final and possibly ex-post).</p> <p>Scorecard to be developed once it is clear whether this impact-adjusted approach is preferred over the original approach. Should be consistent with how depth of resilience is defined / measured in Paradigm shift.</p>
Data Sources	
Baseline	N/A
Frequency	Project duration, updated annually.
Reporting Responsibility	Underlying data reported by AEs, then aggregated by GCF Secretariat (OPM).
Reporting Format	Underlying data provided via APRs, then aggregated and reported via GCF website and to the Board.
Additional Notes	
References	

Sub-indicator 2.1	Number of HHs and individuals that have adopted improved and/or diversified climate-resilient livelihood options
Unit	Absolute number of HHs and individuals (female/male)
Rationale	<p>The livelihoods of many people are not well adapted to the changes in climate, leading to a high level of vulnerability. Poorer quintiles in society in particular often depend on only 1 or 2 livelihood options that in many cases are particularly vulnerable to climate change impacts.</p> <p>This indicator measures how livelihoods of the target beneficiaries are made more resilient by strengthening the resilience of their existing livelihoods and/or supporting them in adopting new livelihood options that increase their climate resilience.</p> <p>The indicator is aligned with SDG 2 - End hunger, achieve food security and improved nutrition and promote sustainable agriculture, and with SDG 13 - Take urgent action to combat climate change and its impacts.</p> <p>This indicator has a relation with indicator 2.3 on food security, since it is expected to contribute to improved food security of the target beneficiaries through more resilient livelihood options.</p> <p>This indicator speaks to the GCF's Investment Framework criterion on Adaptation Impact and the Indicative Investment Factor "Expected reduction in vulnerability by enhancing adaptive capacity and resilience for populations affected by the proposed activity, focusing particularly on the most vulnerable population groups and applying a gender-sensitive approach".</p>
Definition	<p>This indicator measures the number of target beneficiaries who have adopted changes to their existing livelihoods options and/or have adopted new livelihoods options that strengthen their resilience to climate change. Examples would be adopting climate smart agriculture practices, setting up Savings & Loans groups, adding value to raw agricultural or fisheries products through processing and providing alternative climate resilient income generating options.</p>

	<p>“Livelihood options” include both subsistence options and income generating options.</p> <p>“New livelihoods option” means it is new for the beneficiaries. It can be, but does not have to be, an innovative technology (if it is an innovative technologies as defined under indicator 2.5 then the beneficiaries can also be counted there).</p> <p>“Adopted” refers to the successful integration in of the new options in the beneficiaries’ livelihoods system, at a scale and duration that goes beyond direct project support.</p>
Result areas	This indicator is directly related to the result area – Increased resilience of livelihoods of people and communities.
Disaggregation	<p>The indicator needs to be reported in line with the following disaggregation dimensions:</p> <ol style="list-style-type: none"> 1. Households and individuals 2. Gender <p>Note 1: there is no need to disaggregate “improved existing livelihoods option” from “new livelihoods option”. The difference between the two will often be arbitrary.</p>
Methodology	<p>The exact methodology to measure this indicator will be project-specific given the wide variety in livelihood options, but it should comply with the principle that</p> <ol style="list-style-type: none"> 1) Only beneficiaries who <u>correctly apply</u> the improvements in existing livelihood options or the new livelihood options should be counted. 2) As per the definition of “adoption” <u>the correct application should continue beyond direct project support</u>, with “direct project support” defined as financial or in-kind support (i.e. not counting continued advisory / capacity building support). <p>Where the project targeted households, the number of individuals should be calculated based on the average HH size of the targeted population. Where the project targets individuals, the converse approach should be followed.</p>
Data Sources	<p>The data sources will be project-specific but can include, inter alia:</p> <ol style="list-style-type: none"> 1. Representative beneficiary surveys 2. Direct observations 3. Secondary data sources that reflect adoption rates <p>For conversion of individuals to HHs and HHs to individuals, either primary data or national statistics can be used (the latter at the most detailed available granularity level).</p>
Baseline	Not applicable
Frequency	Project duration, updated annually.
Reporting Responsibility	Underlying data reported by AEs, then aggregated by GCF Secretariat (OPM).
Reporting Format	Underlying data provided via APRs, then aggregated and reported via GCF website and to the Board.
Additional Notes	

Sub-indicator 2.2	Number of households and individuals with improved food security (reduced food insecurity)
Unit	1. Absolute number of HHs and individuals (female/male)
Rationale	Food security is a basic human right and is part of SDG 2 - End hunger, achieve food security and improved nutrition and promote sustainable agriculture.

	<p>Food security of large portions of the world population, especially the poor, is threatened by the impact of climate change. Through GCF-funded projects households and individuals are supported in building their resilience to climate change. Improved food security in the face of climate change is a key indicator to assess in how far the projects have been successful in building this resilience.</p> <p>The indicator and its measurement is based on the concept of “reduced food insecurity” in line with the SDG approach to measuring food security for SDG indicator 2.1.2.</p> <p>This indicator speaks to the GCF’s Investment Framework criterion on Adaptation Impact and the Indicative Investment Factor “Expected reduction in vulnerability by enhancing adaptive capacity and resilience for populations affected by the proposed activity, focusing particularly on the most vulnerable population groups and applying a gender-sensitive approach”.</p>
<p>Definition</p>	<p>This indicator measures the number of households and individuals who have improved their food security, measured as a reduction in food insecurity.</p> <p>“Food security” is defined as “having physical, social and economic access to sufficient safe and nutritious food that meets their dietary needs and food preferences for an active and healthy life” (2009 Declaration of the World Summit on Food Security).</p> <p>“Food insecurity” at HH / individual level is defined as the absence of food security and can have different levels of severity (see Methodology).</p> <p>The number of individuals includes all members of households that benefit from improved food security.</p>
<p>Result areas</p>	<p>This indicator is directly related to the result area – Increased resilience of livelihoods of people and communities and to the result area – Increased resilience of health, food and water security.</p>
<p>Disaggregation</p>	<p>The indicator needs to be reported in line with the following disaggregation dimensions:</p> <ol style="list-style-type: none"> 1. Individuals and households. 2. Gender 3. The level of reduction in food insecurity achieved, as per the Methodology.
<p>Methodology</p>	<p>This indicator should be measured through the FIES – the Food Insecurity Experience Scale through a (representative sample) survey. FIES is the method also used for the SDG indicator 1.2.1 on food (in-)security.</p> <p>The methodology is based on a standard set of survey questions:</p> <p><i>During the last 12 months, was there a time when, because of lack of money or other resources:</i></p> <ol style="list-style-type: none"> 1. You were worried you would not have enough food to eat? 2. You were unable to eat healthy and nutritious food? 3. You ate only a few kinds of foods? 4. You had to skip a meal? 5. You ate less than you thought you should? 6. Your household ran out of food? 7. You were hungry but did not eat? 8. You went without eating for a whole day? <p>One question should be added to this list to account for people with no food insecurity at all:</p> <p><i>0. You were not worried at all about not having enough food to eat?</i></p> <p>Answers are then categorised as follows:</p>

	<p>1. Answer 0 – No food insecurity 2. Answers 1 to 3 – Mild food insecurity 3. Answers 4 to 6 – Moderate food insecurity 4. Answers 7 and 8 – Severe food security.</p> <p>Projects should report on progress on this indicator in line with those 4 levels of food insecurity i.e. <i>any change from severe to moderate food insecurity, from moderate to mild food insecurity and from mild to no food insecurity counts as an improvement in food security.</i></p>
Data Sources	<p>This indicator needs to be measured by applying these survey questions to a representative sample of beneficiaries.</p> <p>The questions can be integrated in other planned project surveys or national surveys (which are required to be able to report on the similar SDG indicator 1.2.1).</p>
Baseline	This indicator needs to be measured at the start of the project, e.g. as part of a comprehensive baseline survey.
Frequency	Project duration, updated annually.
Reporting Responsibility	Underlying data reported by AEs, then aggregated by GCF Secretariat (OPM).
Reporting Format	Underlying data provided via APRs, then aggregated and reported via GCF website and to the Board.
Additional Notes	
References	<p>1. UN - Global indicator framework for the Sustainable Development Goals and targets of the 2030 Agenda for Sustainable Development - A/RES/71/313, E/CN.3/2018/2, E/CN.3/2019/2, E/CN.3/2020/2</p> <p>2. FAO - The Food Insecurity Experience Scale - Development of a Global Standard for Monitoring Hunger Worldwide, 2013</p>

Sub-indicator 2.3	Number of households and individuals (female/male) with more climate resilient water security
Unit	1. Absolute number of HHs and individuals (female/male)
Rationale	<p>Water security is a basic human right and is included in SDG 6 - Ensure availability and sustainable management of water and sanitation for all.</p> <p>This indicator only covers water security for domestic use at household / individual. Improvements in water for economic use by HHs/individuals contributes to food security and should therefore be included in the sub-indicator on food security.</p> <p>This indicator only applies to water security at household / individual level. Water security for businesses and social services is covered under sub-indicators of Core Indicator 3 .</p> <p>This indicator speaks to the GCF’s Investment Framework criterion on Adaptation Impact and the Indicative Investment Factor “Expected reduction in vulnerability by enhancing adaptive capacity and resilience for populations affected by the proposed activity, focusing particularly on the most vulnerable population groups and applying a gender-sensitive approach”.</p>
Definition	<p>This indicator measures the number of households and individuals who have improved water security for domestic use.</p> <p>“Water for domestic use” is defined as water for drinking and human well-being.</p>

	“Water security” for domestic use is defined as “access to safe, sufficient and affordable water to meet basic needs for drinking, sanitation and hygiene, to safeguard health and well-being, and to fulfil basic human rights (UN Water).
Result areas	This indicator is directly related to the result area – Increased resilience of livelihoods of people and communities and to the result area – Increased resilience of health, food and water security.
Disaggregation	The indicator needs to be reported in line with the following disaggregation dimensions: 1. Individuals and households. 2. Individuals by gender – female/male 3. The type of water source, based on the WHO/UNICEF categorisation (see Methodology).
Methodology	The methodology is based on the definitions for water sources developed by the WHO/UNICEF Joint Monitoring Programme for Water Supply, Sanitation and Hygiene (JMP). 5 main categories are distinguished: 1. Safely managed 2. Basic 3. Limited 4. Unimproved source 5. Surface water Improvement in water security is counted if beneficiaries have access to a new water source of categories 1 or 2 that is climate resilient, or if an existing water source of category 1 or 2 that was not resilient has been made resilient. In this context resilient means the water source provides reliable year-round and year-to-year access to water in the face of climate change.
Data Sources	1. Project surveys 2. Secondary data sources, like national surveys and water company records, in particular for projects at scale that cover a large number of beneficiaries
Baseline	The baseline is the water security situation at the start of the project and should be assessed as part of a baseline study.
Frequency	Project duration, updated annually.
Reporting Responsibility	Underlying data reported by AEs, then aggregated by GCF Secretariat (OPM).
Reporting Format	Underlying data provided via APRs, then aggregated and reported via GCF website and to the Board.
Additional Notes	
References	WHO / UNICEF Joint Monitoring Programme (https://washdata.org/monitoring/drinking-water).

Sub-indicator 2.4	Number of HHs and individuals covered by new or improved early warning systems
Unit	Absolute number of HHs and individuals (female/male)
Rationale	Early warning systems are critical for disaster risk reduction and reducing the vulnerability of people to such disasters. This is particularly important in the context of GCF given that the frequency and severity of disasters is increasing due to climate change. The objective of an early warning system is to empower individuals and communities that are threatened by hazards to respond in sufficient time and in appropriate manners in order to reduce the possibility of personal injury, loss of life and livelihoods, damage to physical assets and the environment.

	<p>The importance of early warning systems is also recognised in SDG 3 - . Ensure healthy lives and promote well-being for all at all ages and SDG 13 - Take urgent action to combat climate change and its impacts.</p> <p>This indicator speaks to the GCF’s Investment Framework criterion on Adaptation Impact and in particular the Indicative Investment Factor “ Expected strengthening of awareness of climate threats and risk-reduction processes”.</p>
<p>Definition</p>	<p>This indicator measures the number of households and individuals who have improved or new access to information on climate change related risks and disasters through early warning systems.</p> <p>Early warning systems are tools that 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 (GEF LDCF/SCCF 2014 and UNISDR 2006). They comprise 4 key elements (as per UNISDR, see Reference at the end of this guidance sheet):</p> <ol style="list-style-type: none"> 1. Risk knowledge – Systematically collecting data and undertaking risk assessments 2. Monitoring and warning service – Development of hazard monitoring and early warning services. 3. Dissemination and communication – Communicating risk information and early warnings 4. Response capability – Building national and community response capabilities. <p>“Covered by new or improved early warning systems” means that all the 4 elements of early warning systems are functional.</p>
<p>Result areas</p>	<p>This indicator is directly related to the result area – Increased resilience of livelihoods of people and communities.</p>
<p>Disaggregation</p>	<p>The indicator needs to be reported in line with the following disaggregation dimensions:</p> <ol style="list-style-type: none"> 1. Individuals and households. 2. Individuals by gender – female/male 3. An improved system versus a new system 3. The type of disaster(s) for which the early warning system has been developed (categories defined by UNISDR): <p><i>Hydro meteorological hazards:</i></p> <ul style="list-style-type: none"> • Floods • Tropical cyclones • Severe storms • Droughts • Extreme temperatures • Air pollution, haze, and smoke • Dust and sandstorms • Snow avalanches and winter weather hazards <p><i>Geological hazards:</i></p> <ul style="list-style-type: none"> • Earthquakes • Tsunami • Landslides <p><i>Environmental degradation:</i></p> <ul style="list-style-type: none"> • Desertification <p>If projects have developed multiple early warning systems for different disasters, they</p>

	should report both the total number of beneficiaries and the beneficiaries for each of those systems.
Methodology	<p>Projects should report on the number of beneficiaries that are covered by fully functional early warning systems i.e. where all 4 elements of such systems are fully functional.</p> <p>It is not a requirement that all beneficiaries have the same type and level of access to the early warning information. E.g. some might be informed through mobile phones while others receive the warnings through radio or through the local authorities.</p> <p>The number of individuals includes all members of households that benefit from the early warning system.</p>
Data Sources	<ol style="list-style-type: none"> 1. Documentation relating to the early warning system 2. National statistics on population in the geographical areas covered by the early warning system
Baseline	N/A
Frequency	Project duration, updated annually.
Reporting Responsibility	Underlying data reported by AEs, then aggregated by GCF Secretariat (OPM).
Reporting Format	Underlying data provided via APRs, then aggregated and reported via GCF website and to the Board.
Additional Notes	
References	<p>UN – Global Survey of Early Warning Systems – a report prepared at the request of the Secretary General of the United Nations, 2006</p> <p>https://www.thegef.org/sites/default/files/council-meeting-documents/GEF-LDCF.SCCF.17-05%2C Updated RBM Framework for Adaptation to Climate Change%2C 2014-10-08 4.pdf</p>

Sub-indicator 2.5	Number of HHs and individuals adopting innovations that strengthen climate change resilience
Unit	1. Absolute number of HHs and individuals (female/male)
Rationale	<p>GCF will support research, development and demonstration of CC innovations, in line with UNFCCC article 10 and more in particular clause 10.2 – <i>“Parties noting the importance of technology for the implementation of mitigation and adaptation actions under this agreement and recognising existing technology deployment and dissemination efforts shall strengthen cooperative action on technology development and transfer”</i>.</p> <p>The indicator relates directly to the implementation of the Technology Framework as developed during COP.24 and directly contributes to the actions described therein such as III.A.8(c) – <i>“Promoting the development, deployment and dissemination of existing innovative technologies and accelerating the scale-up and diffusion of emerging climate technologies”</i>.</p> <p>The indicator measures in how far the transfer / dissemination of innovations is successful and leading to adoption by direct and indirect project beneficiaries. This is a key measure for both the technical relevance and the socio-economic “implementability” / acceptability of the supported innovation.</p> <p>Adoption at scale of a relevant and successful CC innovation is an important milestone towards achieving paradigm shift.</p>

	<p>This indicator speaks to the GCF’s Investment Framework criterion on Paradigm Shift and in particular the Indicative Investment Factor “Opportunities for targeting innovative solutions, new market segments, developing or adopting new technologies, business models, modal shifts and/or processes”.</p>
Definition	<p>This indicator measures in how far innovations promoted by projects, that strengthen climate change resilience are adopted by direct and indirect project beneficiaries.</p> <p>Innovations: a resilience building related model, technology, tool, practice, service or product that was demonstrated (i.e. successfully tested) for the first time <i>in a country</i> by the project. Innovations that had already been demonstrated elsewhere but never in the country or countries where the project is implemented can be counted under this indicator. Examples: a newly developed solar mini-grid software management system being tested for the first time or an irrigation technology already successfully tested in another country but applied for the first time in the target country.</p> <p>Definition of “adopted”: An innovation that is successfully transferred to beneficiaries at a scale and/or duration that goes beyond the directly GCF supported demonstrating.</p> <p>The number of individuals includes all members of households that benefit from the adoption of the innovation.</p>
Result areas	<p>This indicator is directly related to the result area – Increased resilience of livelihoods of people and communities and to the result area – Increased resilience of health, food and water security.</p>
Disaggregation	<p>The indicator has several disaggregation dimensions:</p> <ol style="list-style-type: none"> 1. Direct / indirect beneficiary 2. Household / individual 3. Individuals – female / male 4. The sector and type of the innovation (<i>still to be elaborated further – includes insurance for loss of physical and economic assets as a result of climate variabilities, which was initially a separate sub-indicator under core indicator 3</i>). <p>The indicator is reported for each innovation promoted by the project. If a project supports more than one innovation it should report on each of those separately.</p>
Methodology	<p>When a beneficiary is supported with several innovative climate change building technologies, he/she is counted once for each technology he/she has adopted.</p> <p>Where the project targeted households, the number of individuals should be calculated based on the average HH size of the targeted population. Where the project targets individuals, the converse approach should be followed.</p>
Data Sources	<ol style="list-style-type: none"> 1. Project surveys 2. Secondary data sources, like national surveys in particular for projects at scale that cover a large number of beneficiaries
Baseline	N/A
Frequency	Project duration, updated annually.
Reporting Responsibility	Underlying data reported by AEs, then aggregated by GCF Secretariat (OPM).
Reporting Format	Underlying data provided via APRs, then aggregated and reported via GCF website and to the Board.
Additional Notes	
References	

Sub-indicator 2.6	Number of HHs and individuals living in buildings that have increased resilience against climate hazards
Unit	Absolute number of HHs and individuals (female/male)
Rationale	<p>Safe and affordable housing is considered a basic human right but is directly threatened by the increase in climate change related hazards and disasters. It is in particular the poor people who live in buildings in settlements and townships that are exposed to disasters such as floods and hurricanes.</p> <p>This indicator measures progress made in ensuring more people live in buildings that are more resilient to climate change related disasters. This is in line with SDG 11 - Make cities and human settlements inclusive, safe, resilient and sustainable.</p> <p>This indicator is related to the Core indicator 3 – Physical assets made more resilient but measures the benefits in terms of the number of people rather than in terms of the value of the assets.</p> <p>This indicator speaks to the GCF’s Investment Framework criterion on Paradigm Shift and in particular the Indicative Investment Factor “Degree to which the activity avoids lock-in of long-lived climate-vulnerable infrastructure”.</p>
Definition	<p>This indicator measures the number of households and individuals who are living in buildings that have increased resilience against climate change related hazards and disasters.</p> <p>“Increased resilience” relates to physical improvements of the buildings and the direct environment as well as to indirect protection provided by broader physical improvements such coastline protection, city-wide drainage systems etc.</p> <p>“Climate hazards” include both direct impact hazards such as severe storms and floods as well as slow-onset changes such as increasingly high temperatures, desertification, drought, glacial melt and sea-level rise.</p> <p>The indicator applies to better protection of existing buildings and in-situ replacement of existing buildings with buildings that have a better protection against climate hazards. It does not apply to new residential buildings in a new geographical area, <u>unless</u> it is a resettlement scheme to move people from an area with high vulnerability to climate related hazards to an area with low vulnerability.</p>
Result areas	This indicator is directly related to the result area – Increased resilience of livelihoods of people and communities and result area – Increased resilience of infrastructure and the built environment.
Disaggregation	<p>The indicator needs to be reported in line with the following disaggregation dimensions:</p> <ol style="list-style-type: none"> 1. Individuals and households. 2. Individuals by gender – female/male 3. Type of protection that has increased the resilience of the buildings
Methodology	<p>There are different ways of making buildings better protected against hazards and these require different methodologies.</p> <ol style="list-style-type: none"> 1. Where the increased protection is achieved by making changes to existing buildings (localised drainage works, heat reduction technologies, etc.), the number of beneficiaries should be the actual number of beneficiary HHs / individuals living in those buildings at the time the protection is completed. 2 For resettlement of people from a highly vulnerable area to a less vulnerable area the number of beneficiaries is all those households and individuals that are successfully resettled.

	3. Where the increased protection is more indirect, i.e. provided by other measures such as flood and hurricane protection works that may protect a whole city, the number of beneficiaries should be based on an estimate of the population that is living in the geographical area that is now better protected thanks to those protection works.
Data Sources	<p>1. For changes to existing buildings and for resettlement schemes the main data sources will be primary data collection, complemented with records from e.g. relevant public sector institutions and owners of larger residential buildings.</p> <p>2. For more indirect protection, secondary data sources should be used like population density maps.</p>
Baseline	Not applicable.
Frequency	Project duration, updated annually.
Reporting Responsibility	Underlying data reported by AEs, then aggregated by GCF Secretariat (OPM).
Reporting Format	Underlying data provided via APRs, then aggregated and reported via GCF website and to the Board.
Additional Notes	
References	

Core Indicator 3	Physical assets with increased resilience against climate hazards
Unit	Value of the assets in USD
Rationale	<p>Physical assets under this indicator covers fixed physical assets that are made by humans such as buildings, roads and factories. These are threatened by the climate change induced increase in hazards like extreme rainfall and heat, floods, hurricanes, landslides etc.</p> <p>This indicator measures in how far GCF supported projects have strengthened such assets against damage from such hazards.</p> <p>The indicator is aligned with SDG 9 – Build resilient infrastructure [...] and SDG 13 - Take urgent action to combat climate change and its impacts.</p> <p>This indicator speaks to the GCF’s Investment Framework criterion on Adaptation Impact and in particular the Indicative Investment Factor “Degree to which the activity avoids lock-in of long-lived climate-vulnerable infrastructure”. It is also aligned with several of the factors under the Sustainable Development criterion.</p>
Definition	<p>This indicator measures progress in protecting physical assets against climate hazards.</p> <p>“Physical assets” covers existing and new fixed assets such as e.g. buildings, bridges, ports, roads, railway systems, seawalls, industrial plants, pipelines, electricity grid, dikes, etc.</p> <p>This core indicator summarises the results under the two sub-indicators:</p> <p>3.1. Business physical assets with increased resilience 3.2 Public services physical assets with increased resilience</p> <p>(See the sub-indicators for definition of these two categories)</p> <p>“Increased resilience” covers three types of improvements of existing and new physical assets:</p> <p>(a) increasing resilience through direct physical improvements of the assets itself, such as improved on-site drainage, roofs strengthened to withstand strong winds etc..</p> <p>(b) increased resilience provided by indirect physical improvements such as coastline protection through mangrove that helps protect a city.</p> <p>(c) increased resilience through insurance coverage for the assets against climate hazard induced damage.</p> <p>“Climate hazards” include both direct impact hazards such as severe storms and floods as well as slow-onset changes such as increasingly high temperatures, desertification, drought, glacial melt and sea-level rise.</p>
Result areas	This indicator is directly related to the result area – Increased resilience of infrastructure and the built environment.
Disaggregation	See the sub-indicators 3.1 and 3.2
Methodology	Results on this core indicator will be reported as the aggregate of the reported value in USD of the two sub-indicators on business assets and public services assets.
Data Sources	<ol style="list-style-type: none"> Existing data on value of targeted assets from asset owners Other secondary data like national statistics, feasibility studies Insurance records
Baseline	N/A

Frequency	Project duration, updated annually.
Reporting Responsibility	Underlying data reported by AEs, then aggregated by GCF Secretariat (OPM).
Reporting Format	Underlying data provided via APRs, then aggregated and reported via GCF website and to the Board.
Additional Notes	
References	

Sub-indicator 3.1 Business physical assets with increased resilience against climate hazards	
Unit	1. Number of business physical assets made more resilient 2. Value of the assets in USD
Rationale	<p>Business assets such as buildings and plants are threatened by the climate change induced increase in hazards like extreme rainfall and heat, floods, hurricanes, landslides etc.</p> <p>This indicator measures in how far GCF supported projects have strengthened such business assets against damage from such hazards.</p> <p>The indicator is aligned with SDG 9 – Build resilient infrastructure [...] and SDG 13 - Take urgent action to combat climate change and its impacts.</p> <p>This indicator speaks to the GCF’s Investment Framework criterion on Adaptation Impact and in particular the Indicative Investment Factor “Degree to which the activity avoids lock-in of long-lived climate-vulnerable infrastructure”. It is also aligned with the Sustainable Development criterion and in particular the factor under the coverage area of Economic co-benefits “ Potential for externalities in the form of expected improvements in areas such as expanded and enhanced job markets, job creation and poverty alleviation for women and men, increased and/or expanded involvement of local industries; increased collaboration between industry and academia; growth of private funds attracted; contribution to an increase in productivity and competitive capacity; improved sector income-generating capacity; contribution to an increase in energy security; change in water supply”.</p>
Definition	<p>“Business assets” within the context of this indicator refers to all physical assets owned by businesses.</p> <p>“Physical assets” covers existing and new fixed assets such as e.g. office buildings, industrial infrastructure like plants, storage buildings, etc.</p> <p>“Increased resilience” covers three types of improvements of existing and new physical assets:</p> <p>(a) increasing resilience through direct physical improvements of the assets itself, such as improved on-site drainage, roofs strengthened to withstand strong winds etc..</p> <p>(b) increased resilience provided by indirect physical improvements such as coastline protection through mangrove that helps protect a city.</p> <p>(c) increased resilience through insurance coverage for the assets against climate hazard induced damage.</p> <p>“Climate hazards” include both direct impact hazards such as severe storms and floods as well as slow-onset changes such as increasingly high temperatures, desertification, drought, glacial melt and sea-level rise.</p>
Result areas	This indicator is directly related to the result area – Increased resilience of infrastructure and the built environment

Disaggregation	<p>The indicator should be reported as number and value of the business assets made more resilient and then further disaggregated as follows:</p> <ol style="list-style-type: none"> 1. By sector (<i>sectors to be defined based on e.g. WB enterprise survey categories</i>) 2. By type of improvement (direct, indirect, insurance)
Methodology	<p>The increase in resilience is measured through the number of business assets made more resilient and the value of those assets in USD, based on the type of improvement that physical assets have received through GCF support (as per the definition of the three types of improvements to increase resilience outlined above under Definitions) as follows:</p> <ol style="list-style-type: none"> 1. In the case of direct physical improvements to the assets themselves the value is the value of that specific asset. 2. In the case of indirect physical improvements the value is an estimate of all assets better protected. 3. In the case of insurance the value is the total maximum pay out by the insurance for climate induced hazards for all covered assets.
Data Sources	<ol style="list-style-type: none"> 1. Existing data on value of targeted assets from asset owners 2. Other secondary data like national statistics, feasibility studies 2. Insurance records
Baseline	Not applicable.
Frequency	Project duration, updated annually.
Reporting Responsibility	Underlying data reported by AEs, then aggregated by GCF Secretariat (OPM).
Reporting Format	Underlying data provided via APRs, then aggregated and reported via GCF website and to the Board.
Additional Notes	
References	

Sub-indicator 3.3	Public services physical assets with increased resilience against climate hazards
Unit	<ol style="list-style-type: none"> 1. Value of the assets (USD) 2. Number/dimension of assets expressed in relevant unit (km, ha, number, depending on the asset)
Rationale	<p>Public service assets such as hospitals, roads and power lines are threatened by the climate change induced increase in hazards like extreme rainfall and heat, floods, hurricanes, landslides etc.</p> <p>This indicator measures in how far GCF supported projects have strengthened such public service assets against damage from such hazards.</p> <p>The indicator is aligned with SDG 9 – Build resilient infrastructure [...] and SDG 13 - Take urgent action to combat climate change and its impacts.</p> <p>This indicator speaks to the GCF’s Investment Framework criterion on Adaptation Impact and in particular the Indicative Investment Factor “Degree to which the activity avoids lock-in of long-lived climate-vulnerable infrastructure”. It is also aligned with the Sustainable Development criterion and in particular the factor under the coverage area of social co-benefits: “ Potential for externalities in the form of expected improvements, for women and men as relevant, in areas such as health and safety, access to education, improved regulation and/or cultural preservation”.</p>
Definition	This indicator measures the increased in protection of public services assets against climate hazards.

	<p>“Public services assets” include all public service buildings and fixed infrastructure assets, such as schools, hospitals, government buildings, roads, bridges, ports, airports, public museums, hydro dams and power plants, museums, power lines, water reticulation and treatment systems, communication infrastructure etc. Physical assets of civil society organisations that deliver non-commercial services are also included here.</p> <p>“Increased resilience” covers three types of improvements of existing and new physical assets:</p> <p>(a) increasing resilience through direct physical improvements of the assets itself, such as improved on-site drainage, roofs strengthened to withstand strong winds etc..</p> <p>(b) increased resilience provided by indirect physical improvements such as coastline protection through mangrove that helps protect a city.</p> <p>(c) increased resilience through insurance coverage for the assets against climate hazard induced damage.</p> <p>“Climate hazards” include both direct impact hazards such as severe storms and floods as well as slow-onset changes such as increasingly high temperatures, desertification, drought, glacial melt and sea-level rise.</p>
<p>Result areas</p>	<p>This indicator is directly related to the result area – Increased resilience of infrastructure and the built environment</p>
<p>Disaggregation</p>	<p>The indicator needs to be reported as value of the assets made more resilient (USD) and as the number/dimension of the assets, expressed in relevant unit. Main categories include (<i>provisional list</i>):</p> <ol style="list-style-type: none"> 1. Km of roads and road structures like bridges and tunnels 2. Km of railway and railway structures 3. No of public buildings 4. No. of water structures (dams, waste water treatment ponds, etc.) 5. Km of water related structures (waterways, drainage systems, dikes, etc.) 6. No of energy production and distribution structures (power plants, dams, sub-stations) 7. Km of power lines 7. No. of ports / airports 8. Ha of public spaces like parks 9. No. of communication structures (masts..). <p>The results should also be disaggregated by main sector (education, health, transport, etc.).</p> <p><i>Exact sectors still to be defined.</i></p>
<p>Methodology</p>	<p>The increase in resilience is reported through the number/dimension of the assets made more resilient and the value of those assets in USD, based on the type of improvement that physical assets have received through GCF support (as per the definition of the three types of improvements to increase resilience outlined above under Definitions) as follows:</p> <ol style="list-style-type: none"> 1. In the case of direct physical improvements to the assets themselves the value is the value of that specific asset. 2. In the case of indirect physical improvements the value is an estimate of all assets better protected. 3. In the case of insurance the value is the total maximum pay out by the insurance for climate induced hazards for all covered assets.
<p>Data Sources</p>	<ol style="list-style-type: none"> 1. Existing data on value of targeted assets from asset owners

	2. Other secondary data like national statistics, feasibility studies 2. Insurance records
Baseline	Not applicable.
Frequency	Project duration, updated annually.
Reporting Responsibility	Underlying data reported by AEs, then aggregated by GCF Secretariat (OPM).
Reporting Format	Underlying data provided via APRs, then aggregated and reported via GCF website and to the Board.
Additional Notes	
References	

Core Indicator 4	Natural resource assets with increased resilience against climate hazards
Unit	Hectares (Ha)
Rationale	<p>The Fund promotes low-emission and climate-resilient development pathways by providing support to developing countries to limit or reduce their greenhouse gas (GHG) emissions and to adapt to the impacts of climate change. Monitoring the efforts made strengthening natural resources to become more climate resilient is a key indicator of progress and results of GCF projects/programmes. Results reported in this indicator refer to how GCF is helping build resilience of people, livelihoods, and ecosystems against extreme weather events.</p> <p>This indicator is aligned with the adaptation priorities identified by developing countries in National Adaptation Plans (NAP) and/or Nationally Determined Contributions (NDC), which include: agriculture, water, disaster risk management, climate information systems, sustainable land and forest management, urban development and infrastructure, energy, health and coastal zone management.</p> <p>This indicator speaks to the GCF’s Investment Framework criterion on Paradigm Shift Potential and the Indicative Investment Factor “Degree to which the project or programme promotes positive environmental externalities such as air quality, soil quality, conservation, biodiversity, etc”.</p> <p>This indicator is aligned with SDG 15 “Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss”.</p> <p>This indicator is aligned with the to Aichi Biodiversity Target 7 of the Convention on Biological Diversity: “Areas under agriculture, aquaculture and forestry, by 2020, are managed sustainably, ensuring conservation of biodiversity”. It is also related to country Land Degradation Neutrality targets under the Convention to Combat Desertification.</p>
Definition	This sub-indicator refers to natural resources, such as land under productive systems, and area covered by natural ecosystems that are improved or strengthened in order to become more climate-resilient.
Result areas	Ecosystems and ecosystem services
Disaggregation	See sub-indicators 4.1 and 4.2.
Methodology	<p>Data reported for this core indicator will be the aggregate of the following sub-indicators: 4.1 Hectares of land brought under climate-resilient improved management practices and 4.2 Hectares of ecosystems restored or conserved in response to climate variability and change.</p> <p>To avoid double-counting, the hectares reported under each sub-indicator should not overlap.</p>
Data Sources	<i>Dependent on result area-specific requirements.</i>
Baseline	<i>Dependent on final methodology.</i>
Frequency	Project duration, updated annually.
Reporting Responsibility	Underlying data reported by AEs, then aggregated by GCF Secretariat (OPM).
Reporting Format	Underlying data provided via APRs, then aggregated and reported via GCF website and to the Board.
Additional Notes	
References	https://www.cbd.int/sp/targets/ https://unstats.un.org/sdgs/report/2016/goal-15/

Sub-indicator 4.1	Hectares of land brought under climate-resilient improved management practices
Unit	Hectares (Ha)
Rationale	<p>The Fund promotes low-emission and climate-resilient development pathways by providing support to developing countries to limit or reduce their greenhouse gas (GHG) emissions and to adapt to the impacts of climate change. Monitoring the efforts made on area covered under climate resilient improved management practices is a key indicator of progress and results of GCF projects/programmes. The indicator will report on the net change of land covered by sustainable practices, relative to a business as usual scenario or baseline over the lifetime of the projects, attributable to GCF support.</p> <p>This indicator is well aligned with SDG 15 “Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss”.</p> <p>This indicator speaks to the GCF’s Investment Framework criterion on Paradigm Shift Potential and the Indicative Investment Factor “Degree to which the project or programme promotes positive environmental externalities such as air quality, soil quality, conservation, biodiversity, etc”.</p> <p>This sub-indicator is aligned with SDG 15 “Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss”.</p> <p>This indicator is aligned with the to Aichi Biodiversity Target 7 of the Convention on Biological Diversity: “Areas under agriculture, aquaculture and forestry, by 2020, are managed sustainably, ensuring conservation of biodiversity”. It is also related to country Land Degradation Neutrality targets under the Convention to Combat Desertification and to relevant NAPs and NDCs.</p>
Definition	<p>This indicator refers to the area of land, covering agriculture and other productive systems that have been brought under sustainable management, with the goal of improving resilience to climate change.</p> <p>Examples of climate-resilient management practices for agricultural land include improved irrigation, climate smart agriculture, conservation agriculture and others.</p> <p>Examples of climate-resilient management practices for other productive systems include sustainable forestry practices, agroforestry, improving efficiency in the use of natural resources to produce fish and other aquatic foods, promoting sylvopastoral systems, crop-livestock integration and others.</p>
Result areas	Ecosystems and ecosystem services
Disaggregation	<ul style="list-style-type: none"> • Area of agricultural land under improved management • Area of land (other than agriculture) under sustainable management in production systems • Types of management practices
Methodology	<p>Targets should be reported on the first year of the project implementation. Results on land under climate-resilient management practices should be reported on an annual basis. If applicable, baseline should be reported at project start, in order to show the additionality of the GCF intervention.</p> <p>Data should be disaggregated into agriculture land under improved management, and land in production systems –other than agriculture- under sustainable management. Whenever possible, types of management practices should also be reported.</p>
Data Sources	<i>Dependent on result area-specific requirements.</i>
Baseline	<i>Dependent on final methodology.</i>
Frequency	Project duration, updated annually.
Reporting Responsibility	Underlying data reported by AEs, then aggregated by GCF Secretariat (OPM).

Reporting Format	Underlying data provided via APRs, then aggregated and reported via GCF website and to the Board.
Additional Notes	
References	https://www.cbd.int/sp/targets/ https://unstats.un.org/sdgs/report/2016/goal-15/

Sub-indicator 4.2	Hectares of ecosystems restored or protected to increase resilience against climate hazards
Unit	Hectares (Ha)
Rationale	<p>The Fund promotes low-emission and climate-resilient development pathways by providing support to developing countries to limit or reduce their greenhouse gas (GHG) emissions and to adapt to the impacts of climate change. Monitoring the efforts made on ecosystems restored or conserved is a key indicator of progress and results of GCF projects/programmes. The indicator will report on the net change of ecosystem area restored or protected, in forests, coastlands, wetlands, peatland, deserts, mountains, grasslands and shrublands, relative to a business as usual scenario or baseline over the lifetime of the projects.</p> <p>This indicator speaks to the GCF’s Investment Framework criterion on Paradigm Shift Potential and the Indicative Investment Factor “Degree to which the project or programme promotes positive environmental externalities such as air quality, soil quality, conservation, biodiversity, etc”.</p> <p>This sub-indicator is aligned with SDG 15 “Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss”.</p> <p>This indicator is aligned with the to Aichi Biodiversity Target 7 of the Convention on Biological Diversity: “Areas under agriculture, aquaculture and forestry, by 2020, are managed sustainably, ensuring conservation of biodiversity”. It is also related to country Land Degradation Neutrality targets under the Convention to Combat Desertification and to relevant and to relevant NAPs and NDCs.</p>
Definition	<p>This indicator refers to the area of ecosystems that has been restored, protected or conserved, with the goal of improving resilience to climate change. It refers to ecosystem restoration that reduces the causes of decline and improves basic functions, enhances native habitats, and promotes climate resilience.</p> <p>Restoration is defined as the process of repairing and/or assisting the recovery of land and ecosystems that have been degraded, damaged, destroyed, or modified to an extent that the land and/or ecosystem cannot fulfil its ecological functions and/or fully deliver environmental services.</p> <p>Land protection refers to the process of placing land under legal protection status as a result of project support. It refers to a clearly defined land, dedicated and managed, through legal or other effective means, to achieve the long-term conservation of nature with associated ecosystem services and cultural values. Examples of protected areas are: national parks, wilderness areas, community-conserved areas, nature reserves.</p> <p>Example interventions under this sub-indicator include the creation of corridors between protected areas, targeted eradication, management or control of invasive alien species.</p>
Result areas	Ecosystems and ecosystem services
Disaggregation	By ecosystem type: <ul style="list-style-type: none"> • Forests

	<ul style="list-style-type: none"> • Coastlands • Wetlands • Peatland • Deserts • Mountains • Grasslands • Shrublands <p>By type of intervention:</p> <ul style="list-style-type: none"> • Land restoration • Land protection
Methodology	<p>Results on ecosystems protected should be reported on an annual basis. If applicable, baseline should be reported at project start, in order to show the additionality of the GCF intervention.</p> <p>Data reported should be disaggregated per ecosystem type and whenever possible, the type of restoration or conservation practices should also be reported.</p>
Data Sources	<i>Dependent on result area-specific requirements.</i>
Baseline	<i>Dependent on final methodology.</i>
Frequency	Project duration, updated annually.
Reporting Responsibility	Underlying data reported by AEs, then aggregated by GCF Secretariat (OPM).
Reporting Format	Underlying data provided via APRs, then aggregated and reported via GCF website and to the Board.
Additional Notes	
References	<p>https://www.iucn.org/theme/protected-areas/about</p> <p>https://www.iucn.org/commissions/commission-ecosystem-management/cem-our-work/cems-thematic-groups/ecosystem-restoration</p> <p>https://www.cbd.int/sp/targets/</p> <p>https://unstats.un.org/sdgs/report/2016/goal-15/</p>

Annex C: Systemic Change – proposed indicators

System change will be assessed using a scorecard approach which looks to assess how GCF funded investments and activities have led to improvement in four different core outcome level dimensions.

Projects may only be targeting specific systemic changes so do not necessarily have to track all four dimensions. As a minimum they should be monitoring at least two including knowledge generation and learning, and should be clear why any dimensions are not being assessed. Given the nature of systems change it may be that programmes are actually influencing change in areas they hadn't explicitly targeted, if that is the case these should be tracked as it could illustrate the achievement of a broader set of outcome level results than initially anticipated.

Each dimension is made up of a number of elements. Each of these is scored using a 4-point scale from 0 to 3. The project should score all elements it is aiming to influence whether directly or indirectly. All changes in scores should be supported by a narrative explanation including any evidence of the change that has taken place.

Core Indicator 5	INSTITUTIONAL CAPACITY AND COORDINATION: The degree to which there is sufficient institutional capacity and coordination for effective climate planning and programming
Unit	Each country's capacity is measured and reported against a four-point scale, where 0 = no capacity, and 3 = high capacity.
Definition	<p>The indicator is used to assess the degree to which GCF funded activities are supporting the development of institutional capacity and coordination over time.</p> <p>The default assessment will be made at country level, however if the intervention/project is at regional or city level this can be altered. Institutional capacity and coordination is defined through a series of elements that are assessed using a scorecard-based approach. These elements are:</p> <ul style="list-style-type: none"> • The level of financial resources being allocated to delivering a national strategy • The degree to which the public sector has the systems and structures to devise and deliver a national strategy • The degree to which the public sector has trained, knowledgeable staff in appropriate roles to deliver/oversee the strategy. • The extent of cross-government coordination in the delivery of the national strategy horizontally across different sectors and vertically from national to local level • The extent to which the private sector is aware, capable and proactively addressing climate change challenges • The extent to which civil society is aware, capable and proactively addressing climate change challenges <p>Based on assessment of all the above elements, the indicator provides a single 'score' for each project that can be tracked over time. Data for all countries can also be aggregated to provide 'scores' at the global level, on a regional basis, or according to country groupings (e.g. LDCs, SIDS etc.).</p>
Rationale	Strengthening of developing country capacity is at the heart of the GCF's goal to support system change and contribute to Paradigm shift, so the GCF necessarily have to track changes and trends in country capacity. By using scorecards to track several elements of country capacity, this indicator can also support the GCF's own planning and prioritisation : for example, do the assessments show that specific elements of country capacity require more support or investment?

	<p>The indicator is partly aligned to SDG indicator 13.3.2*, so the GCF could use data gathered here to potentially report on their contribution to SDG indicator 13.3.2 and SDG target 13.3. The GCF’s scorecard exercise could also support and inform each country’s own monitoring of indicator 13.3.2.</p> <p>The indicator is also well-aligned to the GCF’s Investment Framework criterion 4 (country ownership and institutional capacity) and sub-criteria 3 (capacity of implementing entities or executing entities to deliver), so data gathered through this indicator can be used to track and compare actual progress against initial proposals.</p>																																										
<p>Disaggregation</p>	<p>Scoring will usually be undertaken at the country-level (unless a specific intervention/project environment makes this not appropriate – so city level) so once all country assessments have been completed it will be possible to analyze trends for different country groups, according to analytical needs: for example, aggregate ‘scores’ could be calculated and tracked by region, for LDCs, for SIDS, for Readiness Program participants, etc.</p> <p>Using the same approach, it will also be possible to analyze individual elements of the scorecard: for example, what are the trends for each scorecard element such as cross government coordination</p>																																										
<p>Methodology</p>	<p>Indicator measurement is undertaken through a scorecard-based approach, whereby various elements of institutional capacity are assessed against a four-point scale with values ranging from 0 (no capacity) to 3 (high capacity).</p> <p>Annual assessments will be undertaken by the AEs as part of the APR. It is highly recommended that scoring is done participatively with other stakeholders (NDAs, Civil Society and other stakeholders). Possible participative processes are explained in further detail in the results handbook (to be completed).</p> <p>Scoring should be undertaken on all elements that GCF is trying to change or influence so not all aspects of the scorecard may need to be assessed.</p> <p>The full scorecard is as follows:</p> <table border="1" data-bbox="432 1151 1310 2045"> <thead> <tr> <th data-bbox="432 1151 774 1200">No capacity</th> <th data-bbox="774 1151 820 1200">0</th> <th data-bbox="820 1151 866 1200">1</th> <th data-bbox="866 1151 912 1200">2</th> <th data-bbox="912 1151 959 1200">3</th> <th data-bbox="959 1151 1310 1200">High capacity</th> </tr> </thead> <tbody> <tr> <td data-bbox="432 1200 774 1346">No significant financial resources are allocated to support development or delivery of a national strategy</td> <td data-bbox="774 1200 820 1346"></td> <td data-bbox="820 1200 866 1346"></td> <td data-bbox="866 1200 912 1346"></td> <td data-bbox="912 1200 959 1346"></td> <td data-bbox="959 1200 1310 1346">Sufficient financial resources are allocated and provided for the support, development, delivery and oversight of the national strategy</td> </tr> <tr> <td data-bbox="432 1346 774 1458">Public sector units do not have an organizational structure or systems to effectively deliver a national strategy</td> <td data-bbox="774 1346 820 1458"></td> <td data-bbox="820 1346 866 1458"></td> <td data-bbox="866 1346 912 1458"></td> <td data-bbox="912 1346 959 1458"></td> <td data-bbox="959 1346 1310 1458">Public sector has fit for purpose organisational structures and systems for delivering the strategy</td> </tr> <tr> <td data-bbox="432 1458 774 1570">Public sector units do not have trained and knowledgeable staff to respond to climate change</td> <td data-bbox="774 1458 820 1570"></td> <td data-bbox="820 1458 866 1570"></td> <td data-bbox="866 1458 912 1570"></td> <td data-bbox="912 1458 959 1570"></td> <td data-bbox="959 1458 1310 1570">Public sector units are fully staffed with trained and knowledgeable individuals who are capable to deliver</td> </tr> <tr> <td data-bbox="432 1570 774 1715">There is no horizontal or vertical cross government coordination in the response to climate change</td> <td data-bbox="774 1570 820 1715"></td> <td data-bbox="820 1570 866 1715"></td> <td data-bbox="866 1570 912 1715"></td> <td data-bbox="912 1570 959 1715"></td> <td data-bbox="959 1570 1310 1715">There are clear functioning coordination mechanisms at both horizontal and vertical levels effectively coordinating climate change</td> </tr> <tr> <td data-bbox="432 1715 774 1883">Private sector is unaware of its contribution to climate change and does not have the structures or skills to respond</td> <td data-bbox="774 1715 820 1883"></td> <td data-bbox="820 1715 866 1883"></td> <td data-bbox="866 1715 912 1883"></td> <td data-bbox="912 1715 959 1883"></td> <td data-bbox="959 1715 1310 1883">Private sector fully understands its role in combatting climate change and has business models/strategies and expertise to proactively address appropriate challenges</td> </tr> <tr> <td data-bbox="432 1883 774 2045">Civil society organizations have insufficient knowledge and skills to address relevant climate change challenges or to hold the public and private sector to account</td> <td data-bbox="774 1883 820 2045"></td> <td data-bbox="820 1883 866 2045"></td> <td data-bbox="866 1883 912 2045"></td> <td data-bbox="912 1883 959 2045"></td> <td data-bbox="959 1883 1310 2045">Civil society understands the contribution it can make and has sufficient knowledge and skills to design interventions which address climate change and hold other stakeholders to account</td> </tr> </tbody> </table>	No capacity	0	1	2	3	High capacity	No significant financial resources are allocated to support development or delivery of a national strategy					Sufficient financial resources are allocated and provided for the support, development, delivery and oversight of the national strategy	Public sector units do not have an organizational structure or systems to effectively deliver a national strategy					Public sector has fit for purpose organisational structures and systems for delivering the strategy	Public sector units do not have trained and knowledgeable staff to respond to climate change					Public sector units are fully staffed with trained and knowledgeable individuals who are capable to deliver	There is no horizontal or vertical cross government coordination in the response to climate change					There are clear functioning coordination mechanisms at both horizontal and vertical levels effectively coordinating climate change	Private sector is unaware of its contribution to climate change and does not have the structures or skills to respond					Private sector fully understands its role in combatting climate change and has business models/strategies and expertise to proactively address appropriate challenges	Civil society organizations have insufficient knowledge and skills to address relevant climate change challenges or to hold the public and private sector to account					Civil society understands the contribution it can make and has sufficient knowledge and skills to design interventions which address climate change and hold other stakeholders to account
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	<p>The process is to a large extent reliant on professional knowledge and judgement, so it is important that AEs have these validated by other local stakeholders.</p> <p>Any change in score requires a short narrative explanation to provide transparency and show how: GCF activities supported the change, identify patterns across the portfolio and to assist learning about the trajectory of improvement.</p> <p>Subjectivity cannot be entirely eliminated from the assessments, but a process of review and benchmarking can help to mitigate bias, improve consistency and allow assessors to learn from each other. It is recommended that – once all annual assessments have been completed – some form of portfolio validation exercise be undertaken. This could involve an annual workshop that brings AE, NDA representatives and GCF Secretariat staff together to compare assessments and approaches. An alternative is that a lead assessor (or small group) takes on the task of validating / peer reviewing a sample of assessments, with a view to assessing levels of consistency/difference across the whole portfolio of assessments.</p> <p>External validation will also be provided by mid-term and terminal evaluations which will also review assessments.</p> <p>Where countries have undertaken their own capacity assessments as part of their national monitoring and reporting against SDG indicator 13.3.2, those assessments could be used to directly inform this GCF scorecard assessment.</p>
<p>Data Sources</p>	<ul style="list-style-type: none"> • NDA records and experience • National capacity assessments undertaken for SDG indicator 13.3.2 • Readiness Program progress and final reports • Project Preparation Facility progress and final reports
<p>Baseline</p>	<p>The first scorecard-based assessment in any given country will provide the baseline value against which future scorecard assessments can be compared.</p> <p>The global baseline score can be calculated once all countries have completed their first scorecard assessments.</p>
<p>Frequency</p>	<p>Project duration, updated annually.</p>
<p>Reporting Responsibility</p>	<p>AEs undertake the assessment. A participatory process is used to ensure professional judgments are validated; the results handbook outlines the alternative processes for doing this.</p> <p>Scorecards aggregated and further analysis (global, regional, country groupings) done by GCF Secretariat (OPM).</p>
<p>Reporting Format</p>	<p>Country annual assessment report</p>
<p>Additional Notes</p>	<p>*SDG Indicator 13.3.2: Number of countries that have communicated the strengthening of institutional, systemic and individual capacity-building to implement adaptation, mitigation and technology transfer, and development actions</p>

POLICY AND REGULATORY FRAMEWORKS:	
Core Indicator 6	The degree to which there are enabling policy and regulatory frameworks that incentivize low carbon climate resilient investments and practices and promote equitable approaches
Unit	Each country's capacity is measured and reported against a four-point scale, where 0 = unsupportive policy and regulatory frameworks 3 = strong enabling frameworks
Definition	<p>The indicator measures the extent to which GCF helps facilitates the development of policies, plans and frameworks which support and help regulate the behaviour and practice of both government and non-government bodies to effectively develop and implement climate resilient approaches. It also looks at how much they promote equity in particular the impact on women, the poor and marginal groups.</p> <p>Policies may be national or sub national depending on the project scope and level of decentralisation within the country. Policies, plans and frameworks refers not only to Climate Change specific ones like NAPs, and CC strategies and action plans, but also to overall national development policies, and other sector plans and regulatory frameworks as Climate Change cuts across traditional ministry/department groupings.</p> <p>Enabling policy and regulatory frameworks is divided into a series of elements that are assessed using a scorecard-based approach. These elements are:</p> <ul style="list-style-type: none"> • The degree to which the impact of climate change is integral to relevant policies • The degree to which regulatory frameworks effectively shape and govern behaviour which is appropriate to meeting the challenge of climate change • The degree to which relevant policies and frameworks consider the impact of climate change on women • The degree to which relevant policies and frameworks consider and prioritise the impact of climate change on women • The degree to which relevant policies and frameworks consider and prioritise the impact of climate change on the most poor and marginalised
Rationale	<p>Government policies and regulatory frameworks are a key tool to help GCF support, shape and institutionalise new norms for addressing the challenges of tackling climate change. They influence and guide the strategic direction and behaviour of public and private sector organisations and also communities, households and individuals.</p> <p>The indicator is well-aligned to the GCF's Investment Framework, sub-criteria 2 (coherence with existing policies) so data gathered through this indicator can be used to track and compare actual progress against initial proposals. It also aligns with the IF criterion country ownership and assessment factor "Degree to which the activity is supported by a country's enabling policy and institutional framework or includes policy or institutional changes". It also aligns with GCF's gender policy</p>
Disaggregation	<p>Scoring will usually be undertaken at the country-level unless the degree of decentralisation within a country means an assessment makes more sense at sub-national level.</p> <p>Once all country assessments have been completed it will be possible to analyze trends for different country groups, according to analytical needs. This might be especially important across the equity dimensions.</p>
Methodology	<p>Indicator measurement is undertaken through a scorecard-based approach, whereby various elements of integration of CC innovations in national policies, plans and budgets are assessed against a four-point scale.</p> <p>Annual assessments will be undertaken by the AEs as part of the APR. It is highly recommended that scoring is done participatively with other stakeholders (NDAs, Civil</p>

Society and other stakeholders). Possible participative processes are explained in further detail in the results handbook (to be completed)

The full scorecard is as follows:

Weak policy framework	0	1	2	3	Strong policy framework
The impact of climate change is not recognized in appropriate policies at a national level					Policies to address the impact of climate change have been formulated and are being effectively applied at national level
The impact of climate change is not recognized in appropriate policies at a sub-national level					Policies to address the impact of climate change have been formulated and are being effectively applied at sub-national level
No regulatory framework exists at a national level to effectively govern the behavior of actors who influence the response to climate change					A regulatory framework is in place at national level and is effectively influencing behavior including the use of sanctions where appropriate
No regulatory framework exists at local level to effectively govern the behavior of actors who influence the response to climate change					A regulatory framework is in place at local level to effectively govern the behavior of actors who influence the response to climate change
Policies and frameworks that shape climate change responses do not recognise the different impact these may have on women					Policies and frameworks clearly identify how women may be affected by climate change and climate change responses and help shape equitable behaviour and practice
Policies and frameworks that shape climate change responses do not explicitly focus on the impact these may have on the poor					Policies and frameworks clearly identify how the poorest may be affected by climate change and climate change responses and help shape equitable behaviour and practice

The process is to a large extent reliant on professional knowledge and judgement, so it is important that AEs have these validated by other local stakeholders.

Any change in score requires a short narrative explanation to provide transparency and show how: GCF activities supported the change, identify patterns across the portfolio and to assist learning about the trajectory of improvement.

Subjectivity cannot be entirely eliminated from the assessments, but a process of **review and benchmarking** can help to mitigate bias, improve consistency and allow assessors to learn from each other. It is recommended that – once all annual assessments have been completed – some form of portfolio validation exercise be undertaken. This could involve an annual workshop that brings AE, NDA representatives and GCF Secretariat staff together to compare assessments and approaches. An alternative is that a lead assessor (or small group) takes on the task of validating / peer reviewing a sample of assessments, with a view to assessing levels of consistency/difference across the whole portfolio of assessments.

External validation will also be provided by mid-term and terminal evaluations which will also review assessments.

Data Sources

- CC policies, strategies and plans
- National development policies and plans
- Sector policies, regulatory frameworks and plans
- Mid Term Expenditure Frameworks

	<ul style="list-style-type: none"> • National annual plans and budgets • National M&E systems
Baseline	<p>The first scorecard-based assessment in any given country will provide the baseline value against which future scorecard assessments can be compared.</p> <p>The global baseline score can be calculated once all countries have completed their first scorecard assessments.</p>
Frequency	Project duration, updated annually.
Reporting Responsibility	<p>AEs undertake the assessment. A participatory process is used to ensure professional judgments are validated; the results handbook outlines the alternative processes for doing this.</p> <p>Scorecards aggregated and further analysis (global, regional, country groupings) done by GCF Secretariat (OPM).</p>
Reporting Format	Country annual assessment report
Additional Notes	IF criterion Country ownership and assessment factor "Degree to which the activity is supported by a country's enabling policy and institutional framework, or includes policy or institutional changes",

Core Indicator 7	DIFFUSION OF CLIMATE CHANGE INNOVATIONS: The extent to which there are conditions which facilitates the effective development, transfer and uptake of innovation
<p>Unit</p>	<p>Each innovation environment is measured and reported against a four-point scale, where 0 = limited recognition or support for climate change innovation 3 = high level of evidence of innovation being incentivised and facilitated.</p>
<p>Definition</p>	<p>The indicator assesses the degree to which GCF are supporting activities/developing examples that illustrate improved conditions for effective development, transfer and uptake of innovation.</p> <p>Innovation in this context is defined as either: a climate change related business model, technology, practice, service or product that is researched and/or piloted and/or demonstrated for the first time; the use of a business model, technology, practice, service or product that has been either taken from a different setting (sector/context); or one that combines existing processes/components from different models and puts them together in an innovative way.</p> <p>Conditions which facilitate development, transfer and uptake of innovation may include incentives (such as access to funding, subsidies or tax breaks), that promote risk and don't punish failure. Promoting transfer/uptake can be done in monetary or non-monetary form. It may include marketing, capacity building, training, technical demonstrations, etc. It can be a commercial activity (e.g. a company selling an innovative energy efficiency solution) or non-commercial (e.g. a CSO actively promoting uptake of an innovative rainwater harvesting technique).</p> <p>The default assessment will be made at country level, however if the intervention/project is at regional or city level this can be altered. Conditions which facilitates the effective development, transfer and uptake of innovation is divided into a series of elements that are assessed using a scorecard-based approach. These elements are:</p> <ul style="list-style-type: none"> • The degree to which there are strategies in place which show a clear pathway for the development, uptake and transfer of innovations • The degree to which there are mechanisms in place to acknowledge and incentivise the taking of risks for innovation • The level of resources (human and financial) available for innovation uptake, transfer and possible scale up • The degree to which there is the capacity to train and develop staff in new innovative products and processes • The degree to which there is capacity to effectively promote and disseminate the value and use of innovation <p>Based on assessment of the relevant elements, the indicator provides a single 'score' for each project that can be tracked over time. Data for all countries can also be aggregated to provide 'scores' at the global level, on a regional basis, or according to country groupings (e.g. LDCs, SIDS etc.).</p>
<p>Rationale</p>	<p>Supporting innovation and risk taking is a key driving element of GCF's aim of promoting a paradigm shift. GCF will support the development and demonstration of CC innovations. It is, however, ultimately the development of the conditions that lead to the effective transfer/replication of CC innovations that will lead to continuous improvement. This indicator measures how far there are enabling conditions which support and promote the research, development and demonstration required to generate CC innovations and support their uptake and diffusion more widely.</p> <p>Support for research, development, demonstration and transfer of CC innovations is directly aligned with article 10 of the UNFCCC Paris agreement, and in particular article 10.1 – "Parties share a long-term vision on the importance of fully realizing</p>

	<p>technology development and transfer in order to improve resilience to climate change and to reduce greenhouse gas emissions” and article 10.2 “Parties, noting the importance of technology for the implementation of mitigation and adaptation actions under this Agreement and recognizing existing technology deployment and dissemination efforts, shall strengthen cooperative action on technology development and transfer.”</p>																																										
<p>Disaggregation</p>	<p>Scoring will be based on the scope of the GCF intervention and the environment in which it is operating. The default will be at national level though a different area may be assessed, and this could focus on a specific institution (public, private civil society) of appropriate combination of these.</p> <p>This may allow for disaggregation by institution as well as country. Scoring on the individual elements of the scorecard will also allow an analysis of where GCF can focus to promote transfer and broad replication of successful CC innovations.</p>																																										
<p>Methodology</p>	<p>Indicator measurement is undertaken through a scorecard-based approach, whereby various elements of conditions for innovation are assessed against a four-point scale with values ranging from 0 (no capacity) to 3 (high capacity).</p> <p>Annual assessments will be undertaken by the AEs as part of the APR. It is highly recommended that scoring is done participatively with other stakeholders (NDAs, Civil Society and other stakeholders). Possible participative processes are explained in further detail in the results handbook (to be completed).</p> <p>Scoring should be undertaken on all elements that GCF is trying to change or influence so not all aspects of the scorecard may need to be assessed.</p> <p>The full scorecard is as follows:</p> <table border="1" data-bbox="432 1048 1337 1839"> <thead> <tr> <th data-bbox="432 1048 786 1173">Limited conditions to facilitate CC innovation</th> <th data-bbox="786 1048 836 1173">0</th> <th data-bbox="836 1048 885 1173">1</th> <th data-bbox="885 1048 935 1173">2</th> <th data-bbox="935 1048 984 1173">3</th> <th data-bbox="984 1048 1337 1173">Enabling conditions for effective development transfer and uptake of CC innovations</th> </tr> </thead> <tbody> <tr> <td data-bbox="432 1173 786 1272">No strategy in place to pathway for development, uptake and transfer of innovation</td> <td data-bbox="786 1173 836 1272"></td> <td data-bbox="836 1173 885 1272"></td> <td data-bbox="885 1173 935 1272"></td> <td data-bbox="935 1173 984 1272"></td> <td data-bbox="984 1173 1337 1272">A clear strategy has been endorsed which provides a clear pathway for development, uptake and transfer of innovation</td> </tr> <tr> <td data-bbox="432 1272 786 1458">No incentivisation or risk mitigation strategies to support innovation</td> <td data-bbox="786 1272 836 1458"></td> <td data-bbox="836 1272 885 1458"></td> <td data-bbox="885 1272 935 1458"></td> <td data-bbox="935 1272 984 1458"></td> <td data-bbox="984 1272 1337 1458">Clear evidence of incentivisation for developing and testing innovation including acknowledgement and acceptance of possible failure</td> </tr> <tr> <td data-bbox="432 1458 786 1534">No specific budget to develop innovations</td> <td data-bbox="786 1458 836 1534"></td> <td data-bbox="836 1458 885 1534"></td> <td data-bbox="885 1458 935 1534"></td> <td data-bbox="935 1458 984 1534"></td> <td data-bbox="984 1458 1337 1534">Sufficient ring-fenced finance for the development, transfer and promotion of innovation</td> </tr> <tr> <td data-bbox="432 1534 786 1635">No staff able to work on innovation</td> <td data-bbox="786 1534 836 1635"></td> <td data-bbox="836 1534 885 1635"></td> <td data-bbox="885 1534 935 1635"></td> <td data-bbox="935 1534 984 1635"></td> <td data-bbox="984 1534 1337 1635">Staffing model in place which allows for staff to be deployed in a timely way to develop and transfer innovations</td> </tr> <tr> <td data-bbox="432 1635 786 1736">No learning and development activities available to support innovative approaches</td> <td data-bbox="786 1635 836 1736"></td> <td data-bbox="836 1635 885 1736"></td> <td data-bbox="885 1635 935 1736"></td> <td data-bbox="935 1635 984 1736"></td> <td data-bbox="984 1635 1337 1736">Learning and development institutions are able to provide training for the transfer and uptake of innovations</td> </tr> <tr> <td data-bbox="432 1736 786 1839">No capacity to promote and disseminate innovation</td> <td data-bbox="786 1736 836 1839"></td> <td data-bbox="836 1736 885 1839"></td> <td data-bbox="885 1736 935 1839"></td> <td data-bbox="935 1736 984 1839"></td> <td data-bbox="984 1736 1337 1839">Various mechanisms are available and being used to promote innovation to a wide range of audiences</td> </tr> </tbody> </table> <p>The process is to a large extent reliant on professional knowledge and judgement, so it is important that AEs have these validated by other local stakeholders. There will invariably be some variation in assessments with different weights / importance placed on different aspects of capacity. Any change in score will also require a short narrative explanation to provide transparency and also to assist learning about the trajectory of improvement.</p>	Limited conditions to facilitate CC innovation	0	1	2	3	Enabling conditions for effective development transfer and uptake of CC innovations	No strategy in place to pathway for development, uptake and transfer of innovation					A clear strategy has been endorsed which provides a clear pathway for development, uptake and transfer of innovation	No incentivisation or risk mitigation strategies to support innovation					Clear evidence of incentivisation for developing and testing innovation including acknowledgement and acceptance of possible failure	No specific budget to develop innovations					Sufficient ring-fenced finance for the development, transfer and promotion of innovation	No staff able to work on innovation					Staffing model in place which allows for staff to be deployed in a timely way to develop and transfer innovations	No learning and development activities available to support innovative approaches					Learning and development institutions are able to provide training for the transfer and uptake of innovations	No capacity to promote and disseminate innovation					Various mechanisms are available and being used to promote innovation to a wide range of audiences
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	<p>Subjectivity cannot be entirely eliminated from the assessments, but a process of review and benchmarking can help to mitigate bias, improve consistency and allow assessors to learn from each other. It is recommended that – once all annual assessments have been completed – some form of portfolio validation exercise be undertaken. This could involve an annual workshop that brings AE, NDA representatives and GCF Secretariat staff together to compare assessments and approaches. An alternative is that a lead assessor (or small group) takes on the task of validating / peer reviewing a sample of assessments, with a view to assessing levels of consistency/difference across the whole portfolio of assessments.</p> <p>External validation will also be provided by mid-term and terminal evaluations who will also review assessments.</p>
Data Sources	<ul style="list-style-type: none"> • AE / EE strategic plans and annual reports • Learning and Development Institutions strategies, prospectus and capacity assessments • Minutes of forums / training workshops and other events around the innovation • Project annual performance reports • Promotional material (training manuals, brochures, videos, newspaper articles etc) • Feedback from external stakeholders - customers, market networks • surveys
Baseline	<p>The first scorecard-based assessment in any given country will provide the baseline value against which future scorecard assessments can be compared.</p> <p>The global baseline score can be calculated once all countries have completed their first scorecard assessments.</p>
Frequency	Project duration, updated annually.
Reporting Responsibility	<p>AEs undertake the assessment. A participatory process is used to ensure professional judgments are validated; the results handbook outlines the alternative processes for doing this.</p> <p>Scorecards aggregated and further analysis (global, regional, country groupings) done by GCF Secretariat (OPM).</p>
Reporting Format	Country annual assessment report.
Additional Notes	

Core Indicator 8	KNOWLEDGE GENERATION, CAPTURE AND LEARNING: The degree to which there is effective knowledge generation, learning and use of good practices, methodologies and standards for transformational climate investment
Unit	<p>The extent of each country’s knowledge generation, capture and learning is measured and reported against a four-point scale / score, where 0 = no knowledge generation, and 3 = high level of learning into use.</p>
Definition	<p>The indicator is used to measure whether GCF activities are supporting and informing improved climate change investments by effective knowledge generation, capture and learning.</p> <p>The default assessment will be made at country level. Effective knowledge generation, learning is divided into a series of elements that are assessed using a scorecard-based approach. These elements are:</p> <ul style="list-style-type: none"> • The extent to which there is routine documented reflection on the performance of both what has and has not worked in climate change interventions • The extent to which there is an effective institutional system for monitoring and evaluation and knowledge management • The extent to which learning leads to action either through clear evidence of a change in direction, scale up of approach, or uptake by others • The extent to which there is an effective hub or mechanism for the facilitation of effective peer knowledge exchange • The extent to which there is evidence of learning and sharing good practice in an international context (e.g. South to South) <p>Based on assessment of all the above elements, the indicator provides a single ‘score’ for each country that can be tracked over time. Data for all countries can also be aggregated to provide ‘scores’ at the global level, on a regional basis, or according to country groupings (e.g. LDCs, SIDS etc.).</p>
Rationale	<p>The GCF is committed to becoming a knowledge leader in the field of climate finance. This means it needs to effectively learn from its portfolio and effectively share and disseminates this learning. This requires the creation of a systematic learning culture and also ensuring that generated knowledge informs others in an engaging and accessible manner.</p> <p>The GCF acknowledges that developing countries need sustained investment in knowledge, institutional and human capacities to realise their climate ambitions. One aim of the GCF is to build a global thought-leadership role, leveraging its knowledge and the knowledge of its wide partnership network to synthesize learning and enable replication of proven interventions that can, at scale, shift global financial flows in line with the Paris Agreement.</p> <p>This indicator is aligned with target 13.3 “Improve education, awareness raising and human and institutional capacity on climate change mitigation, adaptation, impact reduction, and early warning”.</p> <p>The indicator is also well-aligned to the GCF’s Investment Framework criterion 2 (Paradigm shift potential), sub-criterion 1 (Potential for scaling-up and replication) and sub-criterion 2 (Knowledge and learning potential) so data gathered through this indicator can be used to track and compare actual progress against initial proposals.</p>
Disaggregation	<p>Scoring is undertaken at the country-level, so once all country assessments have been completed it will be possible to analyse trends for different country groups, according to analytical needs: for example, aggregate ‘scores’ could be calculated and tracked by region, for LDCs, for SIDS, for Readiness Program participants, etc.</p>

Methodology	<p>Indicator measurement is undertaken through a scorecard-based approach, whereby various elements of institutional capacity are assessed against a four-point scale with values ranging from 0 (no capacity) to 3 (high capacity).</p> <p>Annual assessments will be undertaken by the AEs as part of the APR. It is highly recommended that scoring is done participatively with other stakeholders (NDAs, Civil Society and other stakeholders). Possible participative processes are explained in further detail in the results handbook (to be completed).</p> <p>The scoring exercise will be part of an annual performance assessment workshop. The scorecard will be part of an annual report, and there will be space provided next to each scorecard to provide additional information to justify each score. The full scorecard is as follows:</p> <table border="1" data-bbox="443 562 1337 1155"> <thead> <tr> <th data-bbox="443 562 794 674">No knowledge generation</th> <th data-bbox="794 562 842 674">0</th> <th data-bbox="842 562 890 674">1</th> <th data-bbox="890 562 938 674">2</th> <th data-bbox="938 562 986 674">3</th> <th data-bbox="986 562 1337 674">High level of learning generation, capture and use</th> </tr> </thead> <tbody> <tr> <td data-bbox="443 674 794 763">No routine capture of lessons being learnt</td> <td data-bbox="794 674 842 763"></td> <td data-bbox="842 674 890 763"></td> <td data-bbox="890 674 938 763"></td> <td data-bbox="938 674 986 763"></td> <td data-bbox="986 674 1337 763">Routine and systemised documented reflection of what has and hasn't worked</td> </tr> <tr> <td data-bbox="443 763 794 875">No effective monitoring and evaluation system</td> <td data-bbox="794 763 842 875"></td> <td data-bbox="842 763 890 875"></td> <td data-bbox="890 763 938 875"></td> <td data-bbox="938 763 986 875"></td> <td data-bbox="986 763 1337 875">Effective and resourced country wide monitoring and evaluation system which influences strategy and programme design</td> </tr> <tr> <td data-bbox="443 875 794 965">No evidence of programmes being influenced by learning</td> <td data-bbox="794 875 842 965"></td> <td data-bbox="842 875 890 965"></td> <td data-bbox="890 875 938 965"></td> <td data-bbox="938 875 986 965"></td> <td data-bbox="986 875 1337 965">Evidence of routine changes in direction, uptake by others, or going to scale based on learning</td> </tr> <tr> <td data-bbox="443 965 794 1055">No mechanism for storing or sharing knowledge</td> <td data-bbox="794 965 842 1055"></td> <td data-bbox="842 965 890 1055"></td> <td data-bbox="890 965 938 1055"></td> <td data-bbox="938 965 986 1055"></td> <td data-bbox="986 965 1337 1055">Credible learning hub/mechanism in place which facilitates effective peer -to peer knowledge exchange</td> </tr> <tr> <td data-bbox="443 1055 794 1155">No sharing of good practice</td> <td data-bbox="794 1055 842 1155"></td> <td data-bbox="842 1055 890 1155"></td> <td data-bbox="890 1055 938 1155"></td> <td data-bbox="938 1055 986 1155"></td> <td data-bbox="986 1055 1337 1155">Evidence of widespread learning and sharing or good practice in an international context.</td> </tr> </tbody> </table> <p>The process is to a large extent reliant on professional knowledge and judgement, so it is important that AEs have these validated by other local stakeholders. There will invariably be some variation in assessments with different weights / importance placed on different aspects of capacity. Any change in score will also require a short narrative explanation to provide transparency and also to assist learning about the trajectory of improvement.</p> <p>Subjectivity cannot be entirely eliminated from the assessments, but a process of review and benchmarking can help to mitigate bias, improve consistency and allow assessors to learn from each other. It is recommended that – once all annual assessments have been completed – some form of portfolio validation exercise be undertaken. This could involve an annual workshop that brings AE, NDA representatives and GCF Secretariat staff together to compare assessments and approaches. An alternative is that a lead assessor (or small group) takes on the task of validating / peer reviewing a sample of assessments, with a view to assessing levels of consistency/difference across the whole portfolio of assessments.</p> <p>External validation will also be provided by mid-term and terminal evaluations who will also review assessments.</p>	No knowledge generation	0	1	2	3	High level of learning generation, capture and use	No routine capture of lessons being learnt					Routine and systemised documented reflection of what has and hasn't worked	No effective monitoring and evaluation system					Effective and resourced country wide monitoring and evaluation system which influences strategy and programme design	No evidence of programmes being influenced by learning					Evidence of routine changes in direction, uptake by others, or going to scale based on learning	No mechanism for storing or sharing knowledge					Credible learning hub/mechanism in place which facilitates effective peer -to peer knowledge exchange	No sharing of good practice					Evidence of widespread learning and sharing or good practice in an international context.
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No sharing of good practice					Evidence of widespread learning and sharing or good practice in an international context.																																
Data Sources	<ul style="list-style-type: none"> • NDA records and experience • Training records • Conference/outreach event agendas • Publications/Training manuals/Dissemination materials • Project / Program APRs, mid-term reviews and final evaluations • Stakeholder consultations 																																				

Baseline	<p>The first scorecard-based assessment in any given country will provide the baseline value against which future scorecard assessments can be compared.</p> <p>The global baseline score can be calculated once all countries have completed their first scorecard assessments.</p>
Frequency	Project duration, updated annually.
Reporting Responsibility	NDA, AEs and GCF undertake a collective assessment in a country-led workshop. Scorecards aggregated and further analysis (global, regional, country groupings, etc.) done by GCF Secretariat (OPM).
Reporting Format	Country annual assessment report
Additional Notes	

Annex D: Linkages between RMF and Investment Framework

RMF indicators	Investment Framework (criterion)	Investment Framework indicative assessment factors
Core 1: GHG emissions reduced, avoided or removed / sequestered per result area	Impact potential (mitigation impact)	Expected tonnes of carbon dioxide equivalent (tCO ₂ eq) to be reduced or avoided
1.1 Reduced emissions through increased low emission energy access and power generation	Impact potential (mitigation impact)	Expected tonnes of carbon dioxide equivalent (tCO ₂ eq) to be reduced or avoided Expected number of MW of low-emission energy capacity installed, generated and/or rehabilitated
1.2 Reduced emissions through increased access to low emission transport	Impact potential (mitigation impact)	Expected tonnes of carbon dioxide equivalent (tCO ₂ eq) to be reduced or avoided Expected increase in the use of low-carbon transport
1.3 Reduced emissions from buildings, cities, industries and appliances	Impact potential (mitigation impact)	Expected tonnes of carbon dioxide equivalent (tCO ₂ eq) to be reduced or avoided Expected decrease in energy intensity of buildings, cities, industries and appliances
1.4 Reduced emissions from land use, deforestation, forest degradation, and through sustainable management of forests and conservation and enhancement	Impact potential (mitigation impact)	Expected tonnes of carbon dioxide equivalent (tCO ₂ eq) to be reduced or avoided Expected improvement in the management of land or forest areas contributing to emission reductions
1.5 Installed capacity (MW)	Impact potential (mitigation impact)	Expected number of MW of low-emission energy capacity installed, generated and/or rehabilitated
Core 2: Number of direct and indirect beneficiaries	Impact potential (Adaptation impact)	Expected total number of direct and indirect beneficiaries,(reduced vulnerability or increased resilience); number of beneficiaries relative to total population, particularly the most vulnerable groups
2.1 Number of HHs and individuals that have adopted improved and/or diversified climate-resilient livelihood options	Impact potential (Adaptation impact)	Expected reduction in vulnerability by enhancing adaptive capacity and resilience for populations affected by the proposed activity, focusing particularly on the most vulnerable population groups and applying a gender-sensitive approach
2.2 Number of households and individuals with improved food security (reduced food insecurity)	Impact potential (Adaptation impact)	Expected reduction in vulnerability by enhancing adaptive capacity and resilience for populations affected by the proposed activity, focusing particularly on the most vulnerable population groups and applying a gender-sensitive approach
2.3 Number of households and individuals (female/male) with more climate resilient water security	Impact potential (Adaptation impact)	Expected reduction in vulnerability by enhancing adaptive capacity and resilience for populations affected by the proposed activity, focusing particularly on the most vulnerable population groups and applying a gender-sensitive approach
2.4 Number of HHs and individuals covered by new or improved early warning systems	Impact potential (Adaptation impact)	Expected strengthening of awareness of climate threats and risk-reduction processes.
2.5 Number of HHs and individuals adopting innovations that strengthen climate change resilience	Paradigm shift potential	Opportunities for targeting innovative solutions, new market segments, developing or adopting new technologies, business models, modal shifts and/or processes
2.6 Number of HHs and individuals living in buildings that have increased resilience against climate hazards	Paradigm shift potential	Degree to which the activity avoids lock-in of long-lived climate-vulnerable infrastructure
Core 3: Physical assets with increased resilience against climate hazards	Impact potential (Adaptation impact)	Degree to which the activity avoids lock-in of long-lived climate-vulnerable infrastructure.
3.1 Business physical assets with increased resilience against climate hazards	Impact potential (Adaptation impact) Sustainable development potential	Degree to which the activity avoids lock-in of long-lived climate-vulnerable infrastructure Potential for externalities in the form of expected improvements in areas such as expanded and enhanced job markets, job creation and poverty alleviation for women and men, increased and/or expanded involvement of local industries; increased collaboration between industry and academia; growth of private funds attracted; contribution to an increase in productivity and competitive capacity; improved sector income-generating capacity; contribution to an increase in energy security; change in water supply.

RMF indicators	Investment Framework (criterion)	Investment Framework indicative assessment factors
3.2 Public services physical assets with increased resilience against climate hazards	Impact potential (Adaptation impact) Sustainable development potential	Degree to which the activity avoids lock-in of long-lived climate-vulnerable infrastructure Potential for externalities in the form of expected improvements, for women and men as relevant, in areas such as health and safety, access to education, improved regulation and/or cultural preservation
Core 4: Natural resource assets with increased resilience against climate hazards	Sustainable development potential	Degree to which the project or programme promotes positive environmental externalities such as air quality, soil quality, conservation, biodiversity, etc.
4.1 Hectares of land brought under climate-resilient improved management practices	Sustainable development potential	Degree to which the project or programme promotes positive environmental externalities such as air quality, soil quality, conservation, biodiversity, etc.
4.2 Hectares of ecosystems restored or protected to increase resilience against climate hazards	Sustainable development potential	Degree to which the project or programme promotes positive environmental externalities such as air quality, soil quality, conservation, biodiversity, etc.
Core 5: Institutional capacity and coordination	Needs of the recipient	Potential of the proposed programme or project to strengthen institutional and implementation capacity
Core 6: Policy and regulatory frameworks	Country Ownership	Degree to which the activity is supported by a country's enabling policy and institutional framework, or includes policy or institutional changes
Core 7: Diffusion of climate change innovation	Efficiency and effectiveness	Explanations of how best available technologies and/or best practices, including those of indigenous peoples and local communities, are considered and applied If applicable, the proposal specifies the innovations or modifications/adjustments made based on industry best practices
Core 8: Knowledge generation, capture and learning	Paradigm Shift Potential	Existence of a monitoring and evaluation plan and a plan for sharing lessons learned so that they can be incorporated within other projects